

FACULTY MERIT INCREASE PROGRAM

Pursuant to Article 31 of the CBA, the campus shall have a merit pay program.¹ This program shall consist of two components for merit pay. These components are the Service Salary Step Increase (SSI) and the Faculty Merit Increase (FMI). There shall be separate compensation pools for each component of the merit pay program.

For fiscal years 1999/2000 and 2000/01, the compensation pool for faculty members eligible for a SSI shall be calculated by multiplying the total salary and benefits of each eligible faculty member by two and sixty-five one-hundredths percent (2.65%). The remainder of the compensation pool shall be designated for the Faculty Merit Increase Program.

The FMI compensation pool shall be allocated as follows:

- a. Five percent (5%) is reserved to fund successful appeals
- b. Ten percent (10%) is reserved to the Provost
- c. Eighty-five percent (85%) is distributed to the departments on an FTEF pro rata basis.

There shall be no requirement to expend all the funds available in either compensation pool identified for this program. Any portion of funds not expended in any fiscal year shall automatically be added to the merit pool for the next year.

A FMI shall normally be in the form of a permanent increase in the base salary of the individual or shall be in the form of a bonus (not a permanent increase in the base salary of the individual) of no more than the equivalent of an annual salary increase of seven and one-half percent (7.5%) in the case of faculty members who have reached the top of his/her classification in the salary schedule. **Instructional faculty members holding the rank of Professor may be paid at a salary rate above the published rate for that classification.** An individual may not receive more than a seven and one-half percent (7.5%) increase in any year for an FMI.

The FMI recognition of a faculty member may be in the form of a bonus (not a permanent increase in the base salary of the individual) of no more than the equivalent of an annual salary increase of seven and one-half percent (7.5%) in the case of faculty members whose demonstrated performance was part of an activity or project conducted by a team, department or group of employees.

I. ELIGIBILITY

All faculty members, including full and part time faculty members, lecturers, probationary or tenured faculty (including library, SSP-AR faculty, FERP participants and coaches) shall be eligible to be considered for a FMI for demonstrated performance, commensurate with rank, work assignment, and years of service in the area of teaching, as well as for scholarly professional accomplishments and for service to the University community. Faculty members whose responsibilities do not include assignments in all of the above areas shall nonetheless be eligible for a FMI on the basis of their performance in the individual areas of their assignment. Nothing in this policy shall require the award of a FMI to any individual faculty member.

¹ For purposes of these procedures, the Library is treated as a school, the Student Affairs Area is treated as a school, and Athletics is treated as a school.

II. INFORMATION TO BE PROVIDED

In order to facilitate the process, Academic Personnel Services will provide each college/school/department with the following information:

- (1) the name of each faculty unit employee in the unit
- (2) the rank/classification of each faculty unit employee in the unit
- (3) the date of appointment of each faculty unit employee in the unit
- (3) the annual salary of each faculty unit employee in the unit
- (4) the SSI eligibility of each faculty unit employee in the unit.

III. FACULTY ACTIVITY REPORT (FAR)

1. All faculty unit employees shall submit an annual FAR which shall be used in the consideration for a FMI. (See Appendix A, Guidelines)
2. The format for the annual FAR shall be the format provided by the California State University. Faculty members may not append evidentiary documents or otherwise supplement the information requested in these reports.
3. For the **1998-99** and **1999-2000** Fiscal Year Faculty Merit Increase
All faculty members shall submit a report of their activities to their department chair with a copies to the dean and Provost, by **October 1, 1999**. This report shall detail in separate sections the following:
 - a) all appropriate activities for the period **from the last successful merit review application or the last five (5) years, whichever is sooner, to July 1, 1998**, for a FMI to be effective July 1, 1998, and
 - b) all appropriate activities for the period **July 1, 1998 through June 30, 1999** for fiscal year 1999/2000 for a FMI to be effective July 1, 1999, and
 - c) shall include the faculty member's rank/classification, salary, date of appointment, and whether the faculty member is eligible for a SSI and
 - d) shall be limited to work completed while employed by a campus of the CSU.
4. For the **2000-01** Fiscal Year Faculty Merit Increases

All faculty members unit employees shall submit a report of their activities to their department chair, dean and Provost by **October 1 of each year thereafter** which shall be utilized for the consideration for a FMI.

This report shall detail the following:

- a) all appropriate activities for the period **July 1, 1999 through June 30, 2000**, for fiscal year 2000/01 to be effective July 1, 2000, and
- b) shall include the faculty member's rank/classification, salary, date of appointment, and whether the faculty member is eligible for a SSI and
- c) shall be limited to work completed while employed by a campus of the CSU.

IV. CRITERIA

The criteria for the award of a FMI shall be as follows:

Faculty shall be eligible for faculty merit increases pursuant to the Collective Bargaining Agreement for demonstrated performance, commensurate with rank, work assignment and years of service, for the quality of the faculty member's

- (a) teaching alone; or
- (b) teaching and scholarship; or
- (c) teaching and service to the university and community; or
- (d) teaching, scholarship, and service to the university and community.

For faculty whose responsibilities are non-instructional, evidence of demonstrated professional effectiveness may be substituted for teaching. Faculty unit employees whose performance does not include assignments in all of the areas shall nonetheless be eligible for a FMI on the basis of their performance in the individual areas of their assignment.

In the evaluation of the candidate's performance within these criteria, committees and appropriate administrators shall exercise reasonable flexibility, balancing where the case requires, heavier commitments in one area with lesser commitments in another. Evaluators should also recognize that faculty responsibilities, priorities and opportunities vary according to rank, work assignment, and years of experience. The committees and the appropriate administrators must judge whether the faculty member is engaging in a pattern of activities which is sound, productive, and contributes to the overall mission of the department, the school, and the University.

V. PROCEDURES

A) General Guidelines

The following are the general procedures that apply to the entire process.

1. The department chair and the dean are responsible to assure procedures and established timelines are followed.
2. All deliberations related to recommendations regarding a FMI shall be conducted in executive session and remain confidential. Violations of this confidentiality are considered to be unprofessional conduct and may be grounds for disciplinary action.
3. At each level of review, a faculty member may be requested to provide supporting data. These materials should already be in the Open Personnel File. If they are not in the Open Personnel File, they shall be added to the Open Personnel File. Copies of the supporting data shall be provided by the faculty member within seven (7) days of the request.
4. Each level shall make an independent recommendation from the annual FAR. Each recommendation shall include not only whether the faculty member who submitted an annual FAR is recommended to receive a FMI, but also the amount of the increase recommended for those faculty receiving a positive recommendation.

5. A faculty member shall not review his/her own annual FAR for a FMI. However, no faculty member shall become ineligible for service on a departmental or appeal committee because he/she submitted an annual FAR.

6. An individual who receives an SSI is also eligible to receive a FMI of up to seven and one half percent (7.5%).

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

8. All annual FARs for a FMI and all recommendations shall be forwarded to the Provost by no later than November 5, 1999 for fiscal years 1998/99 and 1999/2000 and no later than November 5 of each year thereafter.

9. The dollar amount of all recommendations shall be in whole numbers which is divisible by twelve (12) into whole numbers in order to comply with the payroll practices of the Office of State Controller.

10. The award of a FMI shall not be considered a personnel recommendation, decision or action which must be based upon a faculty member's Open Personnel File pursuant to the Collective Bargaining Agreement. However, this provision shall not preclude review of a faculty member's Open Personnel File by the dean, Provost or Appeals Committee.

11. A faculty member may review, and may submit a written rebuttal to, the recommendations at each step of the Faculty Merit Increase process. Any rebuttal may not exceed three (3) typewritten, single spaced pages and must be submitted within four (4) days.

B) Departmental Peer Review Procedures

1. Each department² shall vote to determine its own procedure for evaluating Faculty FARs and recommending FMIs. Departmental recommendations shall be made by either a committee of faculty unit employees, the department chair, a designee, or combination of the above at the discretion of the department. All faculty unit employees in the department, including part-time lecturers,³ are eligible to vote for and serve on any committee elected by the department to evaluate Faculty FARs and recommend FMIs.

2. The determination shall be made in consultation with all faculty unit employees in the department including part-time lecturers.

3. The department shall forward a recommendation to the dean on each faculty member in the department who wishes to be considered for merit pay. The recommendation shall include not only whether a faculty is recommended to receive a FMI, but also the amount of the

2 For purposes of this policy, "department" also means "program" for those programs so recognized by the Provost.

3 For purposes of determining the methodology of review and balloting, if any, for committee members, part-time faculty shall have a vote equal to the fraction of the part-time employment. If elected to a committee, a part-time faculty member shall have a full vote.

increase recommended for the faculty members receiving a positive recommendation. The recommended amount of increase shall not exceed seven and one-half percent (7.5%) of the faculty member's annual salary. A copy of the recommendation shall be given to the affected faculty member.

4. The department shall indicate the reason for its recommendation on the form provided. The department may elaborate on the reason if it chooses to do so.

5. If a department does not make a recommendation by the established deadline to do so, the annual FAR shall be considered by the dean without the recommendation of the department.

6. The total of the recommendations shall not exceed the pool allocated to the department.

C) Dean's Review 4

1. The dean shall make an independent review of all the faculty FARs submitted, and the recommendations of the department. The dean may review the Open Personnel File of any faculty member in his/her school to assess the overall suitability of the faculty member for an increase. The dean shall make an independent recommendation on each faculty member who wishes to be considered for merit pay, including the recommended amount of increase for those faculty receiving a positive recommendation, to the Provost. The recommended amount of increase shall not exceed seven and one-half percent (7.5%) of the faculty member's annual salary. A copy of the recommendation shall be given to the affected faculty member.

2. The dean shall indicate the reason for the recommendation on the form provided. The dean may elaborate on the reason if the dean chooses to do so.

3. The total of the dean's recommendations shall not exceed the cumulative amount allocated to the departments within the college/school.

E. Provost's Decision

1. The Provost shall review all faculty FARs and recommendations from the department and the dean and any written rebuttals.⁵ The Provost may review the Open Personnel File of any faculty member to assess the overall suitability of the faculty member for an increase.

2. The Provost 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 the department who was not recommended by the department or dean.

3. The decision to grant or deny a Faculty Merit Increase, and the amount of the increase shall not be subject to the grievance procedure as provided in Article 10 of the Collective Bargaining Agreement, but shall be subject to the Faculty Merit Increase Appeal Process as described in Section VII of this policy.

4 For purposes of this policy, "Dean" also means the Dean of Library Services for librarians, the Vice President for Student Affairs and Dean of Students for SSP-AR's, and the Director of Athletics for coaches

5 Prior to the final decision, the Provost will normally consult with the President.

VI. Appeal Process

A) Eligibility for Filing an Appeal

1. Any faculty member who has received a positive recommendation from either the department or the dean may appeal the Provost's decision that

(a) denies a Faculty Merit Increase or

(b) decreases the amount of a FMI that is recommended by the department or the dean.

2. The faculty member may file an appeal with the Appeals Committee via Academic Personnel Services no later than fourteen (14) days after receipt of the Provost's decision. The appeal shall be no longer than three (3) typewritten pages. The appeal shall state the reason(s) the faculty member believes that he/she should be granted the appeal.

B) Election of an Appeal Panel

1. Each department shall elect the equivalent of one-tenth (1/10th) of its FTEF to serve as part of an Appeals Panel from which an Appeals Committee to hear appeals regarding SSI's and FMI's shall be selected by lot.

2. Each faculty member who is elected to the panel shall serve a staggered three (3) year term. However, once an individual has served on an Appeals Committee, he/she shall be excused from further service and his/her department shall elect a replacement.

3. All faculty unit employees in the department are eligible for election to the Appeals Panel.

4. Service on the Appeals Panel and Appeals Committee is a normal faculty responsibility.

C) Appeals Committee ⁶

1. Five (5) individuals shall be selected by lot from the Appeals Panel to serve on the Appeals Committee. Faculty unit employees who are appealing a Faculty Merit Increase decision or a denial of a Service Salary Increase shall not serve on the committee during that year.

2. Selection by lot shall be by the Vice President for Administration or designee in the presence of a designated representative of the exclusive bargaining agent and the appropriate administrator.

⁶ In Fall 1999, there will be two (2) appeal committees selected. One committee will hear appeals for the time period up until June 30, 1998. The second committee will hear appeals for the period July 1, 1998 to June 30, 1999. The second committee will also hear appeals of denials of Service Salary Increases.

3. No more than one person from any one college/school may serve on the Appeals Committee at one time.⁷

4. The Appeals Committee shall hear all Faculty Merit Increase Appeals in a single hearing. All SSI appeals shall be heard first.

5. The Appeals Committee will be provided with the appellant's

- (a) Faculty FAR
- (b) all the recommendations
- (c) rebuttals, if any
- (d) letter of appeal.

In addition, the Appeals Committee may review the Open Personnel File of the faculty member.

6. The Provost or designee and the appellant (or his/her representative) may present evidence to the panel at the hearing. In such instances, the faculty member or his/her representative shall first present the his/her appeal with the appropriate administrator providing a response, if any. A written copy of the presentation may be provided to the Appeals Committee.

7. The proceedings shall not be open to the public and shall not be a hearing. Therefore, witnesses shall not be permitted to testify orally or to submit written statements on behalf of either party.

8. There shall be no tape recordings or verbatim minutes.

9. No member of the Appeals Committee shall discuss any appeal with anyone other than another member of the Committee. A member of the Appeals Committee may not seek information independent of the process.

10. All written and oral information, including the deliberations of the Appeals Committee, are confidential.

11. All the decisions of the Appeals Committee shall be final and binding and are not subject to the grievance procedures outlined in Article 10 of the Collective Bargaining Agreement.

12. The Appeals Committee may not grant any increases that total more than the amount of the five percent (5%) campus pool reserved for appeals.

13. At the conclusion of the appeals process, the Appeals Committee shall give the President all the records of the committee and related documentation. The materials shall be retained by the President for three (3) years.

⁷ For purposes of this provision, the library faculty, the SSP-AR faculty, and the coaching faculty shall be considered one (1) college/school.

VIII. Publication of Faculty Merit Pay Increases

A list of individual faculty members receiving a FMI, their rank, the amount of the increase received and their department shall be made public no later than one (1) month after final decisions regarding such increases.⁸

Reference: CBA Articles 31

Approved by the Academic Senate September 1999
Approved by the President September 1999

⁸ “Final decisions regarding such increases” is defined to include the final and binding decisions of the Appeals Committee.

APPENDIX A

CALIFORNIA STATE UNIVERSITY, FRESNO FACULTY ACTIVITY REPORT GUIDELINE

The following campus guideline should assist you in completing the CSU Annual Activity Report. Using this outline is optional. Below the category from the CSU Activity Report are types of activities you might wish to consider including when submitting information. Feel free to improvise.

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

A. List Courses Taught and Enrollment by Term

B. Summarize your student evaluations of instruction (include overall evaluation of the course).

C. Describe any changes in teaching approach or in responsibilities

new preparations taught
new courses you have developed
new program you have developed

D. Describe your responsibilities in advising, supervision or similar activities

The number of students by term that you

- i. Have been assigned formal advising responsibility
- ii. Have supervised an independent study
- iii. Have participated on a project/thesis/dissertation committee
- iv. Have chaired a project/thesis/dissertation committee
- v. Have participated on or chaired a Qualification Examination Committee
- vi. Have supervised in field work / student teaching, etc.

Student clubs or activities including board memberships you have served as advisor or sponsor including the activities with these groups.
Publications or other professional activities in which you involved your students.

E. Other

List any activities for which you received assigned time
List any core curriculum you have formulated
List any service learning activities
Anything you believe to be relevant and not covered elsewhere

II. Scholarly/Creative Activities and Professional Development / Practice

A. List/describe work completed (books, journal articles, performances, editing, presentations, grant proposals, etc.

Works with status (e.g. submitted, accepted; published)

- i. Books
- ii. refereed/juried publications (by type)
- iii. non-refereed publications (by type)
- iv. performances (by type) (indicate if invited / refereed)
- v. professional editorial responsibilities
- vi. presentations given (indicate if invited / refereed)
- vii. papers given (indicate if invited / refereed)
- viii. grant proposals by
 - a. Total number of proposals submitted
 - b. Grants approved and funded
 - c. Grants Currently under review

B. Works in Progress -- Describe work accomplished.

Suggest using guideline for A.

C. Other

Involvement in local, state, regional, national and international professional organizations including offices held
professional consulting
clinical services provided
course software developed
colloquia, workshops, or other forums sponsored by you
video productions or television programs created by you
anything you believe to be relevant not listed elsewhere

III. University and Community Service

A. Department committees/service

B. College, University, Systemwide Committees/Service

You may wish to indicate when you have chaired an activity

C. Professional Service Activities

D. Community Service Activities

Presentations / speeches / talks before community groups
Service work with community groups
Collaborative projects with local, state, national agencies including schools
and type of involvement.

E. Other

Anything you believe to be relevant and not listed elsewhere

IV. Special Accomplishments and Other Activities not Listed Above

Awards or other forms of recognition received
Special accomplishments and other activities not included above