

HUMBOLDT STATE UNIVERSITY

Policy and Procedures Faculty Merit Increase (FMI) Bargaining Unit Three

I. Purpose

- A. This document implements Sections 31.7 through 31.35 of the Collective Bargaining Agreement (CBA) between the California State University (CSU) and the California Faculty Association (CFA) covering academic years 1998-99 through 2000-01. The goal is to recognize demonstrated performance of Unit 3 employees with either permanent increases in their base pay or with bonuses that do not represent a permanent base pay increase as specified in CBA 31.8 and 31.9. Such monetary compensation shall be termed a Faculty Merit Increase (FMI).
- B. The award of an FMI shall not be considered a personnel recommendation, decision or action that is based upon a faculty member's Personnel Action File (PAF) [CBA 31.31].
- C. All information submitted by individual Unit 3 employees through the FMI procedures outlined below shall be treated as confidential.

II. Eligibility

All Unit 3 employees are eligible to apply for and receive an FMI based upon the criteria and procedures specified below. Eligible employees include permanent faculty and librarians; coaches; counselors; and all temporary Unit 3 employees, whether full or part time, including lecturers, librarians, coaches and counselors.

III. Criteria

Consistent with 31.7 of the CBA, Unit 3 employees shall be eligible for FMIs for demonstrated performance commensurate with rank, work assignment, and years of service for:

- A. the quality of the unit member's teaching alone;
- B. the quality of the unit member's teaching and scholarship;
- C. the quality of the unit member's teaching and service to the university and community;
- D. the quality of the unit member's teaching, scholarship, and service to the university and community; or
- E. the quality of the unit members' performance in the individual areas of their assignments for those employees whose performance includes activities other than or in addition to those specified in areas A-D above.

IV. Definitions

- A. *Teaching Effectiveness*: This area encompasses instruction and such collateral activities as advising, mentoring, supervision (e.g. individual studies, thesis direction, field supervision), and contributions to improving student learning such as curriculum revision, course and program coordination, assessment of learning outcomes, and applications of technology.
- B. *Scholarship and Creative Activities*: Scholarship includes those activities that further knowledge and increase skill in the practice of a discipline. Such activities include, but are not limited to, the publication of scholarly works; research; exhibitions; performances; the scholarship of teaching, such as the development of curriculum and innovative methods of teaching/librarianship and practices that significantly enhance or add breadth to one's skills, abilities, and knowledge as a teacher and as a scholar.
- C. *Service to the University and Profession*: This area includes the Unit 3 employees' contributions to their departments or programs other than teaching/ librarianship, their participation in department programs, advising, college and university committees, their extra departmental work in the university at large, and participation in professional organizations. This area also includes the contributions of department chairs and other program leaders.
- D. *Service to the Community*: Activities in this area include speeches, projects, consultantships and active participation in community organizations, especially those contributions that can be identified in the Unit 3 employee's area of service within the university.

[The above section is consistent with Appendix J, HSU Faculty Handbook]

V. Procedures

- A. *Faculty Activity Report (FAR)*: Consistent with 31.11 of the CBA all Unit 3 employees shall submit a completed activity report provided in Appendix F of the CBA. Unit 3 employees may indicate on the form (Appendix F) that they do not wish to be considered for an FMI.

For each period (see V.B. below) the FAR shall consist of no more than four (4) typewritten pages, printed on one side, using 12-point type and with one-inch margins. No additional documentation beyond the Appendix F cover sheet and four-page report will be accepted. FARs that fail to meet these criteria will not be accepted or considered for FMIs at any level of review.

- B. *Review Periods:* For the term of this contract, the FARs will cover the following time periods [CBA 31.13, 31.16]:

Date of last review through June 30, 1998*

July 1, 1998 through June 30, 1999

July 1, 1999 through June 30, 2000

*Only the Unit 3 employee's performance since her/his initial appointment, last promotion, or last merit increase (including PSSIs) shall be considered. **In no case shall activities prior to four (4) academic years before the academic year of application be submitted or reviewed.**

- C. *Amount of Awards:*

1. No Unit 3 employee shall receive more than a seven and one-half percent (7-1/2%) FMI in any award period. [CBA 31.8]
2. Recommended increases may result in the placement of Unit 3 employees between the rate steps for their rank or classification. [CBA 31.1, 31.19-31.21]
3. For eligible Unit 3 employees, and except as noted under V.C.4.&5. below, the recognition shall be in the form of a permanent increase in the base salary of the individual. [CBA 31.8]
4. With the exception of those at the rank of professor, for Unit 3 employees who have reached the top of their rank or classification, which includes the steps restricted for FMI and/or market equity step increases, the recognition shall be in the form of a bonus (not a permanent increase in the base salary). [CBA 31.8] Unit 3 employees at the rank of professor for any instructional faculty classification may be paid at a salary rate above the maximum for their classification, including steps restricted for FMI and/or market equity step increases. [CBA 31.1]
5. A bonus (not a permanent increase in base salary) may be awarded to those Unit 3 employees whose performance was part of an activity or project conducted by a team, department/unit or group of employees. [CBA 31.9]
6. Recommended increases from departments/units shall not exceed the amount of funds allocated for use at this level. [CBA 31.19]

- D. *Review Process*

1. Recommendations from each level of review shall include whether the Unit 3 employee is recommended to receive an FMI and the amount of increase for those

Unit 3 employees receiving positive recommendations. [CBA 31.23] Increases shall be specified by percentages of increase to the candidates' base pay and in dollar amounts. At each level of review, the candidate shall be notified of the evaluator's recommendation, positive or negative (including amount of award, when applicable), together with a rationale for the recommendation, in a narrative not to exceed 150 words.

2. Departmental/Unit Recommendations:

- a. Departmental/unit recommendations shall be made to the academic dean/university librarian/appropriate administrator for that department/unit by either a committee of Unit 3 employees, the department chair/unit equivalent, designee, or combination of the above at the discretion of the department/unit. [CBA 31.19] All Unit 3 employees of the department/ unit, irrespective of employment status or length of service, are eligible to participate in the review process. If a department determines that the department chair/unit leader will make the departmental/unit recommendations, the department also shall determine the procedures for evaluation of the department chair's/unit leader's FAR.
 - b. Departmental recommendations shall be based solely upon the information provided in the FAR. In no case shall the departmental evaluator(s) have access to the Unit 3 employee's PAF.
 - c. The Department of Health and Physical Education shall conduct the initiating unit review for coaches. The recommendations shall be forwarded to the dean of the college.
 - d. No Unit 3 employee shall become ineligible for service on an FMI recommending committee because he/she is a candidate for a merit increase. However, a Unit 3 employee shall not review her/his own FAR for purposes of awarding an FMI. [CBA 31.23]
3. Dean's/University Librarian's/Appropriate Administrator's Review: In evaluating the departmental/unit recommendations, the dean/university librarian/appropriate administrator may concur or disagree with the recommendations, may change the amount of any recommended increase, and/or may recommend an increase for any member of the department/unit that was not recommended by the departmental/unit designee(s). All FARs and the recommendations from the department/unit and dean/university librarian/appropriate administrator shall be forwarded to the President. [CBA 31.20]

To maintain fairness and consistency in the review process, evaluators at this level

normally shall not consult a Unit 3 employee's PAF unless all FMI applicants undergo such scrutiny. Unit 3 employees shall be informed in writing before their PAFs are consulted by the reviewer. A response of no more than 250 words may be submitted by the employee to the evaluator within five days of receipt of notification that the PAF will be consulted. The evaluator will insure that the Unit 3 employee receives such notification at a time in the review process sufficient to allow five days for employee response before a recommendation is forwarded to the President.

4. Presidential Decision: In reviewing the FARs and recommendations submitted by the departments/units and deans/university librarian/appropriate administrators, 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 the department/unit that was not recommended by the departmental/unit designee(s), or by the dean/university librarian/appropriate administrator. The total of the recommended increases at this level shall not exceed the pool allocated for the President. [CBA 31.21]

To maintain fairness and consistency in the review process, the President normally shall not consult a Unit 3 employee's PAF unless all FMI applicants undergo such scrutiny. Unit 3 employees shall be informed in writing before their PAFs are consulted by the President. A response of no more than 250 words may be submitted by the employee to the President within five days of receipt of notification that the PAF will be consulted. The President will insure that the Unit 3 employee receives such notification at a time in the review process sufficient to allow five days for employee response before the President renders her/his decision.

5. A Unit 3 employee will have the opportunity to review recommendations and may submit a written rebuttal at each step of the FMI process. [CBA 31.22] A Unit 3 employee's rebuttal shall not exceed 250 words, including attachments.

E. *Submission, Review and Rebuttal Timelines*

1. All FARs will be submitted in triplicate to the Unit 3 employee's department chair or unit equivalent by the following deadlines.

Period from last review to June 30, 1998; and
July 1, 1998 through June 30, 1999
must be submitted by **October 1, 1999**. [CBA 31.13]

FAR submission deadline for Unit 3 employees for July 1, 1999 through June 30, 2000 is **October 1, 2000**. [CBA 31.16]

2. In a timely manner after the October 1 submission deadline, department chairs or unit

- equivalents will forward to their dean/university librarian/appropriate administrator and to the President copies of the FARs received from the Unit 3 employees. Given the limited time frames for response, FARs distributed beyond the department/unit level at this time are intended to assist subsequent reviewers in preparing to respond with informed and open minds to the recommendations forwarded to them.
3. Within ten (10) working days after October 1, the department/unit will forward all FARs and its recommendations and rationales to the dean/university librarian/appropriate administrator. At the same time, each Unit 3 employee will receive a copy of the department/unit recommendation and rationale regarding her/his FAR.
 4. Within fifteen (15) working days after October 1, a Unit 3 employee may submit to the dean/university librarian/appropriate administrator a rebuttal of the department's/unit's recommendation, with a copy to the departmental/unit recommending designee(s).
 5. Within twenty-five (25) working days after October 1, but no later than November 5, the dean/university librarian/appropriate administrator will forward all FARs, department/unit recommendations and rationales, rebuttals and her/his recommendations and rationales to the President with a copy of the recommendation and rationale to each Unit 3 employee regarding her/his FAR. [CBA 31.24]
 6. Within five (5) working days after November 5, a Unit 3 employee may submit to the President a rebuttal of the dean's/university librarian's/appropriate administrator's recommendation, with a copy to the appropriate dean/university librarian/appropriate administrator.
 7. Failure to meet any of the above deadlines for recommendations shall automatically result in the forwarding of all materials to the next highest level of review. [CBA 31.23]
 8. By November 20, the President shall, after considering all submissions and recommendations, select the FMI recipients and designate the amount of increase to be granted. [CBA 31.25] Unit 3 employees shall be notified by November 29 of the President's decision. In the event that the President's recommendation represents a reduction from the amount awarded by the department/unit, the President shall provide a rationale of not more than 150 words.
 9. By December 1, the President will provide to the campus community, including the campus CFA chapter, a report containing the names of individual Unit 3 employees recommended for FMIs, their rank and department/unit affiliation, the amount of each

increase and the total funds expended on increases for the time period under consideration.

VI. FMI Appeal Process

- A. Within fourteen (14) days after receipt of the President's decision, a Unit 3 employee who has received a positive recommendation from the department/unit or dean/university librarian/appropriate administrator may appeal in writing in 250 words or less to the President her/his decision that denies an FMI or decreases the amount of a recommended FMI. [CBA 31.33-31.34] The President will forward all Unit 3 employee appeals and their complete FMI files to the appeal committee, as designated under VI.C. below.
- B. During the Fall semester, a peer review panel shall be elected by all Unit 3 employees as follows: eight representatives each from the Colleges of Arts, Humanities & Social Sciences and Natural Resources & Sciences (including counselors); four representatives from the College of Professional Studies (including coaches); and 2 representatives from the University Library. In all cases, temporary Unit 3 employees are eligible to serve. Unit 3 employees who are appealing FMI decisions are not eligible to serve on the panel during the period of their appeal. [CBA 31.34]
- C. At the last scheduled Academic Senate meeting of the Fall semester, an appeal committee of five (5) Unit 3 employees shall be chosen by lot from the elected peer review panel. This committee will hear all appeals of the President's decisions for a given FMI cycle in a single hearing to be held prior to February 15. The CSU and the employee (and/or her/his representative) may present evidence to the appeal committee at the hearing. A majority decision by the committee is required to grant the appeal. The decision of the appeal committee shall be final and binding. [CBA 31.34, 31.35] The appeal committee's decisions will be communicated to the appellants and the President by March 1. In the event that there are a large number of individual appeals, as determined by the appeal committee, the committee may request a time extension from the President to render its decisions, but under no circumstances shall the committee's decisions be communicated later than April 1.
- D. The PAF of a Unit 3 employee may be reviewed during the appeal process, however the appellant must be informed in writing before the PAF is consulted.
- E. Five percent (5%) of the pool available for all Unit 3 faculty merit increases shall be reserved to fund additional increases granted under the appeals process. The committee may not grant any increases that total more than the amount of the reserved campus pool. [CBA 31.35]

VII. Final Reporting

Within 30 days after receipt of the appeal committee decisions, the President will communicate to the campus community and campus CFA chapter the final disposition of FMI funds, including a list of individual Unit 3 employees receiving FMIs, their rank and department/unit affiliation, and the amount of the increase received, as well as the total funds expended on FMIs for the review period under consideration. Awards shall also be reported by amount of increase, gender, and ethnicity, but without individual names. [CBA 31.29]

Senate: Passed 09/07/99

President McCrone: Approved, with changes to Policy, 9/13/99