



At its meeting of April 17, 2000, the Academic Senate passed the following Policy Recommendation presented by Annette Nellen for the Professional Standards Committee.

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

- Whereas: F99-1, Implementation of Faculty Merit Increase (FMI) and Service Salary Step Increase (SSI) Programs For Unit 3 Faculty Employees, was implemented for Fall 1999.
- Whereas: F99-1 included a directive for the Professional Standards Committee to review the implementation of the policy and bring any necessary changes before the Senate by the end of the Spring 2000 session of the Senate.
- Whereas: In Fall 1999, the Professional Standards collected data on time spent by departments and deans' offices in the review and recommendation processes required by F99-1 and the CSU-CFA Agreement, and also collected information on process issues and recommendations for improving F99-1.
- Whereas: The Office of Faculty Affairs, per F99-1, collected information from departments on how they formed the required recommending bodies for the SSI and FMI reviews and recommendations, and this information was reviewed by the Professional Standards Committee.
- Whereas: The CSU-CFA Agreement provides that any change to the FMI policy for Fall 2000 must be completed by March 31, 2000. On February 9, 2000, SJSU's Office of Faculty Affairs and SJSU's CFA Chapter signed an agreement to extend the March 31 date to April 15 due to spring break and the fact that Senate meetings are only scheduled for February 28 and April 3, 2000. On April 10, 2000, the Office of Faculty Affairs and SJSU's CFA chapter mutually agreed to extend this date to May 1 due to the rescheduling of the Senate meeting from April 3 to April 17, 2000; therefore be it

Resolved: That University Policy F99-1 be superseded by the attached policy; and be it further

Resolved: That the attached policy be implemented effective Fall 2000.

Financial Impact: Costs of forming and operating various committees and providing relevant paperwork to employees and departments. Costs of Unit 3 faculty members in drafting their Faculty Activity Reports and serving on FMI and SSI review and appeal committees.

A report on hours spent by faculty, staff, deans, and administrators for Periods 1 and 2 of the FMI/SSI process is available from the Senate web page (www.sjsu.edu/senate/).

**ACTION BY THE UNIVERSITY PRESIDENT: Approved by President Robert Caret on
April 25, 2000.**

**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 appeals process shall be added to the campus FMI pool for the subsequent fiscal year.

E. Terminology

As used in this document, "department" refers to the appropriate administrative unit. Also, Unit 3 employees are also referred to in this document as "faculty unit employees," "employees," or "faculty members."

II. FMIs—Types of Awards and Award Criteria

A. In General

Faculty unit employees are eligible for an FMI for demonstrated performance, commensurate with rank, work assignment, and years of service, for the quality of the employee's:

- a. teaching alone;
- b. teaching and scholarship;
- c. teaching and service to the University and community; or
- d. teaching, scholarship, and service to the University and 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. Faculty and reviewers may check faculty appointment letters (or later modifications to them), as well as Article 20 of the Agreement that describes workload, for further information on the nature of a faculty member's work assignment.

In evaluating FARs, reviewers should bear in mind that the university benefits from the varied strengths and contributions of faculty members. Faculty member responsibilities vary according to rank, work assignment, type of teaching, the nature of service obligations, and whether the employee is a department chair. Faculty members will vary from one another in terms of the percentage of time devoted to teaching, scholarship and service. In evaluating the demonstrated performance of the faculty member in each of the areas (teaching, scholarship and service), the employee's combined activities should be evaluated within the parameters of whether they are appropriate to the employee's assignment and contribute to the overall mission of the department, college, and university.

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 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. Such items will be evaluated only in terms of how they relate to the faculty member's work assignment. Employees are encouraged to describe clearly their activities and must only report activities that fall into the period covered by the FAR.

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, contracts or grants, 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 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.
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 due to failure to meet a deadline, he or she shall determine the FMI award and percentage amounts.

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 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.

FMI funds may not be recommended for faculty members at the department level without review of the FARs by the departmental recommending body. Such review must use the FMI criteria (see Section II of this policy).

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.

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 award, if any, is to be made without violating the conflict of interest rules (see University Policy S99-8 and Section IV.D.1. of this policy).

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 academic dean for that department shall review the recommendations of the 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 with the amount of the award stated in dollars. For part-time faculty, the format for reporting recommendations must be clearly stated 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. Any reasons noted on the tracking report must relate to the FMI criteria (see Section II of this policy). 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 2000/2001¹

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).

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

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 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 22, 1999	December 6, 1999	July 1, 1998	1998/1999
September 24, 1999	July 1, 1998 to June 30, 1999	November 22, 1999	December 6, 1999	July 1, 1999	1999/2000
September 11, 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 _____ 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

III. University & Community Service

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

IV. Special Accomplishments & Other Activities Not Included Above

I am requesting a group award as all or part of this FMI. Yes* _____ No _____

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

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

Faculty Member's Signature

Date

On your FAR, include the names and departments of the other members of the group.

Appendix C

Sample Guideline for the California State University Faculty Activity Report

Purpose: This guideline lists items that should be reported on the FAR. It also states how to report various activities, such as advising responsibilities. Use of this guideline is optional unless the department voted to have all faculty members use it. You should determine if your department approved any specific FAR guideline before relying on the following one.

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

- A. List courses taught and enrollments by term (list all sections taught).
 - Course name, number and approximate number of students enrolled.
- B. Summarize your student evaluations of teaching (SOTEs) for all courses evaluated.
 - Point score of overall effectiveness.
 - Other scores as desired.
 - Observations on the scores and trends, if desired.
 - Observations from other evaluations, if desired.
- C. Describe any changes in teaching approach or in responsibilities.
 - New preparations.
 - New delivery approaches (for example, on-line).
 - New types of assignments or projects.
 - New pedagogical approaches.
- D. Describe your responsibilities in advising, supervision, or similar activities.
 - Types of student advising responsibilities and number of students (formal advising assignments, thesis supervision, field work supervision, independent study, or similar specific assignments) and whether it was part of your assigned coursework.
 - Participation in student orientation workshops.
 - Faculty advisor to any student organizations.
- E. Other
 - Describe the activities, if any, for which you received assigned time.
 - Curriculum development/review and assessment activities.
 - Service-learning activities.
 - Assistance with student projects not listed elsewhere.
 - Anything else relevant to teaching and contributions to student development.

II. Scholarly/Creative Activities and Professional Development/Practice

- A. List/describe work completed (books, journal articles, performances, editing, presentations, grant proposals, etc.).
 - State the status of each item of work for the FAR period (submitted, under revision, accepted, published, awarded, etc.).
 - Provide brief description of the work and the title of the journal or grant, if any. For publications, also note the page length, type of research involved, whether the journal is refereed, and the nature of the intended audience.
- B. Work in Progress – Describe work accomplished.
 - List all types of work (articles, presentations, grants, books, performances, papers, etc.) and stage at the end of the FAR period.
- C. Other
 - Editorial responsibilities.
 - Involvement with professional organizations related to scholarship and the type of contribution made.
 - Workshops, forums and seminars coordinated or led.

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.

Special Accomplishments & Other Activities Not Included Above

- Awards and other types of recognition – state nature of the award and who sponsored it.
- Special accomplishments not listed elsewhere in the FAR.