

A campus of The California State University

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**Office of the Academic Senate** • One Washington Square • San José, California 95192-0024 •

**FACULTY MERIT INCREASE (FMI) AND  
SERVICE SALARY STEP INCREASE (SSI) PROGRAMS FOR**



## B. Retention, Tenure and Promotion (RTP) Decisions as Distinct from FMI Decisions

1. In General: Except as provided in B.2. (next), potential or actual salary increases related to promotion are not to be considered in the FMI review process. Any FMI award would be per the process and criteria described in this policy and would not in any way relate to the RTP process.
2. Employee option: If an employee elects to include his or her FAR and recommendations in his or her Personnel Action File, only then may this information-be considered during RTP deliberations.

## C. Amount of Award

1. Awards to Individual Faculty Unit Employees: Generally, the recognition of demonstrated performance by a faculty member shall be in the form of a permanent increase in the base salary of the individual on the salary schedule in Appendix C of the Agreement, but may also be in the form of a one-time bonus (rather than a permanent salary increase). Except for full professors, employees who have reached the top of their rank or classification on the salary schedule shall only be eligible for a bonus of no more than the equivalent of an annual salary increase of 7.5%. Full professors at or above the top of the salary range may receive a bonus and/or a permanent base pay increase of up to 7.5% through the FMI program. The sum of all FMI base pay increases and bonuses granted during a review period to any employee may not exceed 7.5% of that employee's base salary.

1. Whether the employee is seeking an FMI as an individual or as a member of a group or both (see Section II.C.2 of this policy). In seeking an FMI as a member of a group, the FAR is to include the names and departments of the other members of the group.
2. Whether the employee had an assignment in more than one department during the period covered by the activity report. If there was a multiple assignment, the employee is to indicate his or her department of primary assignment, and the department(s) of other assignment(s).

### C. Report of Employee Activities

Following the specified format for the FAR, employees shall submit a report of their activities for the appropriate period in each of the areas listed at Section II.A. of this policy: (1) teaching or performance in other academic assignment, (2) scholarship or professional accomplishments, and (3) service to the university or community. One or more of these three areas can only be omitted if the employee's assignment does not include that area. However, employees are not precluded from completing an area for which they have items to report even though their assignment does not include that area. Employees are encouraged to clearly describe their activities.

Examples of activities that demonstrate performance in the areas of teaching, scholarship, and service are listed below.

1. Teaching or Performance in 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), scholarship of teaching, and creative activity (such as works of art and performances).
3. Service to the University or Community: Examples include, but are not limited to, contributions through 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, Academic Senate and other governance bodies, California Faculty Association, and appropriate governmental boards and commissions; advancement of public support for the University; and lectures and seminars to community groups.

### D. Due Dates and Review Periods

1. Overview: Appendix A of this document provides a chart showing the due dates for each FAR, the period under review, review completion dates, effective date of any FMI awarded, and the relevant fiscal years. For Fall 1999, two FARs are to be submitted covering two separate review periods. FARs for subsequent review periods will also be due in Fall semesters, per the schedule provided in Appendix A.
2. FARs due in Fall 1999 cover the following periods:

Period 2—The period from July 1, 1998 through June 30, 1999.

3. Meaning of "Last Review": For FARs covering Period 1 above, the following information is to be used to determine the review period.

- a. For faculty appointed before Spring 1991 and who did not receive a PSSI, use January 1, 1991 as the date of last review.
- b. For faculty appointed during or after Spring 1991 and who did not receive a PSSI, use the date of hire as the date of last review.
- c. For faculty who received a PSSI as a result of the review in Spring 1996, but did not receive a PSSI since that time, use February 4, 1996 as the date of last review.
- d. For faculty who received a PSSI as a result of the review in Fall 1996, but did not receive a PSSI since that time, use October 10, 1996 as the date of last review.
- e. For faculty who received a PSSI as a result of the review in Fall 1997, use September 18, 1997 as the date of last review.

#### E. Personnel Action File

At the discretion of each faculty member, his or her FARs with or without the notification of all FMI decisions may be placed in both the Personnel Action File (PAF) and any Working Personnel Action File established for the purpose of conducting evaluations pursuant to Article 15 (Evaluation) of the Agreement. For this purpose, employees who want these items placed in their files so that they could be available for consideration in RTP decisions, shall make a copy and provide it to their department chair with instruction to have it included in their PAF and Working PAF.

### IV. The FMI Review Process

#### A. Overview

The FMI Program calls for review of the FARs through a three-step process:

- Step 1 - Departmental Recommendations
- Step 2 - Dean's Review
- Step 3 - Presidential Decision

The FMI review process includes an optional appeals process following Step 3 (see Section IV.F. of this policy).

The SSI review process (see Section V of this policy) is to occur before the FMI review process.

#### B. Considerations for Reports Due in Fall 1999

Activity reports due in Fall 1999 cover activities for two different periods. Steps 1 through 3 of the FMI review process for these two FARs should be treated as two separate reviews (and any appeals treated as separate appeals). Thus, for example, in reviewing "Period 2" reports, the results of the review of "Period 1" reports are not to be considered. Departments have the option of forming separate review processes regarding the Period 1 and Period 2 reports. In addition, the same review mechanism does not need to be used for each period.

#### C. Timeline

The Office of Faculty Affairs shall prepare a list of due dates as established by the Agreement and this policy, and provide it to each department by September 1 of each year. See Appendix A of this document for the dates the activity reports are due to the departments.

#### D. Guidelines Relevant to Each Step of the Review Process

1. Faculty Participation in the Review Process: Faculty members shall not review their own FAR at any step of the FMI review process. However, no employee is ineligible to serve on a committee just because he or she is a candidate for an FMI. Faculty are strongly encouraged to review University Policy S99-8 which provides the conflicts of interest policy with which all faculty must comply. The conflicts of interest policy must be followed by departments in creating and completing their recommendation process (described below). Should employees seeking an FMI be appointed to serve on an FMI review/recommendation committee, they shall recuse themselves both from deliberations and decisions on their own FAR and FMI.
2. Rebuttal: Faculty may review and submit a written rebuttal to the recommendations at each step of the FMI review process. A rebuttal to a department recommendation (Step 1) is to be submitted to the dean. A rebuttal to the dean's review (Step 2) is to be submitted to the Office of Faculty Affairs. Due dates for rebuttals will be indicated on the timeline to be prepared annually by the Office of Faculty Affairs.

Deans and the Office of Faculty Affairs are to ensure that any rebuttal received accompanies the appropriate FAR throughout the FMI review process.

3. Increase Determinations: Positive recommendations for FMIs shall also indicate the dollar amount of the recommended increase. At any step of the FMI review process, reviewers may recommend that an employee receive an increase of any amount up to 7.5% of the employee's base salary. Recommended increases are not limited to the salary step increments on the salary schedule and there is no minimum percentage or dollar amount for an award of an FMI. **FMI recommendations made by a department (Step 1) shall not exceed the target allocation for that department.**
4. Tracking Report and Notification of Results: The Department of Faculty Affairs shall create a form that can be used to report the conclusions reached at Steps 1 through 3 and the appeals process of the FMI review process. One tracking report is used for each employee throughout the process. A copy of the completed tracking sheet will be returned to employees at the completion of each step of the FMI review process.
5. Failure of Reviewers to Meet Established Deadlines: Failure to meet any established deadline for recommendations shall automatically result in the forwarding of all FARs to the next level of review. If the FARs are forwarded to the President durs to Tw T\*[base sala]TfmelineaT. rhof Fatbw -20.06to

- a. Employees Not in an Academic Department: Faculty members 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 supervisors designated as equivalent to chairs (must be a Unit 3 faculty member) and deans (or equivalent administrators).
- b. Employees in Multiple Departments: Generally, employees with assignments in multiple departments for any period under review will be evaluated at Steps 1 and 2 by their department (and dean) 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 and consult with the employee and relevant chairs and deans. Such request must be made prior to the due date for submission of the activity report to the department chair.

## 2. Step 1—Departmental Recommendations

- a. Who Makes the Recommendations: Departmental recommendations shall be made by the "recommending body" which can be either a committee of faculty unit employees, the department chair, designee, or combination of the above at the discretion of the department. Where there are insufficient persons to serve on any departmental committee, the department shall select faculty from a related academic discipline or appropriate administrative unit for that purpose.

Formation of a Recommending Body: Each department shall hold a meeting of all Unit 3 faculty to discuss and determine how it should act to complete its required recommendations within the guidelines of Step 1 described here and in Section II of this policy. Voting by secret ballot is to be utilized to reach a decision as to both the type of recommending body and its membership. Voting should be conducted per the procedures for regular and temporary faculty voting rights of UP S98-2; the department chair is eligible to vote. The decision reached should be put in writing and be available to faculty members in the department; the decision shall also be forwarded to the Office of Faculty Affairs. In forming the recommending body, consideration should be given to the following guidelines (not an exhaustive list):

- All faculty (full-time, part-time, tenured, tenure-track, probationary, and department chairs), are eligible for an FMI and to serve on the recommending body (that is, the recommending body, for example, is not limited to tenured full professors).
- There is no requirement that a departmental FMI committee be used for the FMI review process. Departments could decide instead, for example, to use elected faculty from outside of their department, to use an existing personnel committee, to have only faculty opting not to be considered in the FMI process serve on the recommending body, to have elected faculty from the department or college serve, or to have the chair acting alone make the recommendations.
- There is no requirement to use the same recommending body for each review period, but the procedures for forming the recommending body outlined in this section must be followed for each period.
- There is no requirement that the same recommending body be used for both the SSI and FMI reviews.



b. Function of the Recommending Body: The recommending body is to review the FARs following the criteria for awards outlined at Section II of this policy. Recommendations for FMIs must state the dollar amount to be awarded and collectively, may not exceed the amount of the department's target allocation of FMI funds. Any unused funds will be applied to the campus FMI pool for the following fiscal year.

Reporting: For each employee under review, the recommending body must complete the employee tracking report to indicate whether an FMI is recommended, and if yes, the dollar amount. Reasons may be given for any recommendation, but for any recommendation of denial of an FMI, the recommending body must explain the reason(s) on the tracking report. Where an FMI is denied, the recommending body should also indicate suggestions that may assist the employee in obtaining an FMI in a future period. The recommending body shall attach the completed tracking reports to the appropriate FARs and submit them to the dean by the published deadline (see timeline to be provided by the Office of Faculty Affairs per Section IV.C. of this policy).

### 3. Step 2—Dean's Review

The recommendations of the department shall be reviewed by the academic dean for that department. Such review may not be completed prior to review of any rebuttals filed by employees in response to the departmental recommendation. The dean 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. The dean must be sure that any changes to awards do not exceed the total FMI target allocations to the departments in that college. The dean shall verify that no recommended FMI exceeds 7.5% of the faculty member's base salary.

The dean's recommendations are to be noted on the tracking report. Reasons may be given for any recommendation. However, if the dean reduces the recommendation of the department for an employee under review, he or she must explain the reasons for the change on the tracking report. The dean is to forward all FARs and tracking reports to the President (through the Office of Faculty Affairs) by the published deadline (see timeline to be provided by the Office of Faculty Affairs per Section IV.C. of this policy).

### 4. Step 3—President's Decision

a. Process: All recommendations from each department and dean as well as all FARs shall be submitted to the president. The president may concur or disagree with the recommendations, may change the amount of any recommended increase, and/or may grant an increase for any member of a department that was not recommended by the committee or department designee, or by the dean. The total of the recommendations may not exceed the 85% target allocation to departments and the president's 10% allocation.

b. Notification date: The president or his designee shall, after consideration of all appropriate recommendations, select the recipients of the increases by no later than November 20 following the start of the FMI review process.

## F. Appeal Process

1. Committee Formation: The University must form an FMI Appeals Committee consisting of five faculty members. The Committee members are chosen by lot from an appeals panel elected by the faculty at the campus per instructions to be provided by the Office of Faculty Affairs. A separate Appeals Committee is to be used for FMIs and SSIs and for each review period. FMI

candidates who have filed an appeal are not eligible to serve on the committee. The committee may not include faculty members from the same department and may include no more than two faculty from the same college. Committee members shall recuse themselves from any appeal in which they had direct involvement during Step 1 of the FMI review process.

2. **Who May Appeal:** A faculty member who has received a positive recommendation from the department or the dean may appeal the President's decision denying an FMI or decreasing the amount of an FMI that was recommended by the department or the dean.
3. **How to Appeal:** Appeals are to be filed with the President (through the Office of Faculty Affairs) no later than 14 days after receipt of the President's decision. An employee's request for an appeal must also include his or her FAR and final tracking sheet. Both the CSU and the faculty member (and/or his or her representative) filing the appeal may present evidence to the appeals committee at the hearing. Evidence may be either in writing (not to exceed one page) or oral (not to exceed 10 minutes), or both.
4. **Process:** An appeal is to be heard by the 5-member appeals committee described in (1) above. The committee will hear all appeals at a single hearing. The committee is to work with the Office of Faculty Affairs in scheduling the hearing and communicating the appeals decisions to the appellants. Decisions of the committee shall be by majority vote. The decisions of the committee shall be final and binding. Decisions are to be communicated to the appellants by the end of the Fall semester. The committee may not grant any increases that exceed the amount of FMI funds reserved for appeals. Any portion of these funds that is not expended is to be added to the campus FMI funds for the following fiscal year.

## V. SSIs—Fiscal Years 1999/2000 and 2000/2001<sup>1</sup>

### A. Notification of SSI Eligibility Status

The Office of Faculty Affairs is to advise departments and appropriate administrators of faculty members eligible for SSIs by September 1 of each fiscal year.

### B. Award Process and Criteria

1. **Award Criteria:** The criteria to be used in evaluating employees for an SSI shall be whether the faculty member has demonstrated satisfactory performance commensurate with rank, work assignment, and years of service.
2. **Review Process:** SSI-eligible employees shall be reviewed by the department and appropriate academic administrator, who shall either grant or deny the SSI. The faculty member's FAR is to be used in these reviews. **The SSI review is to occur prior to the FMI review process.**

Departments shall decide on the procedure for conducting the review and the make-up of any review committee to be used. The process and guidelines for formation of the recommending body for completion of Step 1 of the FMI process should be followed (see Section IV.E.2. of this policy).

3. **Timeline:** The Office of Faculty Affairs shall prepare a list of due dates as established by the Agreement and this policy, and provide it to each department by September 1 of each year.

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<sup>1</sup> See Article 31 of the Agreement for information on the award of SSIs for 1998/1999.

### C. SSI Appeals Process

1. Committee Formation: The University must form an SSI Appeals Committee consisting of five faculty members. The Committee members are chosen by lot from the FMI appeals panel (see Section IV.E.5). Employees who have filed an SSI appeal are not eligible to serve on the committee. The committee may not include faculty members from the same department and may include no more than two faculty from the same college. Committee members shall recuse themselves from any appeal in which they had direct involvement during the appellant's SSI review process.
2. How to Appeal: Appeals are to be filed with the President (through the Office of Faculty Affairs) no later than 14 days after receipt of the appropriate academic administrator's decision. Both the CSU and the faculty member (and/or his or her representative) filing the appeal may present evidence to the appeals committee at the hearing. Evidence may be either in writing or oral, or both.
3. Process: An appeal is to be heard by the 5-member appeals committee described in (1) above. The committee is to hear all appeals individually. The committee is to work with the Office of Faculty Affairs in scheduling the individual hearings and communicating the appeals decisions to the appellants. A majority decision by the committee is required in order to grant any appeal. The decisions of the committee shall be final and binding. Decisions are to be communicated to the appellants by the end of the current semester unless the appeals process was extended by mutual agreement. Any unexpended funds from the pool for SSI-eligible employees in fiscal years 1999/2000 and 2000/2001 shall be available to fund successful appeals. Any funds remaining after completion of the appeals process are added to the campus pool for FMIs for the following fiscal year.

### VI. Additional Information Relevant to the FMI and SSI Programs

- A. Grievance Procedures: Both the decisions to grant or deny an FMI or SSI and the amount of the increase are not subject to the grievance procedure of Article 10 of the Agreement.
- B. Reporting of FMI Awards
  1. To CFA: Within four months of the final FMI decisions (including the results of the Appeals Process), the CSU is to provide to the CFA, a report containing a list by campus of individual employees receiving FMIs, the dollar and percentage amount of each increase, and the total funds expended on the increases for the July pay period.
  2. To the campus: Within one month of the final FMI decisions (including the results of the Appeals Process), the Office of Faculty Affairs shall make public a list of faculty who received an FMI, their rank, the dollar amount of the increase received, and their department. This campus report shall show any award from the President's 10% pool of funds as a distinct category of FMI award. FMI awards are also to be reported by the dollar amount of increase, gender, and ethnicity, but **without** the individual names included.

### C. Personnel Action Files

1. An award of an FMI is not considered a personnel recommendation, decision, or action that must be based upon a faculty member's Personnel Action File pursuant to the Agreement.
2. The University considers PAFs to be private and confidential. However, if FMI or SSI reviewers at any level deem that certain verification or clarification of an aspect of the FAR 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. (See Section 31.30 of the Agreement.)

3. See Section II.B. of this policy for information on an employee's option to include their FAR and FMI recommendation in their PAF.

## Appendix A

### FMI Review Process: Summary of FAR Due Dates, Review Periods, Processing Dates, and Payment Start Date of Awards

Employee's Activity Report Due to Department Chair	Period Covered by the FAR*	Deadline for President to Select FMI Recipients**	Deadline to File An Appeal	Start Date of Any FMI Awarded	Related Fiscal Year
September 24, 1999	Date of last review (as defined at III.D.3. of this policy) through June 30, 1998	November 19, 1999	December 3, 1999	July 1, 1998	1998/1999
September 24, 1999	July 1, 1998 to June 30, 1999	November 19, 1999	December 3, 1999	July 1, 1999	1999/2000
September 22, 2000	July 1, 1999 to June 30, 2000	November 20, 2000	December 4, 2000	July 1, 2000	2000/2001

\* "All appropriate activities for the period" noted in this column of the chart are to be included in the report submitted by each faculty unit employee.

\*\* Review the timeline provided by the Office of Faculty Affairs by September 1 of each year for the required completion dates for the departmental recommendation and dean's review, and the due dates for rebuttals.

**Appendix B**

**California State University Faculty Activity Report**

**For the period of:**

\_\_\_\_\_ (date of last review) through **June 30, 1998**

\_\_\_\_\_ **July 1, 1998 through June 30, 1999**

\_\_\_\_\_ **July 1, 1999 through June 30, 2000**

**Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Department:** \_\_\_\_\_ **Highest Degree & Date:** \_\_\_\_\_

\_\_\_\_ Tenured    \_\_\_\_ Probationary    \_\_\_\_ Temporary    **Rank/Classification:** \_\_\_\_\_

If tenured or probationary, date of initial tenure-track appointment: \_\_\_\_\_

If temporary, date of first appointment: \_\_\_\_\_    Years in present rank/Classification: \_\_\_\_\_

To be completed by Department

Time Base: \_\_\_\_\_    Current Salary: \_\_\_\_\_    Eligible for SSI? Yes \_\_\_\_\_    NomTment