



**San José State**  
UNIVERSITY

A campus of The California State University

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**S00-2**

At its meeting of April 17, 2000, the Academic Senate passed the following Policy Recommendation

**FACULTY MERIT INCREASE (FMI) AND  
SERVICE SALARY STEP INCREASE (SSI) PROGRAMS FOR  
UNIT 3 FACULTY EMPLOYEES**

**I. Preamble**

**A. Purpose**

This policy is to be used to implement the Faculty Merit Increase (FMI) and 1999/2000 and 2000/2001 Service Salary Step Increase (SSI) programs described in Article 31 (Salary) of the Agreement between the CSU and the CFA, July 1, 1998 through June 30, 2001 and successor Agreements. Standards and criteria used in making recommendations for awards under the FMI and SSI programs must conform to this policy and the stated purposes and requirements of the FMI and SSI programs as set forth in the Agreement.

This policy is intended only to address the policy and procedural elements for the FMI and SSI programs. The Agreement should be reviewed for the details of the salary structure, including constraints of future state budget appropriations, General Salary Increases (GSIs), SSIs for 1998/1999, promotions, range elevations, and market/equity increases.

**B. Eligibility for FMIs**

1. In General: All Unit 3 employees are eligible to participate in the FMI Program. Because of the retroactive review periods covered by the FMI program (see Section III.D. and Appendix A of this policy), departments should mail materials to eligible faculty members who are not currently on campus, including making reasonable efforts to locate former temporary faculty members.

If at any point during the FMI review process, a Unit 3 faculty member becomes a member of the Management Personnel Plan (MPP) he or she is not eligible for an FMI.

2. Ineligible faculty: Only the following classifications of employees are ineligible to participate: 2323—Instructional Faculty - Extension; 2322—Instructional Faculty - Special programs; 2402—Instructional Faculty - Summer Arts; 2357—Instructional Faculty - Summer Session; and 2356—Substitute Instructional Faculty.

3. SSI-eligible also FMI-eligible: Faculty members eligible for SSIs are also eligible for FMIs on the same basis and amount as for faculty members who are not eligible for an SSI.

**C. Eligibility for SSIs**

The Agreement should be reviewed for the details of SSI eligibility and the number of steps available for eligible faculty (see section 31.36 and 31.37 of the Agreement). Beginning with the 1998/1999 academic year FMI awards, the award of an FMI shall not diminish an employee's eligibility for remaining SSIs.

**D. Allocation and Use of FMI and SSI Funds**

1. FMIs: 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 (FTEF). The campus pool of FMI funds is then distributed as follows:

a. 5% is set aside to fund successful appeals (see Section IV.E.5. of this policy);

b. 10% is set aside for use by the President (as allowed by Article 31 of the Agreement); and

c. 85% is distributed to departments on an FTEF pro rata basis. If the CSU and CFA reach an agreement prior to the start of the Fall 2000 semester allowing for it, the 85% distribution to departments will be based on FTEF represented by the FARs actually submitted in each department for which an FMI was requested.

There is no requirement to completely spend each of the allocations of campus FMI funds listed above. Unspent funds for any fiscal year are automatically added to the campus FMI pool for the following fiscal year.

In addition to funding recommended FMI awards, FMI funds from the President's 10% allocation and any prior year rollover funds, may also be utilized by the President to provide promotion increases of more than 7.5% (3 steps on the salary schedule). In addition, such FMI funds may also be used to fund range elevation increases of more than 5% (two steps on the salary schedule) for lecturers, and for market or equity increases. Unspent FMI funds from the prior fiscal year may be used at any time by the President for these stated non-FMI purposes (non-FMI funds may also be used). However, on October 1, any unspent FMI funds are added to the FMI pool for the current FMI cycle for use as indicated in 1.a, b, and c (above).

2. SSIs: For fiscal years 1999/2000 and 2000/2001, a separate pool of funds will be established by the CSU for SSIs. The amount of the funds will be computed by multiplying the total salary and benefits of SSI-eligible employees by 2.65%.

SSI funds for 1999/2000 and 2000/2001 that are not spent are available to fund successful appeals (see Section V.D. of this policy). Any funds not expended in the SSI ap

Process: The determination of whether an FMI will be awarded (and if so, the amount of the award) are determined per the procedures explained in Sections II, III and IV of this policy.

## 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. However, 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%. If the total FMI award moves faculty members (except full professors) beyond the maximum of their salary schedule, then they may receive an award that combines a permanent salary increase to the top of their salary schedule and a one-time bonus for the balance of the FMI award. 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.
2. Awards to Members of a Group: An award under the FMI Program will be in the form of a one-time bonus of no more than the equivalent of an annual salary increase of 7.5% in the case of an employee whose demonstrated performance was part of an activity or project conducted by a team, department, or group of employees.
3. Major Change in Assignment:
  - a. Base pay awards are not transferable from temporary faculty appointments to tenure-track or tenured appointments.
  - b. FMI base pay awards are not transferred when a faculty member accepts an appointment at another CSU campus because placement on the salary schedule is to be negotiated at the start of that appointment.

## III. The Faculty Activity Report (FAR)

### A. FAR Submission and Utilization

1. In General: Every faculty unit employee shall submit a Faculty Activity Report (FAR) to his or her department chair by the published deadline. Faculty members submitting a FAR are to be considered for an FMI unless they indicate on the FAR that they decline to participate in the FMI Program. Employees are to submit a FAR by the published deadline. A FAR must be submitted for each separate review period (see Section III.D. of this policy).
2. Limitations on use of FARs: FARs are to be used for SSI and FMI decisions as described in this policy and may not be used for any other decisions regarding individual faculty members. Departments and colleges may, however, use anonymous information provided on the FARs in a composite manner, but may only use information from a specific named faculty member's FAR with the permission of that faculty member.
3. Retention: A copy of each FAR shall be kept in the faculty member's department office for 3 years.

## B. FAR Contents and Format

The format, contents, and length of the FAR are specified per the CSU-wide form (Appendix F of the Agreement). This form is attached to this policy in Appendix B. In explaining their work assignment as required by the CSU-wide form, employees should state whether their performance did not include assignments in any of the three performance areas noted in Section II above. In addition, employees should state whether they had changes from their normal work assignment due to assigned time, sabbatical leave, large class size, service, research, etc. In addition, for appropriate review of the FAR, employees should also note the following items:

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).

Appendix C contains a guideline to describe better the type of information to be included on the FAR. Use of this guideline is optional unless a Department has voted in accordance with UP S98-2 to require its use. Departments may also create their own FAR guideline and require its use if approved by the UP S98-2 departmental voting procedure provided it follows the FAR mandated by the Agreement (see Appendix B) and is in accord with the requirements of this policy and the Agreement. A copy of the department approved guideline must be sent to the Office of Faculty Affairs prior to the date that FARs are to be submitted to the department (see Appendix A).

## 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

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 cover the following periods:
  - Period 1—The period from the "last review" to June 30, 1998. Employees must clearly indicate the "last review" date for Period 1 on their FAR.
  - Period 2—The period from July 1, 1998 through June 30, 1999.
  - Period 3—The period July 1, 1999 through June 30, 2000.
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 (including chairs) 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, but can be no earlier than the date that is seven days from the date the department's or dean's recommendation was delivered to the employee.

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

By increasing the number of positions to be reviewed (Step 2) of the 0.0012 Tcsjeivut e(e)3 em)8(pl)TJfol be indidate tr stepTJ

Relevance to the Appeals Process: An employee may only file an appeal if she or he was recommended for an FMI by the department (Step 1) or the dean (Step 2). Thus, if neither Step 1 nor Step 2 is completed, an employee will not be eligible to file an appeal.

6. Confidentiality: **Confidentiality of tracking reports, rebuttals, and appeals testimony shall be maintained at all times.**

#### E. Procedures and Guidelines for Each Step of the FMI Review Process

1. Employees who are either not in academic departments or are in multiple departments:
  - 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



If the department decides to have the chair serve as the sole member of the recommending body, the department must also determine how the recommendation of the chair's FMI

- 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

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.

### 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 grievance award are subject to the grievance procedures of the University.

**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**

## 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 \_\_\_\_\_ No \_\_\_\_\_

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 areas, for the period covered by this report.

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

- A. List courses taught and enrollments by term.
- B. Summarize your student evaluations of teaching.
- C. Describe any changes in teaching approach or in responsibilities.
- D. Describe your responsibilities in advising, supervision, or similar activities.
- E. Other

#### II. Scholarly/Creative Activities and Professional Development/Practice

- A. List/describe work completed (books, journal articles, performances, editing, presentations, grant proposals, etc.).
- B. Work in Progress – Describe work accomplished.
- C. Other



## **Appendix C**

# **Sample Guideline for the California State University Faculty Activity Report**

### **Purpose**

### III. University & Community Service

#### A. Department Committees/Services

- Name of committee, purpose, role served, nature of contribution, frequency of meetings, summary of attendance record, significant accomplishments during the FAR period.
- Other types of service to the department, college or university.

#### B. College, University, Systemwide Committees/Service

- Name of committee, purpose, role served, nature of contribution, frequency of meetings, summary of attendance record, significant accomplishments during the FAR period.
- Other types of service to the department, college or university.

#### C. Professional Service Activities

- Name of any committees or organizations, purpose, role served, frequency of meetings, nature of contribution, significant accomplishments during the FAR period.
- Presentations and speeches before community and professional groups – list and briefly explain, if appropriate.
- Outreach activities and other public service to the campus and surrounding community.

#### D. Community Service Activities

- Name of any committees or organizations, purpose, role served, frequency of meetings, nature of contribution, significant accomplishments during the FAR period.
- Presentations and speeches before community and professional groups – list and briefly explain, if appropriate.
- Outreach activities and other public service to the campus and surrounding community.

#### E. Other

- Anything else that is related to university and community service.