Adopted: July 20, 1999

ACADEMIC SENATE
Of
CALIFORNIA POLYTECHNIC STATE UNIVERSITY
San Luis Obispo, CA

AS-530-99/FAC
RESOLUTION ON
FACULTY MERIT PROGRAM

WHEREAS, The provisions of the collective bargaining agreement recently ratified for Unit 3 employees are substantially different from the provisions previously promulgated; and

WHEREAS, A new campus Faculty Merit Increase (FMI) policy is needed to bring campus procedures into conformity with the new collective bargaining agreement; and

WHEREAS, The recently ratified collective bargaining agreement for Unit 3 employees requires that review of Faculty Activity Reports (FARs) for FMIs commence by October 1, 1999 and conclude by November 20, 1999; and

WHEREAS, The new collective bargaining agreement no longer provides for a college review board but requires that there be a single level of departmental review; therefore, be it

RESOLVED: That the Academic Senate recommend implementation of the attached Faculty Merit Increase (FMI) policy; and be it further

RESOLVED: That the Academic Senate encourage all departments to participate in the FMI process.

Proposed by: Faculty Affairs Committee
Date: July 20, 1999

CAL POLY

FACULTY MERIT INCREASE POLICY

1.0 Faculty Merit Increases (FMI) . General Provisions

1.1 A Faculty Merit Increase is the recognition of demonstrated performance by a Unit 3 employee which will result in a permanent increase in the base salary of the individual and/or a bonus (not a permanent increase in the base salary).

1.1.1 An FMI will be awarded within the salary range of an employee's classification up to seven and one-half percent (7.5%) in any year.

1.1.2 An FMI which exceeds the individual's maximum salary for his /her rank must be in the form of a bonus (not a permanent increase in base salary), except for full professors (see Section 1.1.4).

1.1.3 In the case of faculty unit members whose demonstrated performance was part of an activity or project conducted by a team, department or group of employees, the FMI may be in the form of a bonus.

1.1.4 Instructional faculty in the full professor rank may be paid at a salary rate above the performance maximum for their classification; however, faculty unit employees at comparable professorial ranks, e.g., librarian, counselors, and coaches are not eligible for permanent salary increases above the maximum rate in their respective classifications.

1.1.5 FMI increases may result in the placement of faculty unit employees between the rates for a step on the salary schedule for his/her rank/classification.

1.1.6 Beginning with the award of Faculty Merit Increases effective on July 1, 1998, the award of a Faculty Merit Increase shall not diminish a faculty member's eligibility for remaining Service Salary Increases.

1.2 For the purposes of FMI review and funding targets, counselors, librarians, athletic coaches, and UCTE Unit 3 employees shall be considered separate units.

1.3 The effective date of all FMI awards shall be July 1st of each year that there are negotiated Faculty Merit Increases.

1.4 There is no requirement to expend all funds dedicated to the FMI program in any given fiscal year. Any portion of the funds not expended in any fiscal year will carry forward to the FMI pool in the next fiscal year.

1.5 Each year that the FMI program is funded, the President shall allot 85% of the campus funding based on the pro rata share of total filled full-time equivalent faculty positions for Unit 3 in each department and shall reserve 10% of the campus funding for discretionary use and 5% for any additional increases granted under the appeal process. The Chair of the Academic Senate shall be notified of the allocation model by the Provost and Vice President for Academic Affairs in a timely fashion.

1.6 At each level of evaluation, candidates shall be informed in writing whether an FMI is recommended, and if so, the amount of the salary increase recommended.

1.7 Those involved in reviewing Faculty Activity Reports may access Personnel Action Files to verify or substantiate information.

1.8 A copy of the Faculty Activity Report and related recommendations and communications leading up to the final FMI decision will not be filed in the candidate's Personnel Action File, but will be retained in the department office for a period of three years. A copy of the correspondence awarding an FMI will be filed in the incumbent's Personnel Action File.

2.0 Faculty Activity Report (FAR)

2.1 All Unit 3 employees shall submit a completed Faculty Activity Report to the department chair/head by the established deadline. These FARs shall be considered for PMIs each year that the PMI program is funded unless a faculty member indicates on the activity report that he/she declines to participate in the PMI program.

2.2 To facilitate the application process, Unit 3 employees may download the Faculty Activity Report form from the OpenMail Bulletin Area-Forms-Academic Personnel, or from the Academic Personnel website (http://academic-personnel.calpoly.edu/forms.html). FAR forms may be obtained from Academic Personnel (756-2844). The Faculty Activity Report is limited to no more than four (4) typewritten pages using 12-point type and one-inch margins. Candidates may, without disrupting the order of the information presented, alter the amount of space dedicated to a specific section.

2.3 FMI Period of Performance

2.3.1 1998/99

For fiscal year 1998/99 Faculty Merit Increases to be effective July 1, 1998, evidence submitted in support of a candidate should emphasize the period since the application deadline of the employee's last PSSI award through June 30,1998. (The deadline for 1997-98 PSSIs was January 30, 1998; 1996-97 PSSI deadline was November 7,1996; and 1995-96 deadline was January 25, 1996). For those who have not received a PSSI, the candidate should emphasize the 5 year period prior to the current PMI evaluation; or the interval since their initial appointment at Cal Poly if less than 5 years. Faculty Activity Reports for 1998/99 PMI awards are due October 1, 1999.

For the PMI program in fiscal year 1998/99, faculty unit employees may either rely upon the Faculty Activity Report submitted in the Spring 1999, or submit a new or revised FAR by the adjusted deadline of October 1, 1999.

2.3.2 1999/00

For fiscal year 1999/00 PMI's to become effective July 1, 1999, evidence submitted in support of a candidate should address only the period July 1, 1998 through June 30, 1999. Faculty Activity Reports for 1999/00 PMI awards are due October 1, 1999.

2.3.3 2000/01

For fiscal year 2000/01 PMI's to become effective July 1,2000, evidence submitted in support of a candidate should address only the period July 1, 1999 through June 30, 2000. Faculty Activity Reports for 2000/01 PMI awards are due October 1,2000.

2.4 All Faculty Activity Reports and supporting documentation must be submitted in writing only. No forms of electronic, photographic, or other media will be considered, unless authorized by the dean or appropriate administrator.

3.0 Criteria

3.1 The criteria for the award of Faculty Merit Increases shall be as follows: a Unit 3 member shall be recommended for a Faculty Merit Increase for demonstrated performance, commensurate with rank, work assignment, and years of service, based on the quality of the unit member's:

Teaching;
Teaching and scholarship;
Teaching and service to the University and community; or
Teaching, scholarship, and service to the University and community.

3.2 Faculty unit employees whose performance does not include assignments in all of the above areas shall nonetheless be eligible for a Faculty Merit Increase on the basis of their performance in the individual areas of their assignment.

4.0 FMI calendar and timeline

4.1 The President or designee shall establish the specific timeline covering notification, evaluation, and PMI award announcements in consultation with the Academic Senate.

4.2 Failure to meet any established deadline for recommendations shall automatically result in the forwarding of all annual reports to the next level of review.

5.0 Procedures

Every Faculty Activity Report will be reviewed at the department level, by the appropriate college/unit administrator, and the President (or designee), except those FARs of persons who indicated that they decline to participate in the PMI program and do not wish to be considered for a Faculty Merit Increase.

5.1 Recommendations

5.1.1 Recommended salary increases may result in the placement of faculty unit employees between steps on the salary schedule.

5.1.2 Recommendations shall include not only whether each candidate is recommended to receive a PMI, but also the amount of the increase recommended for each candidate receiving a positive recommendation.

5.1.3 A faculty unit employee may review, and submit a written rebuttal to, his/her recommendation made at each step of the Faculty Merit Increase process.

5.2 Departmental Review

5.2.1 Each department shall decide whether departmental recommendations shall be made by either a committee of faculty unit employees, the department chair, designee, or combination of the above. All faculty unit employees on campus during Fall Quarter 1999 are eligible to vote on this decision. Votes are weighted in proportion to the incumbent's Fall Quarter 1999 time-base (e.g., the vote of a lecturer with a half-time assignment would count as 50%; a FERP with a one-third assignment would count as 33%).

5.2.2 Where there are not enough people to serve on a departmental committee, the department may select persons from a related academic discipline or appropriate administrative unit for that purpose.

5.2.3 No faculty unit employee shall become ineligible for service on a faculty campus committee because he/she is a candidate for an increase; however, a Unit 3 employee shall not review his/her own annual report for a Faculty Merit Increase.

5.2.4 Following completion of the evaluation procedure used by the department committee or designee, all Faculty Activity Reports shall be forwarded to the dean or other appropriate administrator along with any salary increase recommendation. The department shall inform the candidate of the recommendation in writing.

5.2.5 The total cost of all departmental recommendations shall not exceed the targeted allocation for the department/unit.

5.2.6 Candidates who receive positive recommendations, but for whom there is insufficient funding within the targeted departmental/unit allocation shall have their recommendation so noted for consideration by the dean (appropriate administrator).

6.0 Dean's Review

6.1 The dean or appropriate administrator of each college/unit shall receive all FMI annual reports from each department/unit within the college. After review of the Faculty Activity Reports and the recommendations from the department, the dean or appropriate administrator shall recommend individual PMIs to the President. The dean (appropriate administrator) shall inform the candidate in writing of his/her recommendation.

6.2 Administrative review of counselors shall be the responsibility of the Vice President for Student Affairs or his/her designee; for librarians the Dean of Library Services or his/her designee; for athletic coaches the Athletic Director or his/her designee; and for UCTE the Director of UCTE or his/her designee.

6.3 The total cost of all salary increases recommended by the dean (appropriate administrator) shall not exceed the target allocation for the college/unit. The dean (appropriate administrator) may concur or disagree with the departmental recommendations, may change the amount of any recommended increase, and/or may recommend an increase for any member of the department that was not recommended by the committee or departmental designee.

7.0 Presidential Review

The President or designee shall review the Faculty Activity Reports, recommendations from the academic departments/units and the recommendations of deans or appropriate administrators, and grant Faculty Merit Increases.

8.0 FMI Appeal Process

8.1 A faculty member who has received a positive recommendation from the department or the dean may appeal the President's decision to deny or reduce that FMI within 14 days after receipt of the President's decision.

8.2 FMI appeals shall be heard by a committee of five (5) faculty unit employees chosen by lot from an appeals panel elected by the faculty unit employees. Faculty unit employees who are appealing Faculty Merit Increase decisions shall not serve on the committee during that year. The committee will hear all FMI appeals in a single hearing. The CSU and the faculty unit employee (and/or representative) may present evidence to the panel at the hearing. A positive majority decision by the committee shall be required in order to grant any FMI appeal. The decision of the appeal committee shall be final and binding.

8.3 The appeal committee may not grant any increases that total more than the amount reserved from the campus pool, which consists of 5% of the campus funds available for all FMI increases.

CAL POLY 1999/00 FACULTY MERIT CALENDAR

FMI Calendar for 1998/99 and 1999/00

September 24, 1999

- Departments determine whether to utilize a Departmental PMI Committee composed of faculty unit employees, the department head/chair, designee, or combination of the above at the discretion of the department.

- Department head/chair advises dean (or appropriate administrator) of department's decision.

October 1, 1999

- Faculty unit employees (faculty, librarians, coaches, counselors) who were not eligible for SSI submit completed Faculty Activity Reports to the department chair/head who makes them available to the Departmental PMI Committee or designee, and provides dean (or appropriate administrator) and the President with a copy of each FAR.

- Faculty Activity Reports shall detail in separate sections the following:

    a) 1998-99 FMI: All appropriate activities for the period from last review (see Section 2.3 of Campus Policy) to June 30, 1998, for fiscal year 1998/99 Faculty Merit Increases retroactive to July 1, 1998, and

    b) 1999-00 FMI: All appropriate activities between July 1, 1998, through June 30, 1999 for fiscal year 1999/2000 Faculty Merit Increases to become effective July 1, 1999.

October 15, 1999

- Departmental PMI Committee (or designee) reviews all Faculty Activity Reports of Unit 3 employees from respective department/unit and provides recommendations to dean with a copy to candidate and to the President.

October 19, 1999

- Candidate may submit a written rebuttal to the dean.

October 27, 1999

- Dean (or appropriate administrator) reviews Faculty Activity Reports, department recommendations, and provides separate recommendation to President with copy to the candidate.

October 29, 1999

- Candidate may submit a written rebuttal to the President.

November 5, 1999

- President (or designee) notifies candidates of final PMI decisions retroactive to July 1, 1998 and July 1, 1999.

November 19, 1999

- Appeal deadline. Faculty may appeal if they were favorably recommended by the department or the dean for an PMI, and the final PMI decision is less than the amount recommended at either level, or the PMI was denied.

California State University Faculty Activity Report

Check one applicable time period per FAR completed: For the period:
D 1. (date of last review) through June 30, 1998
D 2. July 1, 1998 through June 30, 1999

Please check the area of evaluation you wish to have emphasized during this review period (check only one):
DTeaching (see Section I below)
DTeaching and scholarship (see Sections I and II below)
DTeaching and service to University and community (see Sections I and III below)
DTeaching, scholarship, and service to University and community (see Sections I, II and III below)

Name _____ Dept. _____
Highest Degree & Date _

In no more than four (4) typewritten pages using 12-point type and one-inch margins, provide information on your activities, contributions, and accomplishments in the following area(s) you have selected, for the period covered by this report. (Note, the sub-headings under each section are considered guidelines and not an obligatory request for information)

I. Teaching & Contributions to Student Development/Other Primary Work Assignment

A. *Summarize and comment on your student evaluations of teaching.*
B. *Describe any changes in teaching approach or in responsibilities.*
C. *Describe your responsibilities in advising, supervision, or similar activities.*
D. *Course development or other curricular activities (i.e. redesign a major or minor)*
E. *Other*

II. Scholarly/Creative Activities and Professional DevelopmentJPractice

A. *List/describe work completed (books, journal articles, performances, editing, presentations, grant proposals, etc.).*
B. *List/describe work in progress.*
C. *Other*

III. University & Community Service (list/describe your contribution to the following)

A. *Department Committees/Service*
B. *College, University, Systemwide Committees/Service*
C. *Professional Service Activities*
D. *Community Service Activities*
E. *Other*

IV. Optional: List special accomplishments & other activities not included in any of the above

Are you willing to have your name published if awarded a Faculty Merit Increase? Yes No

I do / do not *(circle one)* wish to be considered for a Faculty Merit Increase.

I attest that the information provided in this report is accurate and true to the best of my knowledge.

_____ _____
Faculty Member's Signature Date

The following information will be accessible to departments, and faculty members are NOT REOUIRED *to include it on their FAR: Faculty Assignment by Department (FAD) reports for the past five years will be provided to FMI reviewers at department and college levels. FAD summarizes data regarding courses taught and enrollments by term for each faculty member. Academic Personnel will send each Department a report to include: rank/classification; tenured or probationary or temporary; if tenured or probationary, date of initial tenure-track appointment; if temporary, date of first appointment; years in present rank/classification; time base; and Sept. '98 monthly salary.*

CAL POLY

FACULTY MERIT INCREASE RECOMMENDATIONS RETROACTIVE TO JULY 1, 1998

Candidate: Department: _

Recommendation of Department

Check appropriate box:
The quality of the unit member's

D Teaching;

D Teaching and scholarship;

D Teaching and service to the University and community; or

D Teaching, scholarship, and service to the University and community

A Faculty Merit Increase retroactive to July 1,1998 is (check ONLY ONE):

D recommended within department target allocation for annual increase of $ _

D recommended; however, insufficient funds within department target allocation to cover costs

D not recommended

Signature, Department Designee Print Name Date

Recommendation of Dean / Appropriate Administrator

Check appropriate box:
The quality of the unit member's

D Teaching;

D Teaching and scholarship;

D Teaching and service to the University and community; or

D Teaching, scholarship, and service to the University and community

A Faculty Merit Increase retroactive to July 1, 1998 is (check ONLY ONE):

D recommended within college/unit target allocation for annual increase of $ __

D recommended; however, insufficient funds within college/unit target allocation to cover costs

D not recommended

Signature, Dean!Appropriate Administrator Print Name Date

CAL POLY

FACULTY MERIT INCREASE RECOMMENDATIONS
RETROACTIVE TO JULY 1, 1999

Candidate: Department: _

Recommendation of Department

Check appropriate box:
The quality of the unit member's

O Teaching;

O Teaching and scholarship;

O Teaching and service to the University and community; or

O Teaching, scholarship, and service to the University and community

A Faculty Merit Increase retroactive to July 1,1999 is (check ONLY ONE):

O recommended within department target allocation for annual increase of $ _

O recommended; however, insufficient funds within department target allocation to cover costs

O not recommended

Signature, Department Designee Print Name Date

Recommendation of Dean / Appropriate Administrator

Check appropriate box:
The quality of the unit member's

O Teaching;

O Teaching and scholarship;

O Teaching and service to the University and community; or

O Teaching, scholarship, and service to the University and community

A Faculty Merit Increase retroactive to July 1, 1999 is (check ONLY ONE):

O recommended within department target allocation for annual increase of $ _

O recommended; however, insufficient funds within department target allocation to cover costs

O not recommended

Signature, Dean!Appropriate Administrator Print Name Date

RECEIVED

AUG t 7 1999

Academic Senate

State of California
Memorandum

CAL POLY

SAN LUIS OBISPO
CA 93407

To: Myron Hood
Chair, Academic Senate

Date: August 9, 1999

From: Warren J. Baker
President

Copies: Paul Zingg
Mike Suess
College Deans

Subject: Response to AS-530-99/FAC, *Resolution on Faculty Merit Program*

Based upon the recommendations of the Provost's staff, I am pleased to approve the above Resolution of the Academic Senate which establishes a campus policy for addressing faculty merit increases in compliance with the new collective bargaining agreement.

Please extend my gratitude to members of the Academic Senate and the Faculty Affairs Committee for their contributions in developing this policy.