



San José State
UNIVERSITY

Office of the President

One Washington Square
San José, CA 95192-0002
Voice: 408-924-1177
Fax: 408-924-1199
E-mail: sjsupres@sjsuvm1.sjsu.edu
<http://www.sjsu.edu>

President:
Dr. Robert L. Caret

April 6, 1999

PD 99-01

MEMO TO: Vice Presidents, Deans, Directors, Department Chairs, and
Administrative Heads

FROM: Robert L. Caret
President

SUBJECT: Presidential Directive 99-01

Interim Faculty Merit Increase Policy

This policy is to be used in implementation of Policy 31 of the Resolution passed by the California Board of Trustees on March 17, 1999 entitled: "Adoption of Policies after the Conclusion of the Statutory Impasse Procedures between the California State University and the California Faculty Association." It addresses the provisions for a Faculty Merit Increase Program set forth in sections 31.14-31.35. This Presidential Directive replaces and supersedes University Policy F97-3.

This policy shall be superseded if a collective bargaining agreement is reached between the California State University and the California Faculty Association.

The Resolution should be reviewed for details of the salary structure, including General Salary Increases (GSIs), Service Salary Increases (SSIs) and Chair's compensation. This Directive is intended only to address the policy and procedural elements for the FMI Program.

RLC:ms

The California State University:
Chancellor's Office
Bakersfield, Channel Islands, Chico,
Dominguez Hills, Fresno, Fullerton,
Hayward, Humboldt, Long Beach,
Los Angeles, Maritime Academy,
Monterey Bay, Northridge, Pomona
Sacramento, San Bernardino, San Diego,
San Francisco, San José, San Luis Obispo,
San Marcos, Sonoma, Stanislaus

Interim Faculty Merit Increase Policy

I. Preamble

A. Purpose

Faculty Merit Increases (Hereafter FMI) are awards that recognize outstanding or meritorious performance in the areas of teaching, service to the University, or other professional accomplishments that enhance the mission of the University.

B. Eligibility

Generally, all Unit 3 employees are eligible to participate in the FMI Program. Only the following classifications of employees are ineligible to participate: 2323—Instructional Faculty - Extension; 2322—Instructional Faculty - Special programs; 2402—Instructional Faculty -Summa Arts; 2357—Instructional Faculty - Summer Session; and 2356—Substitute Instructional Faculty.

C. Allocation and Use of FMI Funds

1. The amount of funds dedicated to the FMI program at each CSU campus is based on the number of filled full-time equivalent faculty positions. After retaining a reserve fund of up to 8% of the campus allocation, the President will then allocate FMI funds to each college based on the number of filled full-time equivalent faculty positions.
2. Although the allocation for FMIs for department chairs is kept separate from the general FMI funds, chairs are to participate in the same review process along with other faculty unit employees.
3. Market salary adjustments, equity salary adjustments, and promotion increases greater than the five percent (5%) minimum are not part of the FMI review process. However, FMI funds that are unallocated or held in reserve can be used by the President for these purposes in accordance with existing processes for the approval of such salary adjustments and increases.
4. It is not required that all funds allocated for Faculty Merit Increases (FMIs) be spent. Unspent funds for any fiscal year are automatically added to the FMI pool for the subsequent fiscal year.

D. Terminology

As used in this document, "department" and "college" refer to the appropriate administrative units. "Dean" and "chair" refer to the appropriate individuals within the leadership structure of that unit. Also, Unit 3 employees are also referred to in this document as "faculty unit employees," "employees," or "faculty members."

II. Types of Awards and Award Criteria

In general: Faculty unit employees are eligible for an FMI for demonstrated outstanding or meritorious performance, commensurate with rank, work assignment, and years of service, in the area of teaching, as well as for other scholarly professional accomplishments and for service to the University community. Faculty unit employees whose performance does not include assignments in all of the above areas shall nonetheless be eligible for an FMI on the basis of their performance in the individual areas of their assignment as well as other professional accomplishments and service to the University community. FMIs may be awarded for:

The quality of the unit member's teaching alone;
Teaching and scholarship;
Teaching and service to the University and community; or
Teaching, scholarship, and service to the University and community.

A. Types of Awards

1. Awards to Individual Faculty Unit Employees: The recognition of outstanding or meritorious performance by a faculty unit employee shall normally be in the form of a permanent increase in the base salary of the individual, or shall be in the form of a bonus (not a permanent increase in the base salary of the individual) of no more than the equivalent of an annual salary increase of two and four-tenths percent (2.4%) in the case of faculty unit member who has reached the top of his/her rank or classification in the salary schedule. No faculty unit employee shall receive more than a twelve and one half percent (12.5%) Faculty Merit Increase in any year.
2. Awards to Members of a Group: The recognition of outstanding performance by a faculty unit employee may also be in the form of a bonus (not a permanent increase in the base salary of the individual) of no more than the equivalent of an annual salary increase of two and four-tenths percent (2.4%) in the case of faculty unit members whose outstanding performance was part of an activity or project conducted by a team, department, or group of employees.

B. Evaluation Areas:

Outstanding or meritorious performance must be in one or more of the evaluation areas described below, with at least adequate performance in all other areas of the faculty unit employee's assignment. Examples of achievements that might serve as the basis for demonstrating outstanding or meritorious performance in the evaluation areas are provided below.

1. Teaching or other academic assignment: Examples include, but are not limited to, instruction, advising, mentoring, supervision (such as individual studies, thesis direction,

field supervision), contributions to improvement of student learning (such as curriculum development and revision, course and program coordination, assessment of learning outcomes, development of assessment tools, and applications of technology), and enhancement of library and counseling services for students.

2. Scholarly or professional accomplishments: Examples include, but are not limited to, discovery (traditionally labeled research, especially that which is published or presented to professional audiences), integration (such as inter-or cross-disciplinary efforts), application (such as use in teaching or solving social, community, or technical problems), and creative activity (such as works of art and performances).
3. Service to the University or community: Examples include, but are not limited to, significant committee work; student outreach and retention; application of expertise to benefit the University and its community through participation in university and community organizations, professional associations, California Faculty Association, and appropriate governmental boards and commissions; advancement of public support for the University; and lectures and seminars to community groups.

III. Process for Determination of Merit and Percentage Increase Under the FMI Program

A. The Faculty Activity Report:

Every faculty unit employee shall submit an activity report to his or her department chair by the published deadline. These activity reports shall adhere to the format and guidelines distributed by the Office of Faculty Affairs. No award is possible without timely submission by the faculty unit employee of his or her activity report. An activity report is required for each separate review period.

1. Due Date for Activity Reports: Activity reports are due to the employee's department chair by the published calendar covering all appropriate activities for two separate periods as follows:
 - a. Period 1-- The period from the "last review" to June 30, 1998. Employees must clearly indicate the "last review" date for Period I on their activity reports, by consulting the instructions for calculating the period of review.
 - b. Period 2 -- The period from July 1, 1998 through December 31, 1998.
2. Personnel Action File: Activity reports are to be placed in both the Personnel Action File and any Working Personnel Action File established for the purpose of conducting evaluations pursuant to Policy 15 (Evaluation) of the Resolution. For this purpose, each department shall make a copy of each employee's activity report and submit it to the Office of Faculty Affairs after the employee submits the report to the department chair at the start of the FMI review process.

B. The FMI Review Process

1. Overview: The FMI resolution calls for a review of the activity reports by at least: the department chair, the appropriate campus committee(s) of tenured faculty members, and academic administrators and/or the President. On our campus this may include an optional departmental committee review, and shall include a chair's review, a college committee review, a Dean's review and a Presidential decision.
2. Special considerations for reports due in Spring 1999: Activity reports due in Spring **1999** cover activities for two different periods. The FMI review process for these two sets of reports should be timed as two separate reviews. Thus, for example, in reviewing "Period 2" reports, the results of the review of "Pond 1" reports are not to be considered.
3. Timeline: The Office of Faculty Affairs shall prepare a list of due dates as established by the Resolution and this document, and provide it to each department prior to the date employees are required to submit their activity reports.
4. Guidelines Relevant to Each Step of the Review Process:
 - a. Faculty participation in the review process: Faculty members, including department chairs, shall not review their own activity report at any step of the FMI review process. Because the Resolution specifically provides that all employees must file activity reports, employees under review who are elected to review committees shall recuse themselves both from deliberations and voting on their own activity reports.
 - b. Tracking Report: The Office of Faculty Affairs will create a form that will report the conclusions reached at each step of the review process. One tracking report should accompany each activity report throughout the process. Completed tracking sheets will be returned to the employees with the President's decision.
 - c. Failure of reviewers to meet established deadlines: Failure to meet any established deadline in a given unit for recommendations shall automatically result in the forwarding of all activity reports in that unit to the next level of review, if the reports are forwarded to the President due to failure to meet a deadline, he or she shall determine the status of the FMI award and percentage amounts.
 - d. Confidentiality: Confidentiality of all preliminary recommendations, activity reports, and tracking reports shall be maintained at all times.
5. Procedures and Guidelines for Each Step of the FMI Review Process:
 - a. Employees who are either not in academic departments or are in multiple departments:
 - i. Employees not in an academic department: Faculty unit employees who are not members of an academic department shall be reviewed under the FMI review process within units to be designated by the Office of Faculty Affairs, which will first consult with the appropriate administrators or supervisors designated as equivalent to chairs and deans.

ii. Employees in multiple departments: Generally, employees with assignments in multiple departments for any period under review will be evaluated in their department of primary assignment. If the employee prefers to use another department in which she or he was assigned during the period under review; she or he must first obtain approval from the Office of Faculty Affairs. The Office of Faculty Affairs will consider the request through consultation with the employee and relevant chairs and deans. Such requests must be made prior to the due date for submission of the activity report to the department chair.

b. Optional Departmental Committee Recommendations

- i. Committee formation: Each department shall, according to regularly established departmental policy, either forward all activity reports directly to the department chair (as described below), or shall review them at the departmental level. If there is a departmental review, an appropriate departmental committee consisting of tenured Unit 3 faculty will review the activity reports and make a recommendation. If a departmental review committee is constituted, it must be elected in accordance with UPS- S98-2 and must adhere to all the provisions set forth below for college level committees. The department chair is eligible to vote, but not to serve on the committee. The department committees must have a minimum of three tenured faculty unit employees. If a department does not have a sufficient number of tenured employees to serve on its review committee or chooses not to elect faculty from its own department, it shall select faculty unit tenured employees from other appropriate departments or administrative units. No individual may serve on both a departmental and college level review committee within the same college.
 - ii. Timelines: Departmental committees must complete their review between the deadline for submission of annual activity reports and in sufficient time to allow for a full review by the Department Chair prior to the deadline for submission of the recommendations to the next level.
 - iii. Reporting: For each employee under review, the department committee must complete the employee tracking report to indicate whether an FMI is recommended or not recommended and will briefly indicate the reasons for its positive recommendations. The tracking report should be attached to the appropriate activity report and submitted to the department chair.
- c. Department Chair's Review: Department chairs are to review each Faculty Activity Report along with the recommendations of the Departmental Committee, if any. The chair shall complete the tracking report by indicating whether an FMI is recommended or not recommended, and briefly indicating the reasons for his or her positive recommendations. The chair does not make a recommendation with respect to his or her own FMI.
- d. College Committee Review: College FMI Committees of tenured faculty members shall be elected in accordance with college policy. The committee shall consist of tenured Unit 3 faculty from within the college or from other appropriate departments

or administrative units. Committees are to review each Faculty Activity Report along with the recommendations of the Departmental Committee, if any, and the Department Chair. No individual shall participate in deliberations or vote on his or her own FML Committees shall complete the tracking report by indicating whether an FMI is recommended or not recommended and shall briefly indicate the reasons for positive recommendations.

- e. Dean's Review: The recommendations of *the* departmental committee, if any, the chair, and the college review committee shall be reviewed by the dean. The dean may concur or disagree with any recommendation. The dean shall specify the percentage increase recommended for each faculty member and shall briefly indicate the reasons for her or his recommendation if it differs from the recommendations of previous reviewers. The total amount recommended for all FMIs may not exceed the amount allocated to the college.

- f. President's Decision
 - i. Process: The president may reject, decrease, or increase any recommendation received. At least fifty percent (50%) of the candidates receiving a Faculty Merit Increase must have received a positive recommendation from the highest-level faculty committee, provided that
 - a. The highest level faculty review committee makes a positive recommendation for enough candidates to fully expend the campus' pool for Faculty Merit Increases in that fiscal year, and
 - b. The highest level faculty review committee meets the time requirement for the review and recommendation of all candidates to the President by the date specified in the campus calendar.
 - ii. Notification date: The president or his designee shall select the FMI recipients by no later than July 1, 1999 for fiscal year 1998/1999, and no later than 14 days after the final budget allocation from the Chancellor's Office to the campuses of each year thereafter.

IV. Additional Information Relevant to the FMI Program

A. No Guarantee of Award:

The University is not required to award an FMI to any faculty unit employee.

B. Grievance Procedures:

Neither the decision to grant or deny an FM!, nor the amount of the increase, are subject to grievance or appeal.

C. FMI Program and RTP and Personnel Decisions and Actions

1. FMI decisions are not part of RTP. The decision to grant or deny an FM! is not to be considered in deliberations regarding the granting of reappointment, promotion or tenure. However, this does not preclude the consideration of any facts during RTP deliberations that are also considered during FM! deliberations.
2. An award of an FMI is not considered a personnel recommendation, decision, or action which must be based upon a faculty member's Personnel Action File pursuant to the Agreement. [31.32]
3. The University considers that employee PAFs are private and confidential. However, if FMI reviewers at any level deem that certain verification or clarification of an aspect of the Faculty Activity Report is absolutely essential to their ability to make a recommendation, they may seek specific information directly from the faculty member or from the designated custodians of faculty records.