

**Resolution ~~for the Adoption of a University Policy Opposing~~  
~~Unacceptable Behavior Demeaning Individuals or Groups on Campus and~~  
~~Prohibiting the Use of University Funds or Facilities by Those Making Such Statements~~ Condemning Hate  
Speech/Crimes**

**WHEREAS,** Recent occurrences of hate speech appeared on campus facilities and were intended to be,  
derogatory of many members of the California State University San Marcos (CSUSM) ~~student body~~community;  
and

**WHEREAS,** The Academic Senate of CSUSM is dedicated to ~~the creation and maintenance of~~ a learning  
environment ~~which that~~ respects and enhances the potential of all members of its community; and

**WHEREAS,** ~~The acceptance of diversity in terms of race, ethnicity, religion, culture, gender, sexual orientation~~  
~~or physical challenges is critical to responsible leadership and citizenship~~CSUSM has named "inclusiveness" as a  
campus value, encompassing "individual and cultural diversity, and multiple perspectives;" and

**WHEREAS,** Silence in response to individual and institutional racism, sexism, and bigotry, facilitates their  
perpetuation, if not contagious expansion, and

~~**WHEREAS,** The CSUSM Academic Senate reaffirms its commitment to promote respect for and appreciation~~  
~~and celebration of diversity in all aspects of University life; and~~

**WHEREAS,** The CSUSM Academic Senate embraces the development of a diverse learning environment,  
~~which that~~ enhances the quality of the educational product, and applauds those individuals ~~on each campus~~  
who have shown their dedication to increasing diversity; and

~~**WHEREAS,** The CSUSM Academic Senate declares these acts to be "shameful incidents," and "bigotry and~~  
~~malicious aggression" against our students; and~~

**WHEREAS,** It is never appropriate to demean or reduce an individual based on group affiliation or personal  
characteristics; and

**WHEREAS,** It is never appropriate to promote hate or discrimination; and

**WHEREAS,** The faculty of CSUSM cherishes freedom of speech as a fundamental right and strongly advocates  
freedom of speech in all aspects of University life; and

**WHEREAS,** The faculty of CSUSM recognizes that the right to freedom of speech is not absolute and is subject  
to both legal restrictions and standards of civility; now, therefore, be it

**RESOLVED,** That the CSUSM Academic Senate reaffirm its commitment to promote respect for and  
appreciation and celebration of diversity in all aspects of University life; and be it further

**RESOLVED,** That the CSUSM Academic Senate encourage all members of the University community to behave  
in a civil manner and to avoid and condemn any behavior ~~which that~~ demeans or reduces an individual based on  
group affiliation or personal characteristics or which promotes hate or discrimination; and be it further

**RESOLVED,** That ~~representatives of~~ the Academic Senate ~~and of other organizations on the University campus~~  
~~dedicated to opposing bigotry and malicious aggression~~ support student opposition to such behaviors and their  
clearly stated demands for acceptance and respect of all University community members.

## **Rationale for changes to the RTP document**

**Lines 148-154. Material that becomes available only after closure date.** P&T Committee feedback made it clear that adding information to the file during the reviews at stages beyond the PRC was an issue. We discussed this at length in FAC. The policy seems very clear that material CANNOT be added unless it truly became available after the WPAF submission deadline. It also seemed clear that any material which was proposed to be added must be approved by the PRC. It was not clear that other levels, such as the Dean, would be notified if something were added during a later review period. We added language to say everyone must be notified as soon as a PRC accepts materials. We also wanted to remove any questions about whether or not this would look bad to a candidate, so faculty were encouraged to add materials as they became available.

**Lines 158-165 and lines 208-219. What material is being reviewed.** A major milestone in the last revision of the RTP document was to reduce the size of the files to bring more focus to the narrative and the evidence that is included. Still, there were faculty who found words like “emphasis” to mean that they should still include large amounts of material from previous reviews. In practice, these are never examined. FAC agreed with P&T that this wording should be clarified to include ONLY material from the latest period of review in this review unless it was being used to show development or trends. We also included additional possible circumstances like being hired with tenure or receiving tenure separately from a promotion.

**Lines 178-187. Material that is available upon request.** Current practice is that material that is available upon request is handled 2 different ways: 1) it may be added formally to the file just like materials that became available after the file; or 2) it may be sent directly to the reviewer without being formally added to the file at all. There were also questions about whether or not reviewers were allowed to look up a citation from a candidate’s c.v. or from their narrative.

FAC and P&T members discussed ways to standardize these practices and to make them as useful as possible to faculty and reviewers. The result was our proposal that “available upon request” material be considered part of the file, so reviewers could request it from the candidate (through the Custodian of the File) if they wanted to see it. In addition, all reviewers should be allowed to retrieve a citation if desired. The thinking was that faculty would put their strongest evidence in their file, but that they may have additional materials that could strengthen their arguments or be considered a waste of an item. If faculty are unsure of what to include, it increases the anxiety of the process. Faculty are typically unsure of how much to include as evidence, and what the reviewers will think is sufficient body of evidence and argument to make their case. Allowing faculty to say material beyond that which they feel makes their case is “available upon request” removes some of this guesswork. If reviewers wanted to see that additional material, we should streamline the process.

In the case of citations, FAC felt that any materials which are available to all levels of review and are referenced in the c.v., narrative or evidence should be considered part of the file that may be accessed by all reviewers. This simplifies the process by allowing reviewers to access materials from their computer or another resource without going through the cumbersome request process for materials that are already considered to be part of what was submitted by the candidate.

One of the questions that came to us from EC concerned relevant material available in the public domain, but not specific to the candidate, such as acceptance rate for a journal. After consulting with CFA, and discussing this, we concluded there is no reason to limit this for the review or discussion. If reviewers have access to this information, they should be allowed to use it in their discussion.

**Lines 208-219 Listing of Required Material for the WPAF.** This is information that was always intended to be included in the WPAF, but it was ambiguous in the policy. As a result, some faculty included information such as service credits and 5-year post-tenure reviews, while some did not.

A minimum of one item of evidence for each section was introduced throughout (**Lines 230, 244, 266**).

**Lines 230-231. Items included are expected to be discussed in narrative.** This is another case where it is common practice and understanding that items included as evidence should actually be evidence for something discussed in the narrative. However, there have been some cases where faculty have included items which are not discussed anywhere, and reviewers are left guessing why the items have been included. This reflects negatively on the candidate. The additions in this section make it clear that there is an expectation that items will be discussed in the narrative.

**Lines 283-284. Location of index.** This was a simple request from P&T, and confirmed by others who have reviewed multiple files. We can standardize this and make it easier on all levels of review.

**Lines 314-322, 344-351, 376-383, and 812-816. What are the criteria for early tenure/promotion?** This was a major issue in the feedback we received from all levels in the review process. We need to be more explicit about what is considered sufficient for early tenure and/or promotion. The clear consensus in P&T feedback and on FAC was that candidates who apply for early tenure/promotion should be making the case that they have a sufficient record to be recognized as being ahead of the normal process of development. For example, the candidate may have an excellent record of scholarship for a 3<sup>rd</sup> year probationary faculty member, but would that same record be considered excellent if s/he were in the 6<sup>th</sup> year? The same logic applies to both teaching and service. It is not thought to be useful to make a more precise statement about early application for tenure/promotion, as the circumstances and requirements are so different from one College/School/Library to another and even from one Department to another.

**Lines 408-409 and line 519. Removal of material from WPAF.** During the review of completeness, it has happened that faculty have included material beyond what is discussed or even considered to be applicable to the review is included in the WPAF, such as a publication from a previous position at another University that is outside of the scope of the review and not mentioned in the narrative. The reviewers may request that this extraneous material be removed from the file. This is current practice. If this is requested, the candidate should have a chance to add a reference to this material in the narrative or remove the material from the file. It has been a case of a missing footnote or citation rather than a lack of relevance in some cases.

**Lines 516-518. Addition of Items to WPAF.** Changed the wording to reflect that only required material may be added to the WPAF by the PRC without consent of the candidate. We also allowed the PRC to add “additional” material during the review for completeness with the written consent of the candidate. This will cover cases where the candidate may be out of town, etc. and unable to place the material in the file personally.

**Additional Changes:** There were other small changes that we considered editorial, such as removing the word Definition when what followed was not actually a definition (as pointed out by EC), and where the language or format was altered to make something more clear or inclusive or to make a correction.

MEMORANDUM

California State University San Marcos  
San Marcos, California 92096-0001 USA

DATE: February 2, 2009

TO: Academic Senate Executive Committee

FROM: Catherine S. Herlihy and K. Brooks Reid, members of the 2007/2008 and 2008/2009 University Promotion & Tenure Committee

SUBJECT: Observations from the Promotion & Tenure Committee 2007/08 review process

In the weeks following the 2008 Promotion & Tenure Committee (P&T Committee) deliberations, members of the Committee discussed several issues that were identified as needing clarification for future P&T Committees. This process stalled during summer and fall 2008. Finally we forward these concerns to the Academic Senate asking for clarification of some vagaries that exist with the tenure and promotion process. (Perhaps the Faculty Affairs Committee is the appropriate place to address these concerns.) Even though clarifications will most certainly be made too late for the 2009 deliberations of the current P&T Committee, they will surely aid P&T Committees in future deliberations.

K. Brooks Reid and Kit Herlihy will be available to provide context on the following items in the University RTP document.

- 1) Section IIC4 of the Faculty Personnel Procedures for Retention, Tenure and Promotion policy document (University RTP document) states that "the WPAF shall be complete by the deadline announced in the RTP timetable. Any material added after that date must have the approval of the Peer Review committee and must be material that becomes available only after the WPAF closure date. New materials must be reviewed, evaluated, and commented upon by the Peer Review Committee and the Department chair (if applicable) before consideration at subsequent levels of review." In 2008 after the P&T Committee completed review of all WPAF's and after the P&T Committee sent out its recommendations to the candidates, the P&T Committee learned via an e-mail to the review committees that new items had been added to a candidate's file, apparently without review, evaluation and comment by the PRC (and the Department Chair) before consideration at subsequent levels of review. The University RTP document policy needs to clarify how the Custodian of the Files can take action of this sort after the P&T Committee has completed its work. In doing so, the policy needs to take into account the time reality of possible repeated reviews of renewed files.
- 2) The University RTP document should require the candidate to distinguish work done during the review period from prior work. Of course, there are cases in which new research builds upon earlier projects, but in such situations the candidate should make clear why work done before the review period is included.
- 3) What can be done to assist the P&T Committee to discern what research/scholarly activity has been counted towards previous promotions in previous reviews by previous reviewers?
- 4) Candidates may include the phrase "documentation available on request" in their WPAFs (see Section IID5 of the University RTP document). Material that the candidate refers to with "documentation available on request" should be considered as part of the material of the WPAF. The University RTP document should include language that allows each level of review to obtain such documentation during the time of

the review...directly from the candidate instead of the process described in IIC4, and without the notification of any other level of review.

- 5) The initial period of review for completeness that is referred to in Section IV, parts D1, E1, and G1, of the University RTP document should be a review for the presence of all of the required items only. It is entirely impractical for all levels of the review to make a full-scale review of all of the WPAF's in such a brief period. Moreover, all levels of review should be able to obtain and to add additional materials to the WPAF at any time during the cycle of review subject to conditions similar to the process in item 4 above.
- 6) Section IIE8 of the University RTP document should be expanded slightly to require that the index to the WPAF be located at the beginning of the WPAF and that the index must include the location of the CV, the reflective statement[s], each piece of evidence up to 30, and required previous reviews and appropriate RTP documents.
- 7) Section IIID4 of the University RTP document states that the promotion of a faculty unit member to the rank of Professor, Librarian or SSP-AR III that will be effective prior to the start of the sixth year after appointment to his/her current academic rank/classification is considered an early promotion. Section VB3c requires that "... Promotion prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards." Is the requirement of clear evidence of a sustained record of achievement for early promotion to mean a higher standard than the requirement of fulfilling all criteria for normal promotion?
- 8) Section IIIB3 The University RTP document states that "Normally, a probationary faculty shall not be promoted during the probationary period of six years of full time service." Section VB3c requires that "... Promotion prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards." Is the requirement of clear evidence of a sustained record of achievement for promotion prior to the sixth year to mean a higher standard than the requirement of fulfilling all criteria for normal promotion?
- 9) The P&T Committee suggests that the Academic Senate explore the idea of creating confidential electronic versions of the narratives and portions of the WPAF that could be accessed by reviewers during the review period at their computer workstations. Perhaps a WebCT container could be set up for each applicant and monitored for confidentiality and security. Having such material available electronically would permit all reviewers wider and more frequent access to the files. For materials that could not be added to an electronic file, all reviewers would be obligated to review that portion of the file before final discussions/decisions.
- 10) The responsibilities of those involved at different levels of review do not specify the same documents. Section IVD3 of the University RTP document specifies documents for use in PRC reviews but does not mention the University RTP document for use in PRC reviews. Section IVE3 specifies documents for use in Dean/Director reviews but does not mention the University RTP document for use in the review by a Dean/Director. Section IVG is silent about any documents for use by the P&T committee. Section IVG should specify something like: "Consistent with the CBA, the Department/Unit/College/Library/School/SSP-AR RTP standards/documents, the University RTP document and the RTP timetable, the University P&T Committee shall review and evaluate ....."

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

### I. DEFINITION OF TERMS AND ABBREVIATIONS

- A. In the policies and procedures prescribed by this document, “is” is informative, “shall” is mandatory, “may” is permissive, “should” is conditional, and “will” is intentional.
- B. The numbers in parentheses refer to sections of the Collective Bargaining Agreement (in effect at the time of the adoption of this document) between the Board of Trustees of The California State University and the California Faculty Association.
- C. The following terms – important to understanding faculty policies and procedures for retention, tenure, and promotion – are herein defined:
  1. Administrator: an employee serving in a position designated as management or supervisory in accordance with the Higher Education Employer-Employee Relations Act. (2.1)
  2. Candidate: a faculty unit employee being evaluated for retention, tenure, or promotion. (15.1)
  3. CBA: Collective Bargaining Agreement between the California Faculty Association and the Board of Trustees of the California State University for Unit 3 (Faculty).
  4. CFA: the California Faculty Association or the exclusive representative of the Union. (2.7)
  5. College/Library/School/SSP-AR: College of Arts and Sciences, College of Business Administration, College of Education, Library. School of Nursing, and Student Services Professional, Academic Related.
  6. Confidentiality: confidential matter is private, secret information whose unauthorized disclosure could be prejudicial. Given the RTP Procedure, confidentiality applies to the circle of those reviewing a file in a given year.
  7. CSU: the California State University.
  8. CSUSM: California State University San Marcos.
  9. Custodian of the File (COF): the administrator designated by the President who strives to maintain accurate and relevant Personnel Action Files and to ensure that the CSUSM RTP Timetable is followed. (11.1, 15.4)
  10. Day: a calendar day. (2.11)
  11. Dean/Director: the administrator responsible for the college/unit.
  12. Department: the faculty unit employees within an academic department or other equivalent academic unit. (2.12)
  13. Department Chair: the person selected by the president or designee, based on faculty recommendation, to serve as the director/coordinator of the faculty unit employees within an academic department or other equivalent academic unit. (20.32)
  14. Equivalent Academic Unit: any unit that is equivalent to an academic department or library unit for purposes of this document, but not recognized under the CBA.
  15. Evaluation: a written assessment of a faculty member’s performance. An evaluation shall not include a recommendation for action.
  16. Faculty Unit Employee: a member of bargaining Unit 3 who is subject to retention, tenure, or promotion. (2.13) See also *Candidate*.
  17. Librarian: those individuals who have achieved the rank of full Librarian.
  18. Merit awards: in various CBAs, the CSU and CFA have agreed upon different terms and different names for merit awards, such as Merit Salary Adjustments, Performance Step Salary Increases and Faculty Merit Increases. If they are in effect during a review, merit awards are separate from the Retention, Tenure, and Promotion process, and thus have no bearing on the set of policies and procedures that follows.
  19. Peer Review Committee (PRC): the committee of full-time, tenured faculty unit employees whose purpose is to review and recommend faculty unit employees who are being considered for retention, tenure, and promotion. (15.35)
  20. Performance Review: the evaluative process pursuant to retention, tenure, and/or promotion. (15.32)
  21. Personnel Action File (PAF): the one official personnel file containing employment information and information relevant to personnel recommendations or personnel actions regarding a faculty unit employee. (2.17)
  22. President: the chief executive officer of the university or her/his designee. (2.18)
  23. Probation, Normal Period of: the normal period of probation shall be a total of six (6) years of full-time probationary service and credited service, if any. Any deviation from the normal six (6) year probationary period, other than credited service given at the time of initial appointment, shall be the decision of the President following her/his consideration of recommendations from the department or equivalent unit, Dean/Director, appropriate administrators, and the Promotion and Tenure Committee. (13.3)

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

24. Probationary Faculty: the term probationary faculty unit employee refers to a full-time faculty unit employee appointed with probationary status and serving a period of probation. (13.1)
25. Professor: those individuals who have achieved the rank of full professor.
26. Promotion: the advancement of a probationary or tenured faculty unit employee who holds academic or librarian rank to a higher academic or librarian rank or of a counselor faculty unit employee to higher classification. (14.1)
27. Promotion, Early consideration for: in some circumstances, a faculty unit employee may, upon application and with a positive recommendation from her/his Department or equivalent academic unit, be considered for early promotion to Associate Professor or Professor, Associate Librarian or Librarian, SSP-AR II or SSP-AR III prior to the normal period of service. (14.2-14.4)
28. Promotion and Tenure Committee (P & T Committee): an all-University committee composed of full-time, tenured Professors and a Librarian elected according to the faculty constitution. The University charges the P & T Committee to make recommendations for tenure and promotion. When School of Nursing faculty or SSP-ARs are under review, faculty member from the School of Nursing or SSP-AR III will be added to the P & T Committee for the School of Nursing or SSP-AR review only.
29. Rebuttal/Response: a written statement intended to present opposing or clarifying evidence or arguments to recommendations resulting from a performance review at any level of review. (15.5)
30. Recommendation: the written end product of each level of a performance review. A recommendation shall be based on the WPAF and shall include a written statement of the reasons for the recommendation. A copy of the recommendation and the written reasons for it is provided to the faculty member at each level of review. (15.40, 15.12c, 15.5)
31. Retention: authorization to continue in probationary status.
32. RTP: retention, tenure, and/or promotion.
33. RTP Timetable: A timetable that lists the order of review and establishes dates for the review process at each level for a particular year. This calendar is based on the approved academic year calendar. The President, after consideration of recommendations of the appropriate faculty committee, shall announce the RTP Timetable for each year. (13.5)
34. Service Credit: the President, upon recommendation of the Dean/Director after consulting with the relevant department or equivalent unit, may grant to a faculty unit employee up to two (2) years service credit for probation based on previous service at a post-secondary education institution, previous full-time CSU employment, or comparable experience. (13.4)
35. Tenure: the right to continued permanent employment at the campus as a faculty unit employee except when such employment is voluntarily terminated or is terminated by the CSU pursuant to the CBA or law. (13.13)
36. Working Personnel Action File (WPAF): that portion of the Personnel Action File specifically generated for use in a given evaluation cycle. The WPAF shall include all forms and documents, all information specifically provided by the candidate, and information provided by faculty unit employees, students, and academic administrators. It also shall include all faculty and administrative level evaluations, recommendations from the current cycle, and all rebuttal statements and responses submitted. (15.8)

### II. PERSONNEL FILES

#### A. Personnel Action File (PAF) ~~Definition~~

1. Each faculty member shall have a Personnel Action File (PAF). This is a confidential file with exclusive access of the faculty member and designated individuals. (11)
2. The President of the University designates where such files will be kept and who will act as Custodian of the File (COF). The COF will keep a log of all requests to see each file. The COF shall monitor the progress of all evaluations ensuring that she/he gives proper notification of each step of the evaluation to the Candidate, each committee and administrator as specified in these procedures. (11)
3. The PAF is the one official personnel file for employment information relevant to personnel recommendation or personnel actions regarding a Candidate. Faculty members may review all material in their PAF, including pre-employment materials. Faculty members may submit rebuttals to any item in the file, except for pre-employment materials. Faculty may request the removal of any letters of reprimand that are more than three years old. (18) Material submitted to the PAF must be identified by the source generating the information. No anonymously authored documents shall be included in the file. (11)

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

### ~~4. B. Personnel Action File (PAF):~~ Contents of Personnel Action File (PAF) File

The PAF contains the following materials:

- All recommendations and decision letters that have been part of the RTP process.
- All indices of all WPAFs.
- The file concerning initial appointment.
- A curriculum vitae from each review.
- The Candidate's summaries for each RTP-related review.
- All rebuttals and responses.
- Letters of commendation.
- Letters of reprimand, until removed under 18.7.
- All fifth year post-tenure reviews.
- Documentation of any merit awards or salary adjustments.<sup>1</sup>

### ~~CB.~~ Working Personnel Action File (WPAF): ~~Definition~~

1. During periods of evaluation, the Candidate shall create a WPAF specifically for the purpose of evaluation. This material amplifies the PAF. It shall contain all required forms and documents and all additional information provided by the Candidate. The WPAF is deemed to be part of the Personnel Action File (PAF) during the period of evaluation. (11) Material submitted to the WPAF must be identified by the source generating the information. No anonymously authored documents shall be included in the file.
2. The WPAF is part of the review process. All parties to the review shall maintain confidentiality regarding this file. (15)
3. The Candidate, appropriate administrators, the President, Peer Review Committee members, Department Chair (only if she/he completes a separate Department Chair review), and Promotion and Tenure Committee members, Custodian of the File and designated individuals shall have access to the file. (15)
4. The WPAF shall be complete by the deadline announced in the RTP Timetable. Any material added after that date must have the approval of the Peer Review Committee and must be material that becomes available only after the closure date. Applicants are strongly encouraged to add such updated material as it becomes available (e.g., a publication listed as "in press" and subsequently published or a grant application funded after the WPAF submission date). New materials must be reviewed, evaluated, and commented upon by the Peer Review Committee and the Department Chair (if applicable) before consideration at subsequent levels of review. Once approved by the PRC, the Dean and subsequent reviewers shall be notified simultaneously and they have the option of changing recommendations. (15)

### ~~D.~~ 5. Guidance on the WPAF:

- a. ~~1.~~ An item in the WPAF may be included in whichever category the Candidate sees as the best fit. However, a single item may not be inserted in two different categories.

b. 2. The ~~review emphasis~~ of the WPAF will be based on the accomplishments of the Candidate since the beginning of the last university-level review and not included as part of that review. For retention review, the ~~review emphasis~~ will be based on the time period since the last retention review. For promotion ~~or tenure~~ to Associate Professor /Associate Librarian/SSP II AR or tenure, the ~~emphasis-review~~ will be based on the time period since hiring. For promotion ~~or tenure~~ to Professor/Librarian/SSP-AR III, the ~~emphasis-review~~ will be based on the time period since the review for the Candidate's last promotion or since hiring if hired as an Associate Professor /Associate Librarian/SSP II AR.

~~b-c. 3.~~ If service credit was awarded, the Candidate should include evidence of accomplishments from the other institution(s) for the most recent years of employment.

~~e-d. 4.~~ This procedures document does not specify standards. Each Department may develop its own standards, including guidance on criteria in that unit. It is the responsibility of the Candidate to seek out and understand these standards. See V.A.1. and V. B. 4. below.

e. 5. There are many creative ways to document scholarly performance in the WPAF, but the potential for a lack of selectivity and coherence is great. Assembling the WPAF (the Candidate's responsibility) and giving due consideration to the WPAF (the reviewing parties' responsibility) is made more time-consuming and difficult when the file is disorganized and/or

<sup>1</sup> Documentation of any merit awards or salary adjustments is an optional element in a PAF and WPAF except as required by previous contracts.



## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

too large. In presenting the WPAF, the Candidate should be selective, choosing documents, texts, or artifacts that are most significant and representative of their work. The WPAF should be focused and manageable. In order for a candidate to make the best case while minimizing file size, Statements-statements such as “Documentation-available on-upon request” are encouraged may be used. Materials mentioned as “available upon request” or cited in reflective statement and/or curriculum vitae are considered part of the WPAF. Reviewers at any level can obtain such documentation during the time of the review directly from the candidate or directly from the cited source, without the notification of any other level of review. Information in the public domain relevant to the material presented in the WPAF, but not specific to the candidate (e.g., journal acceptance rates, publication peer-review process, and/or publisher information), are considered part of the WPAF and can be accessed by reviewers at any level without notification.

~~d.f.~~ 6. The evidence of success in Teaching, Research/Creative Activity and Service shall consist of up to 30 items total in the WPAF. The types of items included may vary. The candidate will determine how to distribute the items among the three categories; however, each category will contain evidence.

~~e.g.~~ 7. The reflective statements included in the WPAF shall not exceed 15 pages in combined length. The Candidate will determine how many pages to devote to each statement. The statements will describe the Candidate’s contributions in the areas of Teaching, Research/Creative Activity, and Service.

~~f.h.~~ 8. Electronic documentation is also acceptable, although the same principle of selectivity applies in this case.

~~g.i.~~ 9. The Candidate shall be notified of the placement of any material in her/his WPAF, and shall be provided with a copy of any material to be placed in the WPAF at least five days prior to such placement.

- ~~a.~~ Material inserted into the WPAF by reviewing parties is subject to rebuttal or request for removal by the faculty member undergoing review.
- ~~b.~~ Required or additional material relevant to the review may be added during the initial period of “review for completeness” by the faculty member undergoing review or other parties to the review.

~~E6.~~ The WPAF, when submitted by the Candidate, shall contain:

~~a.~~ 1. A current curriculum vitae including all the accomplishments of the candidate’s career.

~~b.~~ A statement outlining any special conditions of initial appointment, such as award of years of service credit or completion of terminal degree.

~~c.~~ For faculty applying for periodic reviews; retention, tenure, or tenure and promotion, all personnel reviews since hire. For faculty applying for promotion after the award of tenure (or tenure and promotion), all personnel reviews beginning with the previous promotion review or original appointment materials. For faculty applying for tenure after promotion, all personnel reviews beginning with original appointment materials. Personnel reviews (including recommendations, rebuttals and responses) are defined as:

- periodic reviews
- retention, tenure and promotion reviews
- five-year post-tenure reviews

~~d2.~~ A reflective statement for each section (should be based on the work done since the last successful review): Teaching, Research/Creative Activity, and Service. (See II.D.7. above.)

13. Evidence of teaching success (for all faculty unit members who teach) and equivalent professional performance based on primary duties assigned in the job description (for non-teaching faculty).<sup>2</sup>

- a. The reflective statement on teaching.
- b. Student evaluations from courses taught, in compliance with the CBA. The complete university-prepared report (containing numerical summaries and student comments) shall be included for each course submitted.
- c. Selected ~~items-items~~ (a minimum of 1 item) representing-documenting the teaching accomplishments discussed ,such as in the reflective statement, such as:

<sup>2</sup> Non-teaching faculty include librarians and SSP-ARs.

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- Peer evaluation
- Self-evaluation
- Videotape of class session
- Instructional materials (e.g., syllabi, lesson plans, lecture notes, multimedia presentations, course assignments)
- Product of your teaching/Evidence of student learning (e.g., completed student assignment, paper, thesis, exam, project, performance)
- Teaching award, fellowship or honor
- Other relevant items chosen by the faculty member

24. Evidence of success in research and creative activity (for teaching faculty and librarians) and continuing education/professional development (for SSP-ARs).

- a. The reflective statement on research and creative activity.
- b. Selected items (a minimum of 1 item) representing research and creative activity, such as:
  - Publications
  - Publications in press or under review (with documentation)
  - Creative performances (dance, music performance art, theatre), exhibits, videos, slides, recordings, CD-ROMS, multimedia, performance texts, installations, photographs, musical scores, directing or choreography, curating, producing
  - Presentations at professional meetings
  - Funded grants
  - Research/creative activity in progress
  - Instructional material development
  - Applied research/scholarship
  - Invited address
  - Research/creative activity award, fellowship or honor
  - Editing of a journal, book, or monograph
  - Unpublished research
  - Unpresented/unperformed creative activity
  - Unfunded grant proposal
  - Refereeing of a book, journal article, monograph, conference paper
  - Other relevant items chosen by the faculty member

35. Evidence of success in service.

- a. The reflective statement on service.
- b. Selected items (a minimum of 1 item) representing service to the campus, system, community, discipline, and/or profession, such as:
  - Committee activity
  - Consultantship to community organizations
  - Advising a student group
  - Mentoring of faculty and/or students
  - Office held and participation in professional organizations
  - Service award, fellowship or honor
  - Editing of a journal, book, or monograph
  - Refereeing of a book, journal article, monograph, conference paper
  - Other relevant items chosen by the faculty member

~~6. —For faculty applying for periodic reviews; retention, tenure, or tenure and promotion, all personnel reviews since hire. For faculty applying for promotion after the award of tenure (or tenure and promotion), all personnel reviews beginning with the tenure (or tenure and promotion) review. Personnel reviews (including recommendations, rebuttals and responses) are defined as periodic reviews; retention, tenure and promotion reviews; and five year post tenure reviews.~~

~~7.~~ Department/Unit/College/Library/School/SSP-AR standards for retention, tenure and promotion.

~~8.~~ A complete index of the material contained in the WPAF. (Should be located at the beginning of the WPAF)

### III. REVIEW PROCESS SCHEDULE

#### A. Tenure and Promotion to the Rank of Associate Professor/Associate Librarian/SSP-AR II

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

1. All probationary (nontenured) faculty members shall undergo annual review. The normal review process schedule depends on the probationary status of the Candidate. If the Candidate's initial appointment is on the tenure track at the rank of Assistant Professor, Senior Assistant Librarian (which normally requires a doctorate or other appropriate terminal degree), or SSP-AR I without credit for prior years of service, the review process schedule is as follows:
  - First, third, and fifth years: PRC level and Dean/Director review
  - Second and fourth years: PRC, Dean/Director and President review
  - Sixth year: Mandatory review for promotion and tenure by Department Chair,<sup>3</sup> Peer Review Committee, Dean, and Promotion and Tenure Committee with a recommendation to the President
2. Tenure-track probationary faculty may be given credit for a maximum of two years of service at another institution. The amount of credit allowed shall be stipulated at the time of employment and documented in a letter to the faculty member. This letter should be included in the file. If one or two years of credit are given, the review process begins with the first year level review. The mandatory promotion and tenure decision is shortened by the number of service credit years given. (13.4)
3. If a probationary faculty member without a doctorate or appropriate terminal degree is hired at the rank of Instructor, Assistant Librarian, or SSP-AR I, the Candidate may choose not to count the time as Instructor/Assistant Librarian/SSP-AR I toward the mandatory sixth year tenure and promotion review. The Candidate must stipulate her/his choice at the time of initial appointment to a tenure track position.
4. Normally, a probationary faculty member shall not be promoted during the probationary period of six years of full-time service. (13.3, 14.2) At the request of the Candidate or on the initiative of the Department, a Candidate may be considered for Promotion and Tenure prior to the sixth year of service. In that event, the sixth-year-level review substitutes for the annual review. Promotion or tenure prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards. For early promotion or tenure, a sustained record of achievement should demonstrate that the candidate has a record comparable to that of a candidate who successfully meets the criteria in all three categories for promotion or tenure in the normal period of service. Therefore, a successful candidate for early promotion or tenure will have a record of achievement that exceeds the expectations for peers with the same years of service at the Assistant level. Candidates for promotion before the mandatory sixth-year review may withdraw from consideration without prejudice at any level of review. (14.7)
5. Mandatory sixth-year consideration entails recommendations to the President for the Candidate's tenure and promotion. Normally, award of tenure to probationary faculty members also entails promotion. (14.2) Probationary faculty members shall not be promoted beyond the rank of Associate. (14.2)
- B. Tenure for Probationary Faculty Hired at the Ranks of Associate Professor/Associate Librarian/SSP-AR II and Professor/Librarian/SSP-AR III
  1. Nontenured Associate Professors/Professors, Associate Librarians/Librarians, and SSP-AR II/SSP-AR IIIs shall be reviewed annually according to the following schedule:
    - First, third, and fifth years: PRC level and Dean/Director review
    - Second and fourth years: PRC, Dean/Director and President review
    - Sixth year: Mandatory review for tenure by the Department Chair,<sup>4</sup> Peer Review Committee, Dean, and Promotion and Tenure Committee recommendation to the President.
  2. Tenure-track probationary faculty may be given credit for a maximum of two years of service at another institution. The amount of credit allowed shall be stipulated at the time of employment. The letter shall be included in the file. (13.4)
  3. Normally, a probationary faculty member shall not be promoted during the probationary period of six years of full-time service. (13.3, 14.2) At the request of the Candidate or on the initiative of the Department, a Candidate may be considered for Promotion and Tenure prior to the sixth year of service. In that event, the sixth-year-level review substitutes for the annual review. The President may award tenure to a faculty unit employee before the normal six year probationary period. (13.18) Promotion and tenure prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as

<sup>3</sup>In cases when the Department Chair elects to make separate recommendations on the Candidates in her/his Department.

<sup>4</sup> In cases when the Department Chair elects to make separate recommendations on the Candidates in her/his Department.

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- specified in University, College/Library/School, and Department standards. For early promotion or tenure, a sustained record of achievement should demonstrate that the candidate has a record comparable to that of a candidate who successfully meets the criteria in all three categories for promotion in the normal period of service. Therefore, a successful candidate for early promotion or tenure will have a record of achievement that exceeds the expectations for peers with the same years of service at the Associate level. Candidates for promotion before the mandatory sixth-year review may withdraw from consideration without prejudice at any level of review. (14.7)
4. Tenure review for probationary Associate Professor /Associate Librarian/SSP-AR II is separate and distinct from review for promotion to the rank of Professor /Librarian/SSP-AR III. Probationary faculty shall not be promoted beyond the rank of Associate. (14.2) In other words, Associate Professors/Associate Librarians/SSP-AR IIs must be awarded tenure before they are eligible to apply for promotion to full Professor/Librarian/SSP-AR III.
- C. The President may extend a faculty member's probationary period for an additional year when a faculty member is on Workers' Compensation, Industrial Disability Leave, Nonindustrial Disability Leave, leave without pay, or paid sick leave for more than one semester or two consecutive terms. (13.7)
- D. Review of Tenured Faculty at Rank other than Professor/Librarian/SSP-AR III Ranks
1. Except for early promotion considerations, review for promotion to the rank of Professor, Librarian, or SSP-AR III follows the standard sequence of review for tenure: Department Chair (at the Department Chair's discretion) and Peer Review Committee, Dean/Director, Promotion and Tenure Committee making recommendations to the President.
  2. Only tenured faculty unit employees with rank of Professor/Librarian/SSP-AR III can make recommendations regarding promotion to these ranks. (Professors/Librarians/SSP-AR IIIs may make recommendations for promotion across these positions.)
  3. The promotion of a tenured faculty unit employee normally shall be effective the beginning of the sixth year after appointment to her/his current academic rank/classification. In such cases, the performance review for promotion shall take place during the year preceding the effective date of the promotion. This provision shall not apply if the faculty unit employee requests in writing that she/he not be considered. (14.3)
  4. The promotion of a faculty unit member to the rank of Professor, Librarian, or SSP-AR III that will be effective prior to the start of the sixth year after appointment to his/her current academic rank/classification is considered an "early promotion." Promotion prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards. For early promotion, a sustained record of achievement should demonstrate that the candidate has a record comparable to that of a candidate who successfully meets the criteria in all three categories for promotion in the normal period of service. Therefore, a successful candidate for early promotion will have a record of achievement that exceeds the expectations for peers with the same years of service at their current level. An early promotion decision requires that the applicant receive a positive recommendation from his/her department or equivalent unit. In cases where the department or equivalent unit does not make a positive recommendation, no further levels of review take place and the promotion is not considered. (14.3, 14.4)
- E. Except for denial of tenure in the mandatory sixth-year review, denial of tenure and/or promotion does not preclude subsequent review. Probationary faculty denied tenure prior to the sixth year may be considered in any subsequent year through the mandatory sixth-year review. Tenured Assistant/Associate Professors, Senior Assistant/Associate Librarians, and SSP-AR I/II denied promotion may be reviewed in any subsequent year.

### IV. RESPONSIBILITIES OF THOSE INVOLVED IN THE REVIEW CYCLE

- A. Responsibilities of the Candidate
1. Preparation of the WPAF
    - a. Prior to the beginning of the review process, the Candidate shall be responsible for reviewing the Department/Unit/College/Library/School/SSP-AR evaluation criteria and review procedures that have been made available, including the CSUSM RTP timetable.
    - b. Prior to the beginning of the review process, the Candidate shall be responsible for consulting campus resources relevant to the review process (e.g., the CBA, Academic Affairs, Faculty Center resources and workshops, and colleagues).

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- c. Prior to the beginning of the review process, the Candidate shall be responsible for the identification of materials she/he wishes to be considered and for the submission of such materials as may be accessible to her/him. (15.12.a)
    - d. The Candidate shall be responsible for the organization and comprehensiveness of the WPAF.
    - e. If the Candidate is requested to remove any material from her/his WPAF, she/he can either remove the material or add explanations to the reflective statement about the relevance of the material.
  2. Submission of the WPAF
    - a. The Candidate shall be responsible for indicating clearly in a cover letter the specific action she/he is requesting: consideration for retention, tenure, and/or promotion.
    - b. The Candidate is responsible for submission of the WPAF in adherence to the RTP Timetable.
  3. The Candidate is responsible for preparing, as necessary, a timely rebuttal or response at each level of the review according to the RTP Timetable.
  4. The Candidate is responsible for requesting a meeting, if wanted, at each level of the review according to the RTP Timetable. No formal, written response is required subsequent to this meeting.
  5. The Candidate may request and shall approve of external review and reviewers. (15.12.d) See Appendix C.
- B. Responsibilities of Department Chairs and Faculty Governance Units
  1. In academic units with a Department Chair, the Chair shall ensure that there is an election of a PRC. This entails: identifying eligible members of the Department or equivalent academic unit, College/Library/School, or the entire University faculty, when necessary, who are willing to serve; consulting with faculty in the Department about names to place on the ballot; sending out the ballot one week before the election date; ensuring that ballots are counted by a neutral party; and announcing the results to the Department and to the Candidates. The Department Chair shall convene the first meeting of the PRC and ensure that a chair is elected.
  2. In academic units with no Department Chair, the appropriate faculty governance group shall ensure that there is an election of a PRC. This entails: identifying eligible members of the Department or equivalent academic unit, College/Library/School, or the entire University faculty, when necessary, who are willing to serve; consulting with faculty in the Department about names to place on the ballot; sending out the ballot one week before the election date; ensuring that ballots are counted by a neutral party; and announcing the results to the Department and to the Candidates. The appropriate faculty governance group shall convene the first meeting of the PRC and ensure that a chair is elected.
  3. The Department Chair may submit a separate recommendation concerning retention, tenure, and/or promotion under the following conditions: The Department Chair must be tenured and the Department Chair must be of equal or higher rank than the level of promotion requested by the Candidate.<sup>5</sup> The Department Chair's review runs concurrently with the PRC review. When a Department Chair chooses to make a separate recommendation in a given year, she/he must do so for all Candidates in the Department in that year for which she/he is eligible to submit a recommendation. In this case, Department Chairs shall have the additional responsibilities indicated below. If the Department Chair is a member of the PRC, she/he may not make a separate recommendation.
    - a. During the time specified for this activity, the Department Chair shall review the file for completeness. Within seven days of the submission deadline the Department Chair shall:
      - 1) Submit a letter to the Custodian of the File outlining material that is lacking. The custodian notifies the faculty member.
      - 2) Add any existing material missing from the file that the faculty member did not add. The Department Chair must add the required evidence, but may choose not to add the non-mandatory additional evidence requested.
    - b. The Department Chair may determine whether to request external review of the file. In the case of external review request, see Appendix C for responsibilities and timetable.
    - c. Consistent with the CBA, the Department/Unit/College/Library/School/SSP-AR RTP documents and the RTP Timetable, the Department Chair shall review and evaluate the WPAF of each candidate for retention, tenure, and promotion.

<sup>5</sup> When the Department Chair is eligible to write recommendations for some Candidates and not others (e.g., Department Chair is a tenured Associate Professor eligible to submit separate recommendations for tenure and promotion to Associate Professor, but not for full Professor/Librarian), the Department Chair will notify the Custodian of the File. The Custodian of the File will insert a letter into the WPAF of those Candidates for whom the Department Chair is ineligible to make recommendations that explains the reason that no Department Chair letter was submitted to the file.



## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- d. The Department Chair may write a recommendation with supporting arguments to “The file of [the faculty member under review].” The Department Chair’s recommendation is a separate and independent report from that of the PRC.
    - 1) The recommendation shall be based on the contents of the WPAF. (15.12.c)
    - 2) The recommendation clearly shall endorse or disapprove of the Candidate’s retention, tenure, and/or promotion.
  - e. The Department Chair shall submit the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
  - f. The Candidate may request a meeting with the Department Chair within seven days of receipt of the Department Chair’s recommendation (15.5). If a meeting is requested, the Department Chair shall attend the meeting. No formal, written response is required subsequent to this meeting.
  - g. The Department Chair may respond to a Candidate’s written rebuttal or response within seven days of receipt. No formal, written response to a candidate rebuttal or response is required.
  - h. Should the P & T Committee call a meeting of all previous levels of review, the Department Chair shall attend and revise or reaffirm her/his recommendation. The Department Chair shall then submit in writing her/his recommendation to the Custodian of the File consistent with the RTP Timetable.
  - i. The Department Chair shall maintain confidentiality of the file, of deliberations and recommendations. (15.10 and 15.11)
  - j. When Department Chairs submit a separate recommendation for Candidates in their Departments, they are ineligible to serve on Peer Review Committees in their respective Departments, but may serve on PRC’s in other Departments. Department Chairs, like other parties to the review, may not serve at more than one level of review.
4. If a Department Chair chooses not to make a separate recommendation, then she/he may serve on any Peer Review Committees within her or his academic unit.
  5. If any stage of a Performance Review has not been completed according to the RTP Timetable, the WPAF shall be automatically transferred to the next level of review or appropriate administrator and the Candidate shall be so notified. (15.41)
- C. Election and Composition of the Peer Review Committee (PRC)
1. The Department or appropriate academic unit is responsible for determining the size and election conditions of the PRC. The Department Chair shall ensure that there is an election of a PRC. Where no Department Chair exists, the department or appropriate faculty governance unit will ensure that there is an election of a PRC. (See IV.B.1. and 2. above.)
  2. The PRC shall be composed of at least three full-time tenured faculty elected by tenure-track faculty in the Candidate’s department (or equivalent), with the chair elected by the committee. That is, if there are enough eligible faculty members in a department or program, members of the Peer Review Committee are elected from these areas. If not, the department or program shall elect Peer Review Committee members from eligible university faculty in related academic disciplines. (15.35)
  3. In the case of a faculty member with a joint appointment, the Peer Review Committee shall include when possible representatives from both areas with a majority of members on the committee elected from the Department or program holding the majority of the faculty member’s appointment. If a faculty member holds a 50/50 joint appointment, the committee will have representatives from both departments.
  4. Peer Review Committee members must have higher rank/classification than those being considered for promotion.
  5. Candidates for promotion are ineligible for service on promotion or tenure Peer Review Committees.
  6. Each College/Library/School/SSP-AR shall adopt procedures for electing a Peer Review Committee from the eligible faculty. These procedures must follow the guidelines of the CBA. (15.35)
- D. Responsibilities of the Peer Review Committee (PRC)
1. The PRC shall review the WPAF for completeness. Within seven days of the submission deadline the PRC shall:
    - a. Submit a letter to the Custodian of the File outlining material that is lacking. If no WPAF has been submitted, the PRC shall submit a letter to the Custodian of the File within the same deadline indicating that the WPAF is lacking.
    - b. Add any existing required material, ~~required or additional~~, missing from the WPAF that the Candidate has not added via the COF. (15.12).

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- c. Add any additional existing material with written consent of the candidate.
        - d. Request any irrelevant material to be removed from the WPAF.
      2. The PRC shall determine whether to request external review of the WPAF. In the case of an external review request, see Appendix C for responsibilities and timeline.
      3. Consistent with the CBA, the Department/College/Library/School/SSP-AR RTP standards/documents, the University RTP document, and the RTP Timetable:
        - a. The PRC shall review and evaluate the WPAF of each candidate for retention, promotion, and tenure.
        - b. Each committee member shall make an individual evaluation prior to the discussion of any specific case.
      4. The PRC shall meet as an entire committee face-to-face. In these meetings, each member shall comment upon the candidate's qualifications under each category of evaluation.
      5. The PRC shall write a recommendation with supporting arguments to "The file of [the faculty member under review]." (See Appendix E.) The PRC's recommendation is a separate, independent report from that of the Department Chair.
        - a. The recommendation shall be based on the contents of the WPAF. (15.12.c)
        - b. The recommendation clearly shall endorse or disapprove of the retention, tenure, and/or promotion.
      6. Each recommendation shall be approved by a simple majority of the committee. To maintain confidentiality, the vote for recommendations shall be conducted by printed, secret ballot. (See Appendix D.) The report of the vote shall be anonymous. Committee members may not abstain in the final vote. The vote tally shall not be included in the letter. Dissenting opinions shall be incorporated into the text of the final recommendation. When the vote is unanimous, the report shall so indicate. All members of the committee shall sign the letter. (See Appendix E.)
      7. The PRC shall submit the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
      8. Should the candidate call a meeting within seven days of receipt of the PRC's recommendation, the PRC shall attend the meeting. (15.5) No formal, written response is required subsequent to this meeting.
      9. The PRC may respond to a candidate's written rebuttal or response within seven days of receipt of rebuttal. No formal, written response to a candidate rebuttal or response is required.
      10. Should the P & T Committee call a meeting of all previous levels of review, the PRC shall attend and revise or reaffirm their recommendation. The PRC shall then submit in writing their recommendation to the Custodian of the File consistent with the RTP Timetable.
      11. The PRC shall maintain confidentiality of the file, of deliberations and recommendations, pursuant to articles 15.10 and 15.11 of the CBA.
      12. If any stage of a Performance Review has not been completed according to the RTP Timetable, the WPAF shall be automatically transferred to the next level of review or appropriate administrator and the faculty unit employee shall be so notified. (15.41)
  - E. Responsibilities of the Dean/Director
    1. The Dean/Director shall review the file for completeness. Within seven days of the submission deadline, the Dean/Director shall:
      - a. Submit a letter to the Custodian of the File outlining material that is lacking.
      - b. If the requested missing material is not added, the Dean/Director shall have the COF insert that material. (15.12)
      - c. The Custodian of the File shall notify the faculty member of any material added to the file.
    2. The Dean/Director shall determine whether to request external review of the file. In the case of an external review request, see Appendix C for responsibilities and timeline.
    3. The Dean/Director shall review and evaluate the WPAF of each candidate for retention, tenure, and/or promotion, consistent with the CBA, Department/Unit/College/Library/School/SSP-AR RTP document, the University RTP document, and the RTP Timetable.
    4. The Dean/Director shall write a recommendation with supporting arguments addressed "To the file of [the name of the Candidate]."
      - a. The recommendation shall be based on the contents of the WPAF. (15.12 c)
      - b. The recommendation shall clearly endorse or disapprove retention, tenure and/or promotion.
    5. The Dean/Director shall submit the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
    6. Should the candidate call a meeting within seven days of receipt of the Dean/Director's recommendation (15.5), the Dean/Director shall attend the meeting. No response is required.

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

7. Should the candidate submit a rebuttal or response, the Dean/Director may respond to the rebuttal in writing within seven days of receipt. No formal, written response to the candidate's rebuttal or response is required.
  8. Should the Promotion and Tenure Committee call a meeting of all the previous levels of review, the Dean/Director shall attend and revise or reaffirm her/his recommendation. The Dean/Director shall then submit, in writing, her/his recommendation to the Custodian of the File.
  9. The Dean/Director shall maintain the confidentiality of deliberations and recommendations pursuant to articles 15.10 and 15.11 of the CBA.
  10. If any stage of a Performance Review has not been completed according to the RTP Timetable, the WPAF shall be automatically transferred to the next level of review or appropriate administrator and the faculty unit employee shall be so notified. (15.41)
- F. Composition of the Promotion and Tenure (P & T) Committee
1. The University Promotion and Tenure Committee shall be composed of seven members: six full-time tenured Professors and one full-time tenured Librarian elected in accordance with the rules and procedures of the Academic Senate. Candidates for election to the Committee shall be voting members of the Faculty as defined in the by-laws of the CSUSM Academic Senate.
  2. The six Professors shall be elected as follows: One from the College of Education; one from the College of Business Administration; three from the College of Arts and Sciences (these three must come from at least three of the four Divisions within the College: Humanities, Social Sciences, Sciences and Interdisciplinary Studies); and one university-wide at-large member. The faculty members of the Library shall elect the Librarian member. When School of Nursing faculty or SSP-ARs are under review, faculty member from the School of Nursing or SSP-AR III will be added to the P & T Committee for the School of Nursing or SSP-AR review only.
  3. For various reasons of ineligibility, the Promotion and Tenure Committee may lack the full set of seven members. If Committee membership falls below five, the Senate shall hold a replacement election or an at-large election as appropriate to ensure a minimum of five members for the Committee. Faculty with specified roles in assessing, directing, or counseling faculty in relation to their professional responsibilities are ineligible for service (e.g., Director of General Education, Director of the Faculty Center).
  4. Each year, the members of the Committee shall elect the Chair. They will hold this election during the spring semester preceding the year of service on the Committee.
  5. Members of the Promotion and Tenure Committee are ineligible to serve at any other level of review. That is, they cannot make recommendations as Department Chairs or members of Peer Review Committees for any candidates during their term as members of the Promotion and Tenure Committee.
- G. Responsibilities of the Promotion and Tenure Committee
1. The P & T Committee shall review for completeness each file from all candidates for promotion and/or tenure. In order to complete this review within seven days of the submission deadline, the Chair shall assign two members of the Committee to each file. These members will report their findings to the Chair within the specified deadline.
  2. The P & T Committee shall identify, request and provide existing materials related to evaluation which do not appear in the file. In cases where the Committee members request that the candidate add material to the file, this request shall be made in writing to the Custodian of the File within the specified deadline. In cases where the Committee members add material to the file via the COF, they shall do so within the specified deadline. The Custodian of the File shall inform the candidate of this addition.
  3. The P & T Committee shall determine whether to request external review. The members assigned to review each file for completion shall arrive at an independent assessment of the need for external review. The full Committee shall meet at the end of this initial review period to determine the need for external review. The Committee shall conduct a simple majority vote to determine whether or not an external review shall be requested. In the case of external review, see Appendix C for External Review.
  4. Consistent with the CBA, the Department/Unit/Library/School/SSP-AR RTP standards/documents, the University RTP document and the RTP timetable, the P & T Committee shall review and evaluate the WPAF of each candidate for tenure and/or promotion. Each committee member shall make an individual assessment prior to the discussion of any specific case.
  5. The P & T Committee shall meet as an entire committee face-to-face concerning each of the WPAFs. In these meetings, each member shall comment upon the candidate's qualifications under each category of evaluation.



## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

6. The P & T Committee shall write a clear recommendation, addressed “To the file of [the candidate]” with supporting arguments. (See Appendix E.) Each recommendation shall be approved by a simple majority of the committee. The Chair shall vote. Because the CBA states that “[t]he end product of each level of a Performance Review shall be a written recommendation,” (15.40) a report of a tie vote does not constitute an acceptable action of the Committee. The P & T Committee must recommend for or against promotion and/or tenure.
  7. The report of the vote shall be anonymous. Committee members may not abstain in the final vote. The vote tally shall not be included in the letter. Dissenting opinions shall be incorporated into the text of the final recommendation. When the vote is unanimous, the report shall so indicate. All members of the committee shall sign the letter.
  8. The P & T Committee shall provide a copy of the recommendation to the Custodian of the File by the deadline specified in the RTP Timetable.
  9. Should the candidate call a meeting within seven days of receipt of the P & T Committee’s recommendation, the P & T Committee shall attend the meeting. (15.5) No formal written response is required subsequent to this meeting.
  10. Should the candidate submit a rebuttal or response, the P & T Committee may respond to the rebuttal or response in writing within seven days of receipt. No formal written response to the candidate’s rebuttal or response is required.
  11. When there is disagreement in the recommendations at any level of review, the P & T Committee shall call a conference involving all levels of the review, i.e., the Department Chair, the Peer Review Committee, the Dean, and the Promotion and Tenure Committee itself. The P & T Committee shall schedule this meeting within seven days after the designated deadline for the candidate to respond to the Promotion and Tenure Committee’s recommendation. All members of the P & T Committee shall attend this meeting.
  12. Subsequent to such a meeting, the P & T Committee shall revise or reaffirm their recommendations. The P & T Committee shall then submit in writing their recommendation to the Custodian of the File consistent with the RTP Timetable.
  13. The P & T Committee shall maintain confidentiality of the file, of deliberations and recommendations, pursuant to articles 15.10 and 15.11 of the CBA.
  14. If the P & T Review has not been completed according to the RTP Timetable, the WPAF shall be automatically transferred to the next level of review and the faculty unit employee shall be so notified. (15.41)
- H. Responsibilities of the President or Designee<sup>6</sup>
1. The President shall announce the RTP Timetable after recommendations, if any, by the appropriate faculty committee. (14.4, 15.4)
  2. The President shall follow the specific deadlines outlined for various personnel actions in provisions 13.11, 13.12, 13.17, and 14.9 of the CBA.
  3. The President shall consider a decision in relation to external review. Both the President and the faculty member undergoing review must agree to external review.
  4. The President shall review and consider the Performance Review recommendations and relevant material and make a final decision on retention, tenure, or promotion. For probationary employees holding a joint appointment in more than one Department, the President shall make a single decision regarding retention, tenure, or promotion. (13.10, 13.15, 14.8, 15.42)
  5. The President shall review and consider the Performance Review recommendations, relevant material and information, and the availability of funds for promotion. (14.8)
  6. Should the President make a personnel decision on any basis not directly related to the professional qualifications, work performance, or personal attributes of the individual faculty member in question, those reasons shall be reduced to writing and entered into the Personnel Action File and shall be immediately provided the faculty member. (11.9)
  7. The President shall provide a written copy of the decision with reasons to the Custodian of the File, who will provide it to the faculty member undergoing review and to all levels of review.
  8. The President shall maintain confidentiality of the file, of deliberations and of recommendations, pursuant to articles 15.10 and 15.11 of the CBA.
- I. Responsibilities of the Custodian of the File
1. The Custodian of the File shall notify all Candidates, Department Chairs, and Deans one semester in advance of the scheduled required reviews for retention, reappointment, tenure and/or promotion.

<sup>6</sup> In the text that follows, “the President” should be understood to mean “the President or her/his designee.” The designee must be an Academic Administrator. (15.2) In the case of an SSP-AR review, the designee may be the Vice President of Student Affairs.

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- In May, the COF shall notify all faculty members and the Deans/Director of the CSUSM RTP Timetable for the following academic year. The COF shall notify all Candidates that the Faculty Center, the Deans, Department Chairs or equivalents and other appropriate resources are available to provide advice, guidance, and direction in constructing their WPAF.
2. The COF shall provide each new faculty unit employee no later than fourteen days after the start of fall semester written notification of the evaluation criteria and procedures in effect at the time of her/his initial appointment. In addition, pursuant to CBA provision 15.3, the faculty unit employee shall be advised of any changes to those criteria and procedures prior to the commencement of the evaluation process. (12.2)
  3. The COF shall receive the initial file, and date and stamp the initial page of the file.
  4. The COF shall maintain confidentiality of the files.
  5. Only when dire circumstances exist may a WPAF be turned in late. The COF will determine what constitutes dire circumstances.
  6. Within two working days of the end of the review for completeness, the COF shall notify the Candidate that she/he needs to add required and additional documentation requested by the Department Chair, review committee chairs, or administrators. If the Candidate fails to submit the required materials and a reviewing party submits the materials, the COF will notify the Candidate of materials that others add to the file.
  7. In cases where the Department Chair wishes to submit a separate recommendation, but is ineligible to make recommendations for all Candidates, the Custodian of the File will place a form letter into the WPAF of the Candidates not receiving a separate recommendation that explains the reason that no Department Chair letter was submitted to the file.
  8. The COF shall notify the Candidate of any other additional items to be added to the file along with the Candidate's right to rebut or request deletion.
  9. If a Candidate scheduled for review submits no WPAF, the COF shall place a letter in a file folder stating that no file was submitted. A copy of the letter will be sent to the appropriate Dean and the Candidate.
  10. The COF shall ensure that all who review a file sign in each time they review the file. The COF shall maintain a log of action for each file.
  11. If any party of the review process, including the Candidate, indicates that they want an external review, the COF shall administer the process as outlined in the CBA (Article 15) and the University Retention, Tenure, and Promotion (RTP) documents. That is, the COF shall advise the President of the request and obtain the consent of the Candidate. If both are in agreement to have an external review, the Custodian of the File shall administer the process.
  12. The COF shall receive, process, and hold all recommendations and responses and/or rebuttals during each step of the process.
  13. The COF shall monitor the progress of all evaluations ensuring that proper notification is given to the Candidate, each committee, and the appropriate administrators as specified in these procedures. The COF shall provide copies of the evaluations and recommendations to the candidates and the reviewing parties. The COF shall document each notification.

### V. PRINCIPLES FOR THE REVIEW PROCESS

#### A. General Principles

1. Faculty shall be evaluated in accordance with the Unit 3 CBA as well as standards approved for their Departments or equivalent units (when such standards exist), standards approved by their College/Library/School/SSP-AR, and in accordance with this policy. In case of conflict between the Department and College/Library/School/SSP-AR standards, the College/Library/School/SSP-AR standards shall prevail. The policies and procedures in this document are subject to Board of Trustees policies, Title 5 of the California Administrative Code, California Education Code, the Unit 3 CBA, and other applicable State and Federal laws.
2. Faculty members will present the relevant evidence in each category of performance. Each level of review is responsible for evaluating the quality and significance of all evidence presented.
3. Everyone, at all levels of review, shall read the Candidate's file.
4. Committee members shall work together to come to consensus.
5. Retention, tenure, and promotion of a faculty member always shall be determined on the basis of professional performance as defined by the CBA (20) and the University and Department/Unit/College/Library/School/SSP-AR documents, demonstrated by the evidence in the WPAF. In the evaluation of teaching performance, student evaluation forms shall not constitute the sole evidence

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

- of teaching quality. No recommendation shall be based on a Candidate's beliefs, nor on any other basis that would constitute an infringement of academic freedom.
6. The Candidate shall have access to her/his WPAF at all reasonable times except when the WPAF is actually being reviewed at some level.
  7. Prior to the final decision, candidates for promotion may withdraw, without prejudice, from consideration at any level of review.
  8. Maintaining confidentiality is an extremely serious obligation on the part of committee reviewers and administrators. All parties to the review need to be able to discuss a Candidate's file openly, knowing that this discussion will remain confidential. All parties to the review shall maintain confidentiality, respecting their colleagues, who, by virtue of election to a personnel committee, have placed their trust in each other. Deliberations and recommendations pursuant to evaluation shall be confidential. (15) There may be a need for the parties to the review to discuss the Candidate's file with other levels of review when all levels do not agree. Also, the Candidate may request a meeting with parties to the review at any level. These particular discussions fall within the circle of confidentiality and comply with this policy. Otherwise, reviewing parties shall not discuss the file with anyone. Candidates who believe that confidentiality has been broken may pursue relief under the CBA. (10)
  9. Service in the personnel evaluation process is part of the normal and reasonable duties of tenured faculty, Department Chairs, and administrative levels of review. Lobbying or harassment of parties to the review in the performance of these duties constitutes unprofessional conduct. Other University policies cover harassment as well. The statement here is not intended to restrict the University in any way from fulfilling the terms of other policies that cover harassment.
  10. When a probationary faculty member does not receive tenure following the mandatory sixth year review, the University's contract with the individual shall conclude at the end of the seventh year of service, unless the faculty member is granted a subsequent probationary appointment by the President. (13.17)
- B. Standards Applied in Different Types of Decisions
1. Review for Retention of Probationary Faculty
    - a. Whenever a probationary faculty member receives reappointment, CSUSM shall provide to the Candidate a review that identifies any areas of weakness.
    - b. To the extent possible and appropriate, the University should provide opportunities to improve performance in the identified area(s).
  2. Review for Granting of Tenure
    - a. The granting of tenure requires a more rigorous application of the criteria than reappointment.
    - b. A Candidate for tenure at CSUSM shall show sustained high quality achievement in support of the Mission of the University in the areas of teaching, research and creative activity, and service (for teaching faculty and librarians) or in the primary duties as assigned in the job description, continuing education/professional development, and service (for SSP-ARs).
    - c. Normally, tenure review will occur in the sixth year of service at CSUSM or one or two years earlier in cases where the Candidate has been granted service credit. Tenure review prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for tenure as specified in University, College/Library/School, and Department standards.
    - d. An earned doctorate or an appropriate terminal or professional degree that best reflects the standard practices in an individual field of study is required for tenure. In exceptional cases, individuals with a truly distinguished record of achievement at the national and/or international level will qualify for consideration for purposes of granting tenure. An ad hoc committee consisting of three members jointly appointed by the Chair of the Promotion and Tenure Committee and the Department Chair shall judge all exceptions. This ad hoc committee shall make a recommendation to the President for or against awarding tenure.
  3. Review for Promotion
    - a. Promotion to Associate Professor, Associate Librarian or SSP-AR II requires a more rigorous application of the criteria than reappointment.
    - b. Promotion to the rank of Professor, Librarian or SSP-AR III shall require evidence of substantial and sustained professional growth at the Associate rank as defined by University, College/Library/School/SSP-AR, and Department standards.
    - c. In promotion decisions, reviewing parties shall give primary consideration to performance during time in the present rank. Promotion prior to the normal year of consideration requires clear evidence that the Candidate has a sustained record of achievement that fulfills all criteria for promotion as specified in University, College/Library/School, and Department standards.

## FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

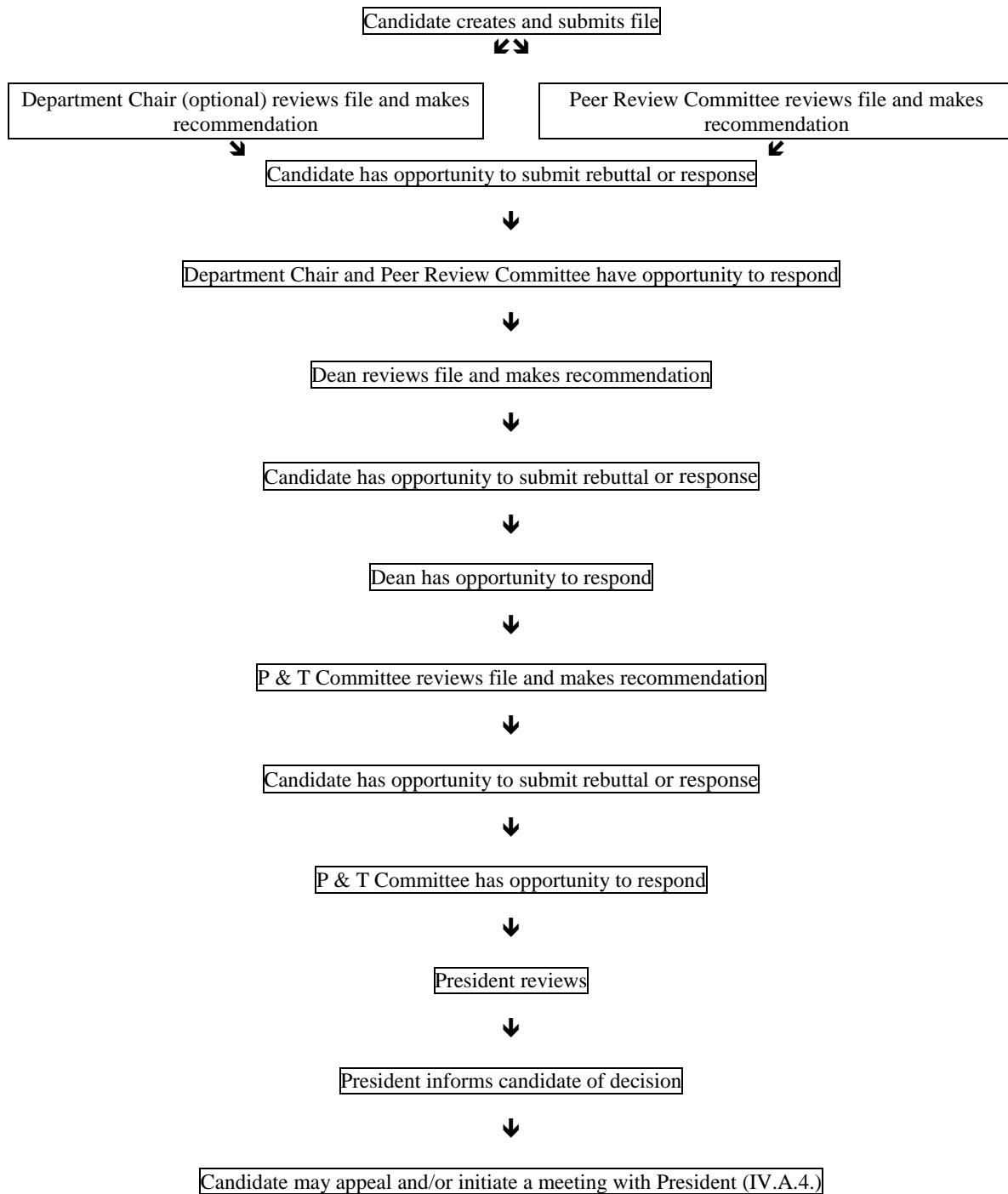
For early promotion, a sustained record of achievement should demonstrate that the candidate has a record comparable to that of a candidate who successfully meets the criteria in all three categories for promotion in the normal period of service. Therefore, a successful candidate for early promotion will have a record of achievement that exceeds the expectations for peers with the same years of service at their current level. [CSUSM1]

4. College/Library/School/SSP-AR Standards
  - a. A College or equivalent unit shall develop standards for the evaluation of faculty members of that College or equivalent unit.
  - b. College or equivalent unit standards shall not conflict with law or University policy. In no case shall College standards require lower levels of performance than those required by law or University policy.
  - c. Written College or equivalent unit standards shall address:
    - 1) Those activities which fall under the categories of Teaching Performance, Scholarly and Creative Activity, and Service;
    - 2) A description of standards used to judge the quality of performance;
    - 3) The criteria employed in making recommendations for retention, tenure, and promotion.
  - d. These standards shall be reviewed by the Faculty Affairs Committee for compliance with university, CSU, and Unit 3 CBA policies and procedures. Once compliance has been verified, the College/Library/School/SSP-AR standards will be recommended to the Academic Senate for approval.
5. Departmental Standards
  - a. A Department or equivalent unit may develop standards for the evaluation of faculty members of that Department or equivalent unit.
  - b. Department or equivalent unit standards shall not conflict with law or University policy. In no case shall Department standards require lower levels of performance than those required by law or University policy.
  - c. Written Department or equivalent unit standards shall address:
    - 1) Those activities which fall under the categories of Teaching Performance, Scholarly and Creative Activity, and Service;
    - 2) A description of standards used to judge the quality of performance;
    - 3) The criteria employed in making recommendations for retention, tenure, and promotion.
  - d. The Dean/Director of the College/Library/School/SSP-AR shall review the Department standards for conformity to College/Library/School/SSP-AR standards. If the Dean finds it in conformance, she/he will forward the Department standards to the Faculty Affairs Committee. The Faculty Affairs Committee has the responsibility to verify and ensure compliance with university, CSU, and Unit 3 CBA policies and procedures. Once compliance has been verified, the Department standards will be forwarded to the Provost for review. The Provost will provide the Faculty Affairs Committee with a recommendation (with explanation) regarding approval of the Department standards. The Faculty Affairs committee will base its approval of the standards on its own review and the recommendation of the Provost. Once approved, Department standards will be forwarded to Academic Senate as an information item. Departments or equivalent units shall follow this approval process each time they wish to change their standards.

# FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

## APPENDIX A

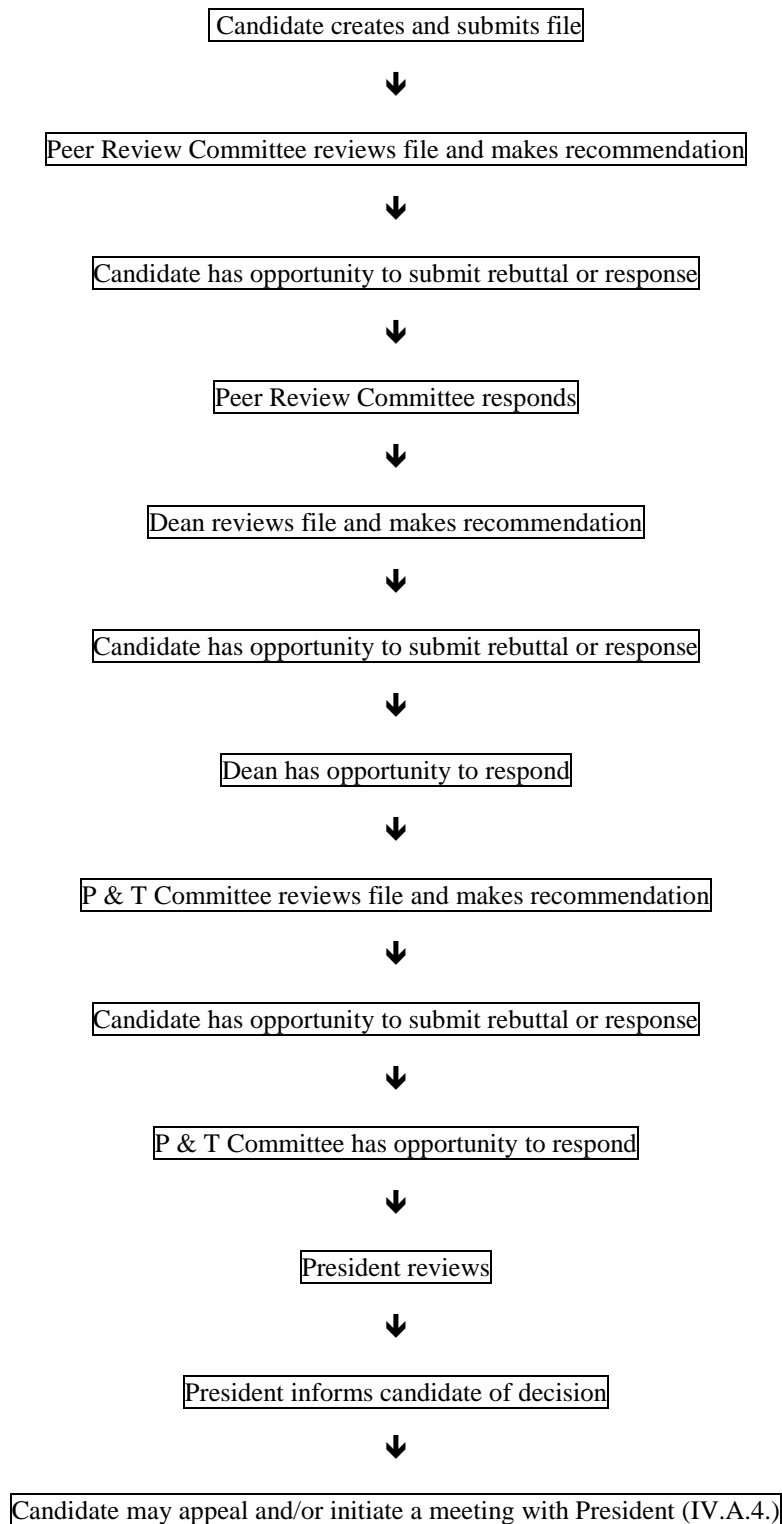
### STEPS IN THE RTP REVIEW PROCESS WHEN THERE *IS* A DEPARTMENT CHAIR



# FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion

## APPENDIX B

### STEPS IN THE RTP REVIEW PROCESS WHEN THERE IS *NO* DEPARTMENT CHAIR



# **FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion**

## **APPENDIX C EXTERNAL REVIEW PROCESS**

### **I. Initiation of a Request for External Review**

- A. A request for an external review of materials submitted by a Candidate for retention, promotion, and/or tenure may be initiated at any level of review by any party to the review, including the Candidate. Such a request shall document (1) the special circumstances which necessitates an outside review, and (2) the nature of the materials needing the evaluation of an external reviewer. The request must be approved by the President with the concurrence of the faculty unit employee. (15.12d)
- B. If any party of the review process, including the candidate, indicates that they want an external review, the COF shall administer the process as outlined in the CBA (Article 15.12d). The Custodian of the File shall administer the process.

### **II. Procedure for Selection of External Reviewers**

The faculty member being considered shall provide a list of five names of experts in the corresponding field of scholarly or creative inquiry. A brief description of the proposed evaluators' fields, institutional affiliations and professional records shall be included with the list.

The Peer Review Committee shall select the external reviewers. The PRC may accept the entire list of five names provided by the Candidate. Alternatively, the PRC may select only three of the names from the list of five. When it selects three names, the PRC also may choose to add up to two additional reviewers. Thus, the PRC shall select a minimum of three external reviewers provided by the Candidate and a maximum of two that it provides, forming a list of three to five external reviewers. When selecting reviewers other than those recommended by the Candidate, the PRC must justify that action in a written statement. Should the Candidate wish to challenge the choices, she/he may provide a written rebuttal. In such cases, the President shall decide on the final list of external reviewers.

- C. Criteria for selection of external reviewers shall include the following. The reviewer must:
  - 1. Be active in the same specialized area of scholarly or creative work;
  - 2. Hold a professional affiliation approved by peer review committee;
  - 3. Be at a rank greater than the faculty member, if affiliated with an academic institution; and
  - 4. Be neither a collaborator nor co-author of any publication or funded research proposal, nor a close friend.
- D. It is the responsibility of the Peer Review Committee to determine that criteria for selection of external reviewers have been satisfied.
- E. The COF is charged with managing the process of external review. The COF shall solicit external reviews, receive the documents, and place them in the WPAF. The COF shall request external reviewers to respond in a timely manner. When a solicited external review does not receive a timely response, the COF shall insert a letter into the file stating that the external reviewer did not respond by the requested time.

# **FAC: Faculty Personnel Procedures for Retention, Tenure & Promotion**

## **APPENDIX D: SAMPLE BALLOT FOR THE PRC**

Candidate has requested consideration for the following action: Promotion to Associate Professor/Associate Librarian/SSP-AR II; Promotion to Professor/Librarian SSP-AR III; Tenure.

Please vote below on the appropriate action.

Promotion to Associate Professor/Associate Librarian/ SSP-AR II \_\_\_\_\_ Yes \_\_\_\_\_ No

Promotion to Professor/Librarian /SSP-AR III \_\_\_\_\_ Yes \_\_\_\_\_ No

Tenure \_\_\_\_\_ Yes \_\_\_\_\_ No

## **APPENDIX E: MEMORANDUM**

DATE: <date>

TO: WPAF for <Candidate's name>

FROM: Peer Review Committee <or P & T Committee>

<Committee members' names with initial line such as:>

Harvey Goodfellow \_\_\_\_\_  
Shirley U. Gest \_\_\_\_\_  
Betta B. Great \_\_\_\_\_

RE: Request for <retention, tenure, promotion, etc.>

The Committee <unanimously> or <by simple majority> <recommends/does not recommend> <name of Candidate> for <request>.

Attached please find the complete narrative portion of the recommendation.



3/12/2010

# Preliminary Report

## FIRMS Expenditure Comparisons

**Data Reconciliation and Analysis**  
**Subcommittee to BLP**

Wayne Aitken

Matthew J. Ceppi

Charles De Leone

Mohammad Oskoorouchi

Bill Ward

Daniel Zorn

### I. Summary

The Data Reconciliation and Analysis Subcommittee of BLP are studying two issues: (1) recent spending patterns at CSUSM together with spending patterns at comparable CSU campuses, and (2) the student faculty ratio and related issues. This preliminary report concerns only the first issue, spending patterns, and is focused on comparing our spending with that of comparably sized CSUs. A separate preliminary report will discuss the student faculty ratio and related issues. Our preliminary reports are designed to discuss our methodology and to provide limited, but important, case studies. In April 2010 this subcommittee plans to issue comprehensive reports to BLP covering the issues more thoroughly.

This document discusses our method for classifying spending, illustrates this method with two case studies, and provides some preliminary analyses. The case studies include (1) Salary and benefits expenditures at CSUSM and peer campuses in FY 2007-2008, and (2) Salary and benefits expenditures at CSUSM and peer campuses in FY 2008-2009. We focus on salary and benefits since we have reliable data for these categories, more reliable than our current data for spending as a whole due to reporting ambiguities and readjustment practices in non-salary categories that we will investigate in our full report. Also, knowledge of the distribution of spending in salaries and benefits is perhaps even more useful for long term planning than knowledge of the distribution of total spending. The final report (April 2010) will compare spending from all accounts supported by state funding and student fees, not just salary and benefits spending, and will include more fiscal years and more analysis.

This report divides spending into categories using the Financial Information Record Management System (FIRMS) classifications employed throughout the CSU. This is a functional classification of spending rather than a classification by divisional or other organizational structure. As discussed later in the report, this paints a better picture of the range of activities we fund, and makes it much easier to compare spending between campuses. Detailed descriptions of the FIRMS categories are included in an appendix to this report.

Although we include system wide averages in an appendix for each FIRMS category, there are problems of scale arising from the fact that San Marcos is a smaller than the average CSU campus. Thus we have focused our comparison with the four other campuses whose FTES (annual full time equivalent students) was in the range 5000-9000 during AY 2008-2009.

#### Findings:

- (1) The CSU is committed to using FIRMS categories to report spending to the public, and the FIRMS categories are fairly specific and correspond to nationally recognized categories of spending. Therefore FIRMS is a very useful tool to compare spending patterns from year to year, and from campus to campus, in a way that transcends varying organizational structures.
- (2) However, there is some subjectivity in the FIRMS descriptions, and campuses decide for themselves, based on often brief descriptions of FIRMS categories, how to report its spending in terms of the FIRMS classifications. In fact, not all campuses use all the available classification categories. For example, there are several information technology classifications, and campuses are not required to use all of them, nor are given detailed guidance on how to divide information technology expenses between these categories. As another example, faculty research and scholarship can be reported in a variety of categories including General Academic Instruction (FIRMS 0101) and Academic Personnel Development (FIRMS 0407), and campuses are only required to report research as research proper (FIRMS 0202) if the research is separately budgeted. Because of the variance inherent in the FIRMS classification system, FIRMS should be used with care and only with an understanding of the FIRMS descriptions. For example, when comparing instructional spending between campuses, we found it best to focus on category 0101 (general academic

instruction), and not on the total of all the 0100 (instruction total) since category 0106 (instructional information technology), for example, can mean different things at different campuses.

- (3) The data strongly suggests that we spend less per FTES on salaries and benefits for general academic instruction (FIRMS 0101) compared to our peer institutions and to the CSU as a whole. If we rank the five comparably sized CSU, our campus ranks last according to the FIRM data for both years included in this report. We plan to investigate this disparity further and look at factors such as the age of campus and faculty, variability of practice in the use of the FIRMS 0101 category across campuses, the proportion of tenure-track to lecturer faculty, average class size, and student faculty ratio.
- (4) The data suggests that we spend more on administrative salaries and benefits than our peers both for academic administration (FIRMS 0406) and nonacademic administration (FIRMS 0606).
- (5) This committee recognizes that our campus has unique issues and strategic priorities. So these preliminary findings should not be viewed as a recommendation that we should spend funds exactly like our peer institutions. In fact, some of the current disparity between our spending and other campuses may be explained in terms of past special needs and past strategic priorities of our campus. We do recommend, however, that this information be used to help assess how well we are meeting our strategic priorities, our unique mission and vision, and be used as a tool to help implement our long term objectives.

## II. Methodology

**Classification.** Much of the discussion of budget on our campus focuses on divisional, sub divisional, and college budgets. This is natural since it reflects our organizational structure and the way we build budgets. However, measuring spending by unit is not a good way to compare spending between institutions because different campuses organize themselves very differently. A function performed by student affairs in one campus may be performed by academic affairs in another. Because of this, the CSU has implemented a way to account for spending by function called FIRMS (Financial Information Record Management System). This is an adaptation of a classification system developed by the National Association of College and University Business Officers (NACUBO) for its Financial Accounting and Reporting Manual (FARM). FIRMS and the NACUBO-FARM categories can be used to compare spending patterns among campuses across the country without having to perform the formidable task of mapping organizational structures between different campuses.

Consequently, we have decided to compare expenditures among CSU campuses using FIRMS data from the Chancellor's Office. The FIRMS categories are described in detail in an appendix.

**Scope.** For this preliminary report we will limit consideration to expenditures from the operating fund (CSU Fund 485) which accounts for the funds derived from the state general fund appropriation and from student fees. In particular we will not consider lottery money, grant money, extended learning, parking fees, and auxiliaries. We will limit ourselves to spending in salary and benefits accounts. We do so because (a) there are inconsistencies in the way campuses use their miscellaneous accounts, (b) there are adjustments to the miscellaneous accounts made by the Chancellor's Office budget office in its reports, and (c) the way FIRMS is computed is more complicated for other accounts, in particular the connection between organizational departments and FIRMS categories is more complex for other types of accounts (due to rules on how certain accounts must be classified via the so-called Rule 2 table). We will address these issues in the comprehensive report. By considering only salaries and benefits we avoid these problems. Also, understanding expenditure patterns in salary and benefit is in itself critically important in long term planning, as or more important than understanding total expenditure patterns. The final report (April 2010) will compare spending from all accounts supported by state funding and student fees, not just salary and benefits spending, and will include more fiscal years and more analysis.

## Data Reconciliation and Analysis Subcommittee to BLP

We will limit ourselves to two fiscal years: 2007-08 and 2008-09. As a rule, we exclude money earmarked for student financial aid (FIRMS 0800) since this money represents nondiscretionary spending, and functions more as a transfer between the CSU and students rather than CSUSM departmental expenses.

**Budget versus Expenditures.** In this report we will look at actual spending, not budgeted spending.

**Peer Campuses.** We focus our comparison with campuses of roughly the same size as CSUSM. Below is CSUSM together with our selection of four peer campuses.

- (1) Bakersfield (6948 annual FTES for 2008-09)
- (2) Humboldt (7227)
- (3) San Marcos (7345)
- (4) Stanislaus (7441)
- (5) Sonoma (7964)

There are no other campuses between 5000 and 9000 FTES (Monterey Bay had 4042 FTES, and Dominguez Hills had 9554). Of course, later we may wish to look at campuses outside this range that are in some sense similar with CSUSM, but for this preliminary report we focus on these four peer campuses.

### III. Case Study: 2007/08

This section contains three tables illustrating the data from our study of FIRMS spending for FY 2007/08. This section presents the data only. A preliminary analysis of the data can be found in Section V. The source for the expenditures data is data from the Chancellor's Office. It is publically available and can be found at

[www.calstate.edu/budget/final-budget-summaries/](http://www.calstate.edu/budget/final-budget-summaries/)

Enrollment data is also based on data from the Chancellor's Office. It can be found at

[www.calstate.edu/budget/enrollment\\_sufrev/2007-2008/](http://www.calstate.edu/budget/enrollment_sufrev/2007-2008/)

TABLE 1 shows salary and benefit spending at CSUSM broken down by FIRMS category. Information is given in terms of (1) dollars spent in FY 2007/08, (2) as a percentage of spending in salaries and benefits, and (3) spending per full time equivalent student (FTES).

TABLE 2 presents similar information for Bakersfield, Humboldt, Stanislaus, and Sonoma.

TABLE 3 presents a comparison of per FTES spending in salary and benefits between CSUSM and the combined spending in salary and benefits at Bakersfield, Humboldt, Stanislaus, and Sonoma. The second to last column shows the difference in per FTES spending between CSUSM and the other campuses. The last column multiplies the previous column by the number of FTES at CSUSM. In other words, it indicates the amount that would be required to bring CSUSM per FTES spending in line with that of the other four campuses.

Two other tables related to this case study are included in Appendix II. TABLE 7 shows salary and benefits spending at Bakersfield, Humboldt, Stanislaus, and Sonoma scaled so that the total agrees with the total salary and benefits spending at CSUSM. The difference between this scaled spending, and actual spending at CSUSM is given. TABLE 8 shows aggregate spending on salary and benefits for all 23 campuses of the CSU.

## Data Reconciliation and Analysis Subcommittee to BLP

TABLE 1. CSUSM Salary and Benefits Expenditures: FY 2007/08

FIRMS Programs		Actual Expenditures Salary and Benefits		
Code	Description	07/08	% of Total	Per FTEs
0101	General Academic Instruction	33,722,724	44.93%	4,470.61
0104	Community Education	100,776	0.13%	13.36
0105	Preparatory/Remedial Instruction	97,043	0.13%	12.86
0106	Instructional Information Technology	550,553	0.73%	72.99
<b>Instruction Total</b>		<b>34,471,095</b>	<b>45.92%</b>	<b>4,569.82</b>
0201	Institutes and Research Center	88,954	0.12%	11.79
0202	Individual and Project Research	70,641	0.09%	9.36
<b>Research Total</b>		<b>159,595</b>	<b>0.21%</b>	<b>21.16</b>
0301	Community Service	173,258	0.23%	22.97
0303	Public Broadcasting Services			
0304	Public Information Technology			
<b>Public Service Total</b>		<b>173,258</b>	<b>0.23%</b>	<b>22.97</b>
0401	Libraries	2,681,760	3.57%	355.52
0402	Museums and Galleries			
0403	Educational Media Services	374,812	0.50%	49.69
0405	Ancillary Support	32,795	0.04%	4.35
0406	Academic Administration	6,116,520	8.15%	810.87
0407	Academic Personnel Development	1,188,558	1.58%	157.57
0408	Course and Curriculum Development	563,227	0.75%	74.67
0409	Academic Support Information Technology	1,603,234	2.14%	212.54
<b>Academic Support Total</b>		<b>12,560,906</b>	<b>16.73%</b>	<b>1,665.20</b>
0501	Student Services Administration	2,105,523	2.81%	279.13
0502	Social and Cultural Development	1,387,403	1.85%	183.93
0503	Counseling and Career Guidance	981,206	1.31%	130.08
0504	Financial Aid Administration	732,411	0.98%	97.10
0507	Student Health Services	1,000,947	1.33%	132.70
0508	Student Services Information Technology	881,818	1.17%	116.90
0509	Student Admissions	1,326,540	1.77%	175.86
0510	Student Records	568,558	0.76%	75.37
<b>Student Services Total</b>		<b>8,984,405</b>	<b>11.97%</b>	<b>1,191.06</b>
0601	Executive Management	2,770,697	3.69%	367.31
0602	Fiscal Operations	1,879,328	2.50%	249.14
0605	Public Relations/Development	980,680	1.31%	130.01
0606	General Administration	4,824,709	6.43%	639.61
0607	Administrative Information Technology	3,163,332	4.21%	419.36
<b>Institutional Support Total</b>		<b>13,618,745</b>	<b>18.14%</b>	<b>1,805.43</b>
0701	Physical Plant Administration	711,383	0.95%	94.31
0702	Building Maintenance	1,023,706	1.36%	135.71
0703	Custodial Services	496,054	0.66%	65.76
0704	Utilities	626,620	0.83%	83.07
0705	Landscape and Grounds Maintenance			
0706	Major Repairs and Renovations			
0707	Security and Safety	2,050,346	2.73%	271.81
0708	Logistical Services	186,716	0.25%	24.75
<b>Operation &amp; Maintenance of Plant Total</b>		<b>5,094,824</b>	<b>6.79%</b>	<b>675.42</b>
<b>Grand Total</b>		<b>75,062,829</b>	<b>100.00%</b>	<b>9,951.06</b>
<b>Full Time Equivalent Students (FTEs)</b>		<b>7,543.20</b>		



# Data Reconciliation and Analysis Subcommittee to BLP

TABLE 2. Salary and Benefits Expenditures: Five Campus Comparison, FY 2007/08

Campus FTES			Bakersfield 6,892			Humbolt 7,252			Sonoma 7,926			Stanislaus 7,552			San Marcos 7,543		
Category	Sub Category	Description	Salary/ Wages	% of Total	Per FTES	Salary/ Wages	% of Total	Per FTES	Salary/ Wages	% of Total	Per FTES	Salary/ Wages	% of Total	Per FTES	Salary/ Wages	% of Total	Per FTES
0100	0101	General Academic Instruction	35,792,834	51.43%	5,193.16	39,711,031	50.03%	5,475.65	38,128,390	47.22%	4,810.67	40,208,535	52.86%	5,324.29	38,722,724	44.93%	4,470.61
	0104	Community Education	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	100,776	0.13%	13.36
	0105	Preparatory/Remedial Instruction	2,754	0.00%	0.40	0	0.00%	0.00	135,683	0.17%	17.12	0	0.00%	0.00	97,043	0.13%	12.86
	0106	Instructional Information Technology	0	0.00%	0.00	211,754	0.27%	29.20	686,269	0.85%	86.59	741,483	0.97%	98.18	550,553	0.73%	72.99
<b>0100 Total</b>			<b>35,795,589</b>	<b>51.44%</b>	<b>5,193.56</b>	<b>39,922,785</b>	<b>50.29%</b>	<b>5,504.84</b>	<b>38,950,342</b>	<b>48.24%</b>	<b>4,914.37</b>	<b>40,950,018</b>	<b>53.84%</b>	<b>5,422.48</b>	<b>34,471,095</b>	<b>45.92%</b>	<b>4,569.82</b>
0200	0201	Institutes and Research Center	72,384	0.10%	10.50	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	88,954	0.12%	11.79
	0202	Individual and Project Research	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	70,641	0.09%	9.36
<b>0200 Total</b>			<b>72,384</b>	<b>0.10%</b>	<b>10.50</b>	<b>0</b>	<b>0.00%</b>	<b>0.00</b>	<b>0</b>	<b>0.00%</b>	<b>0.00</b>	<b>0</b>	<b>0.00%</b>	<b>0.00</b>	<b>159,595</b>	<b>0.21%</b>	<b>21.16</b>
0300	0301	Community Service	60,367	0.09%	8.76	0	0.00%	0.00	1,000,924	1.24%	126.29	0	0.00%	0.00	173,258	0.23%	22.97
	0303	Public Broadcasting Services	0	0.00%	0.00	189,098	0.24%	26.07	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00
	0304	Public Information Technology	0	0.00%	0.00	0	0.00%	0.00	253,862	0.31%	32.03	0	0.00%	0.00	0	0.00%	0.00
<b>0300 Total</b>			<b>60,367</b>	<b>0.09%</b>	<b>8.76</b>	<b>189,098</b>	<b>0.24%</b>	<b>26.07</b>	<b>1,254,786</b>	<b>1.55%</b>	<b>158.32</b>	<b>0</b>	<b>0.00%</b>	<b>0.00</b>	<b>173,258</b>	<b>0.23%</b>	<b>22.97</b>
0400	0401	Libraries	1,992,007	2.86%	289.02	2,786,249	3.51%	384.19	2,834,615	3.51%	357.64	2,323,522	3.05%	307.67	2,681,760	3.57%	355.52
	0402	Museums and Galleries	0	0.00%	0.00	153,740	0.19%	21.20	55,578	0.07%	7.01	0	0.00%	0.00	0	0.00%	0.00
	0403	Educational Media Services	2,540,610	3.65%	368.62	596,337	0.75%	82.23	0	0.00%	0.00	6,248	0.01%	0.83	374,812	0.50%	49.69
	0405	Ancillary Support	0	0.00%	0.00	1,493,911	1.88%	205.99	0	0.00%	0.00	1,254,358	1.65%	166.10	32,795	0.04%	4.35
	0406	Academic Administration	3,873,872	5.57%	562.06	3,660,417	4.61%	504.72	4,237,204	5.25%	534.61	4,101,489	5.39%	543.11	6,116,520	8.15%	810.87
	0407	Academic Personnel Development	96,677	0.14%	14.03	7,183	0.01%	0.99	79,240	0.10%	10.00	141,045	0.19%	18.68	1,188,558	1.58%	157.57
	0408	Course and Curriculum Development	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	29,230	0.04%	3.87	563,277	0.75%	74.67
	0409	Academic Support Information Technology	481,655	0.69%	69.88	1,796,832	2.26%	247.76	1,278,302	1.58%	161.28	910,365	1.20%	120.55	1,603,234	2.14%	212.54
<b>0400 Total</b>			<b>8,984,822</b>	<b>12.91%</b>	<b>1,303.60</b>	<b>10,494,669</b>	<b>13.22%</b>	<b>1,447.08</b>	<b>8,484,940</b>	<b>10.51%</b>	<b>1,070.55</b>	<b>8,766,258</b>	<b>11.53%</b>	<b>1,160.80</b>	<b>12,560,906</b>	<b>16.73%</b>	<b>1,665.20</b>
0500	0501	Student Services Administration	1,836,738	2.64%	266.49	1,459,441	1.84%	201.24	1,895,946	2.35%	239.21	1,251,082	1.64%	165.66	2,105,523	2.81%	279.13
	0502	Social and Cultural Development	4,009,443	5.76%	581.73	922,494	1.16%	127.20	730,600	0.90%	92.18	1,863,688	2.45%	246.78	1,387,409	1.85%	183.93
	0503	Counseling and Career Guidance	961,239	1.38%	138.47	966,959	1.22%	133.33	642,075	0.80%	81.01	918,106	1.21%	121.57	981,206	1.31%	130.08
	0504	Financial Aid Administration	1,007,544	1.45%	146.18	1,142,230	1.44%	157.50	984,146	1.22%	124.17	732,150	0.96%	96.95	732,411	0.98%	97.10
	0507	Student Health Services	1,523,358	2.19%	221.02	1,885,695	2.38%	260.01	1,578,405	1.95%	199.15	1,334,739	1.75%	176.74	1,000,947	1.33%	132.70
	0508	Student Services Information Technology	0	0.00%	0.00	141,257	0.18%	19.48	152,021	0.19%	19.18	399,320	0.53%	52.88	881,818	1.17%	116.90
	0509	Student Admissions	399,713	0.57%	57.99	1,123,815	1.42%	154.96	1,414,667	1.75%	178.49	1,396,443	1.84%	184.91	1,326,540	1.77%	175.86
	0510	Student Records	399,712	0.57%	57.99	1,236,124	1.56%	170.45	794,721	0.98%	100.27	1,204,271	1.58%	159.47	568,558	0.76%	75.37
<b>0500 Total</b>			<b>10,137,747</b>	<b>14.57%</b>	<b>1,470.88</b>	<b>8,878,015</b>	<b>11.18%</b>	<b>1,224.17</b>	<b>8,192,581</b>	<b>10.15%</b>	<b>1,033.66</b>	<b>9,099,798</b>	<b>11.96%</b>	<b>1,204.97</b>	<b>8,984,405</b>	<b>11.97%</b>	<b>1,191.06</b>
0600	0601	Executive Management	2,926,127	4.20%	424.55	3,173,664	4.00%	437.61	3,328,757	4.12%	419.99	2,877,865	3.78%	381.08	2,770,697	3.69%	367.31
	0602	Fiscal Operations	2,682,858	3.86%	389.25	2,487,871	3.13%	343.05	4,144,624	5.13%	522.99	2,076,618	2.73%	274.98	1,879,328	2.50%	249.14
	0605	Public Relations/Development	466,127	0.67%	67.63	990,121	1.25%	136.53	679,490	0.84%	85.73	1,212,953	1.59%	160.62	980,680	1.31%	130.01
	0606	General Administration	1,567,712	2.25%	227.46	3,029,814	3.82%	417.77	3,606,937	4.47%	455.09	1,419,337	1.87%	187.94	4,824,709	6.43%	639.61
	0607	Administrative Information Technology	959,943	1.38%	139.28	2,055,197	2.59%	283.39	1,575,555	1.95%	198.79	2,544,438	3.35%	336.93	3,163,392	4.21%	419.36
<b>0600 Total</b>			<b>8,602,768</b>	<b>12.36%</b>	<b>1,248.17</b>	<b>11,736,666</b>	<b>14.79%</b>	<b>1,618.34</b>	<b>13,335,363</b>	<b>16.52%</b>	<b>1,682.53</b>	<b>10,131,211</b>	<b>13.32%</b>	<b>1,341.54</b>	<b>13,618,745</b>	<b>18.14%</b>	<b>1,805.43</b>
0700	0701	Physical Plant Administration	775,802	1.11%	112.56	935,306	1.18%	128.97	1,083,134	1.34%	136.66	972,702	1.28%	128.80	711,383	0.95%	94.31
	0702	Building Maintenance	1,126,711	1.62%	163.47	1,708,228	2.19%	235.54	3,743,074	4.64%	473.02	1,698,221	2.23%	224.87	1,023,706	1.36%	135.71
	0703	Custodial Services	723,638	1.04%	104.99	1,880,387	2.37%	259.36	1,882,997	2.33%	237.58	1,247,460	1.64%	165.18	496,054	0.66%	65.76
	0704	Utilities	448,568	0.64%	65.08	562,810	0.71%	77.60	0	0.00%	0.00	517,256	0.68%	68.49	626,620	0.83%	83.07
	0705	Landscape and Grounds Maintenance	925,517	1.33%	134.28	781,570	0.98%	107.77	1,213,867	1.50%	153.15	794,150	1.04%	105.16	0	0.00%	0.00
	0706	Major Repairs and Renovations	6,537	0.01%	0.95	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00
	0707	Security and Safety	1,713,863	2.46%	248.66	1,636,069	2.06%	225.59	1,988,301	2.46%	250.86	1,644,616	2.16%	217.78	2,050,346	2.73%	271.81
	0708	Logistical Services	218,832	0.31%	31.75	654,107	0.82%	90.19	606,959	0.75%	76.58	238,121	0.31%	31.53	186,716	0.25%	24.75
<b>0700 Total</b>			<b>5,939,465</b>	<b>8.53%</b>	<b>861.75</b>	<b>8,159,077</b>	<b>10.28%</b>	<b>1,125.03</b>	<b>10,524,332</b>	<b>13.03%</b>	<b>1,327.86</b>	<b>7,112,526</b>	<b>9.35%</b>	<b>941.82</b>	<b>5,094,824</b>	<b>6.79%</b>	<b>675.42</b>
<b>Grand Total</b>			<b>69,593,143</b>	<b>100.00%</b>	<b>10,097.23</b>	<b>79,380,311</b>	<b>100.00%</b>	<b>10,945.54</b>	<b>80,742,343</b>	<b>100.00%</b>	<b>10,187.28</b>	<b>76,059,811</b>	<b>100.00%</b>	<b>10,071.61</b>	<b>75,062,829</b>	<b>100.00%</b>	<b>9,951.06</b>

TABLE 3. Salary and Benefits Expenditures Per FTES: FY 2007/08

FIRMS Programs		Actual Expenditures, Salary and Benefits: BA+SO+ST+HU			Actual Expenditures, Salary and Benefits: SM			Excess (shortfall)	
Code	Description	07/08	% of Total	Per FTES	07/08	% of Total	Per FTES	Per FTES	ALL FTES (CSUSM)
0101	General Academic Instruction	153,840,790	50.31%	5,193.41	33,722,724	44.93%	4,470.61	(722.80)	(5,452,217)
0104	Community Education		0.00%		100,776	0.13%	13.36	13.36	100,776
0105	Preparatory/Remedial Instruction	138,437	0.05%	4.67	97,043	0.13%	12.86	8.19	61,790
0106	Instructional Information Technology	1,639,506	0.54%	55.35	550,553	0.73%	72.99	17.64	133,059
<b>Instruction Total</b>		<b>155,618,733</b>	<b>50.89%</b>	<b>5,253.43</b>	<b>34,471,085</b>	<b>45.82%</b>	<b>4,569.82</b>	<b>(683.61)</b>	<b>(5,156,592)</b>
0201	Institutes and Research Center	72,384	0.02%	2.44	88,954	0.12%	11.79	9.35	70,522
0202	Individual and Project Research		0.00%		70,641	0.09%	9.36	9.36	70,641
<b>Research Total</b>		<b>72,384</b>	<b>0.02%</b>	<b>2.44</b>	<b>158,595</b>	<b>0.21%</b>	<b>21.16</b>	<b>18.71</b>	<b>141,163</b>
0301	Community Service	1,061,291	0.35%	35.83	173,258	0.23%	22.97	(12.86)	(96,995)
0303	Public Broadcasting Services	189,098	0.06%	6.38		0.00%	0.00	(6.38)	(48,153)
0304	Public Information Technology	253,862	0.08%	8.57		0.00%	0.00	(8.57)	(64,645)
<b>Public Service Total</b>		<b>1,504,252</b>	<b>0.49%</b>	<b>50.78</b>	<b>173,258</b>	<b>0.23%</b>	<b>22.97</b>	<b>(27.81)</b>	<b>(209,793)</b>
0401	Libraries	9,936,393	3.25%	335.44	2,681,760	3.57%	355.52	20.08	151,497
0402	Museums and Galleries	209,318	0.07%	7.07		0.00%	0.00	(7.07)	(53,302)
0403	Educational Media Services	3,143,196	1.03%	106.11	374,812	0.50%	49.69	(56.42)	(425,591)
0405	Andillary Support	2,748,269	0.90%	92.78	32,795	0.04%	4.35	(88.43)	(667,040)
0406	Academic Administration	15,872,982	5.19%	535.85	6,116,520	8.15%	810.87	275.02	2,074,529
0407	Academic Personnel Development	324,146	0.11%	10.94	1,188,558	1.58%	157.57	146.62	1,106,016
0408	Course and Curriculum Development	29,230	0.01%	0.99	563,227	0.75%	74.67	73.68	555,784
0409	Academic Support Information Technology	4,467,154	1.46%	150.80	1,603,234	2.14%	212.54	61.74	465,691
<b>Academic Support Total</b>		<b>38,730,889</b>	<b>12.01%</b>	<b>1,299.97</b>	<b>12,580,906</b>	<b>18.73%</b>	<b>1,665.20</b>	<b>425.23</b>	<b>3,207,584</b>
0501	Student Services Administration	6,443,206	2.11%	217.51	2,105,523	2.81%	279.13	61.62	464,786
0502	Social and Cultural Development	7,526,225	2.46%	254.07	1,387,403	1.85%	183.93	(70.15)	(529,120)
0503	Counseling and Career Guidance	3,488,380	1.14%	117.76	981,206	1.31%	130.08	12.32	92,904
0504	Financial Aid Administration	3,866,070	1.26%	130.51	732,411	0.98%	97.10	(33.42)	(252,068)
0507	Student Health Services	6,322,196	2.07%	213.43	1,000,947	1.33%	132.70	(80.73)	(608,975)
0508	Student Services Information Technology	692,598	0.23%	23.38	881,818	1.17%	116.90	93.52	705,451
0509	Student Admissions	4,334,638	1.42%	146.33	1,326,540	1.77%	175.86	29.53	222,742
0510	Student Records	3,634,828	1.19%	122.71	568,558	0.76%	75.37	(47.33)	(357,037)
<b>Student Services Total</b>		<b>38,308,141</b>	<b>11.87%</b>	<b>1,225.70</b>	<b>8,984,405</b>	<b>11.97%</b>	<b>1,191.06</b>	<b>(34.64)</b>	<b>(261,318)</b>
0601	Executive Management	12,306,413	4.02%	415.44	2,770,697	3.69%	367.31	(48.13)	(363,082)
0602	Fiscal Operations	11,391,971	3.73%	384.57	1,879,328	2.50%	249.14	(135.43)	(1,021,592)
0605	Public Relations/Development	3,348,690	1.10%	113.05	980,680	1.31%	130.01	16.96	127,950
0606	General Administration	9,623,800	3.15%	324.88	4,824,709	6.43%	639.61	314.73	2,374,047
0607	Administrative Information Technology	7,135,133	2.33%	240.87	3,163,332	4.21%	419.36	178.49	1,346,399
<b>Institutional Support Total</b>		<b>43,808,008</b>	<b>14.33%</b>	<b>1,478.82</b>	<b>13,618,745</b>	<b>18.14%</b>	<b>1,805.43</b>	<b>326.61</b>	<b>2,463,721</b>
0701	Physical Plant Administration	3,766,944	1.23%	127.17	711,383	0.95%	94.31	(32.86)	(247,854)
0702	Building Maintenance	8,282,233	2.71%	279.59	1,023,706	1.36%	135.71	(143.88)	(1,085,332)
0703	Custodial Services	5,735,082	1.88%	193.61	496,054	0.66%	65.76	(127.85)	(964,361)
0704	Utilities	1,528,634	0.50%	51.60	626,620	0.83%	83.07	31.47	237,359
0705	Landscape and Grounds Maintenance	3,715,103	1.21%	125.42		0.00%	0.00	(125.42)	(946,036)
0706	Major Repairs and Renovations	6,537	0.00%	0.22		0.00%	0.00	(0.22)	(1,665)
0707	Security and Safety	6,982,848	2.28%	235.73	2,050,346	2.73%	271.81	36.08	272,192
0708	Logistical Services	1,718,018	0.56%	58.00	186,716	0.25%	24.75	(33.24)	(250,771)
<b>Operation &amp; Maintenance of Plant Total</b>		<b>31,735,400</b>	<b>10.38%</b>	<b>1,071.33</b>	<b>5,094,824</b>	<b>8.79%</b>	<b>675.42</b>	<b>(395.92)</b>	<b>(2,986,468)</b>
<b>Grand Total</b>		<b>305,775,807</b>	<b>100.00%</b>	<b>10,322.48</b>	<b>75,062,829</b>	<b>100.00%</b>	<b>9,951.06</b>	<b>(371.42)</b>	<b>(5,601,706)</b>
Full Time Equivalent Students (FTES) BA+HU+SO+ST		29,622.3							
Full Time Equivalent Students (FTES) CSUSM		7,543.20							

## **IV. Case Study: 2008/09**

This section contains three tables illustrating the data from our study of FIRMS spending for FY 2008/09. The source for the expenditures data is similar to that of the case study for 2007/08:

[www.calstate.edu/budget/final-budget-summaries/](http://www.calstate.edu/budget/final-budget-summaries/)

[www.calstate.edu/budget/enrollment\\_sufrev/2007-2008/](http://www.calstate.edu/budget/enrollment_sufrev/2007-2008/)

Three tables are included, and are similar to the tables in the cases study for 2007/08:

TABLE 4 shows salary and benefit spending at CSUSM broken down by FIRMS category.

TABLE 5 presents similar information for Bakersfield, Humboldt, Stanislaus, and Sonoma.

TABLE 6 presents a comparison of per FTES spending in salary and benefits between CSUSM and the combined spending in salary and benefits at Bakersfield, Humboldt, Stanislaus, and Sonoma.

Two other tables related to this case study are included in Appendix II. TABLE 9 shows salary and benefits spending at Bakersfield, Humboldt, Stanislaus, and Sonoma scaled so that the total agrees with the total salary and benefits spending at CSUSM. The difference between this scaled spending, and actual spending at CSUSM is given. Finally TABLE 10 shows aggregate spending on salary and benefits for all 23 campuses of the CSU.



## Data Reconciliation and Analysis Subcommittee to BLP

TABLE 4. CSUSM Salary and Benefits Expenditures: FY 2008/09

FIRMS Programs		Fiscal Year Actual Expenditures: Salary and Benefits		
Code	Description	Expenditures	% of Total	Per FTES
0101	General Academic Instruction	34,439,328	45.21%	4,688.88
0104	Community Education	100,056	0.13%	13.62
0105	Preparatory/Remedial Instruction	104,846	0.14%	14.27
0106	Instructional Information Technology	591,924	0.78%	80.59
<b>Instruction Total</b>		<b>35,236,155</b>	<b>46.25%</b>	<b>4,797.36</b>
0201	Institutes and Research Center			
0202	Individual and Project Research	70,489	0.09%	9.60
<b>Research Total</b>		<b>70,489</b>	<b>0.09%</b>	<b>9.60</b>
0301	Community Service	164,914	0.22%	22.45
0303	Public Broadcasting Services			
0304	Public Information Technology			
<b>Public Service Total</b>		<b>164,914</b>	<b>0.22%</b>	<b>22.45</b>
0401	Libraries	2,671,022	3.51%	363.66
0402	Museums and Galleries			
0403	Educational Media Services	405,589	0.53%	55.22
0405	Ancillary Support	22,677	0.03%	3.09
0406	Academic Administration	6,347,529	8.33%	864.21
0407	Academic Personnel Development	1,064,570	1.40%	144.94
0408	Course and Curriculum Development	174,092	0.23%	23.70
0409	Academic Support Information Technology	1,739,270	2.28%	236.80
<b>Academic Support Total</b>		<b>12,424,749</b>	<b>16.31%</b>	<b>1,691.62</b>
0501	Student Services Administration	2,114,074	2.77%	287.83
0502	Social and Cultural Development	1,398,442	1.84%	190.40
0503	Counseling and Career Guidance	900,603	1.18%	122.62
0504	Financial Aid Administration	697,432	0.92%	94.95
0507	Student Health Services	1,085,833	1.43%	147.83
0508	Student Services Information Technology	928,031	1.22%	126.35
0509	Student Admissions	1,284,368	1.69%	174.87
0510	Student Records	690,450	0.91%	94.00
<b>Student Services Total</b>		<b>9,099,233</b>	<b>11.94%</b>	<b>1,238.85</b>
0601	Executive Management	2,367,904	3.11%	322.39
0602	Fiscal Operations	2,003,063	2.63%	272.71
0605	Public Relations/Development	1,395,476	1.83%	189.99
0606	General Administration	5,129,137	6.73%	698.33
0607	Administrative Information Technology	3,251,309	4.27%	442.66
<b>Institutional Support Total</b>		<b>14,146,889</b>	<b>18.57%</b>	<b>1,926.08</b>
0701	Physical Plant Administration	620,218	0.81%	84.44
0702	Building Maintenance	1,180,562	1.55%	160.73
0703	Custodial Services	492,557	0.65%	67.06
0704	Utilities	611,391	0.80%	83.24
0705	Landscape and Grounds Maintenance			
0707	Security and Safety	1,950,292	2.56%	265.53
0708	Logistical Services	186,116	0.24%	25.34
<b>Operation &amp; Maintenance of Plant Total</b>		<b>5,041,137</b>	<b>6.62%</b>	<b>686.35</b>
<b>Grand Total</b>		<b>76,183,567</b>	<b>100.00%</b>	<b>10,372.31</b>
<b>Full Time Equivalent Students (FTES)</b>		<b>7,344.9</b>		

# Data Reconciliation and Analysis Subcommittee to BLP

TABLE 5. Salary and Benefits Expenditures: Five Campus Comparison, FY 2008/09

Campus FTEs			Bakersfield 6,948			Humbolt 7,227			Sonoma 7,964			Stanislaus 7,441			San Marcos 7,345		
Category	Sub Category	Description	Salary/ Wages	% of Total	Per FTEs	Salary/ Wages	% of Total	Per FTEs	Salary/ Wages	% of Total	Per FTEs	Salary/ Wages	% of Total	Per FTEs	Salary/ Wages	% of Total	Per FTEs
0100	0101	General Academic Instruction	35,137,178	50.52%	5,057.09	39,436,025	48.98%	5,457.06	39,882,280	45.89%	5,008.01	40,086,366	52.34%	5,387.52	34,439,328	45.21%	4,688.88
	0104	Community Education	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	100,056	0.13%	13.62
	0105	Preparatory/Remedial Instruction	0	0.00%	0.00	0	0.00%	0.00	168,375	0.19%	21.14	0	0.00%	0.00	104,846	0.14%	14.27
	0106	Instructional Information Technology	0	0.00%	0.00	449,203	0.56%	62.16	1,115,452	1.28%	140.07	6,171	0.01%	0.83	591,924	0.78%	80.59
<b>0100 Total</b>			<b>35,137,178</b>	<b>50.52%</b>	<b>5,057.09</b>	<b>39,885,227</b>	<b>49.54%</b>	<b>5,519.22</b>	<b>41,166,107</b>	<b>47.37%</b>	<b>5,169.22</b>	<b>40,092,537</b>	<b>52.34%</b>	<b>5,388.35</b>	<b>35,236,155</b>	<b>46.25%</b>	<b>4,797.36</b>
0200	0201	Institutes and Research Center	31,307	0.05%	4.51	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00
	0202	Individual and Project Research	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	70,489	0.09%	9.60
<b>0200 Total</b>			<b>31,307</b>	<b>0.05%</b>	<b>4.51</b>	<b>0</b>	<b>0.00%</b>	<b>0.00</b>	<b>0</b>	<b>0.00%</b>	<b>0.00</b>	<b>0</b>	<b>0.00%</b>	<b>0.00</b>	<b>70,489</b>	<b>0.09%</b>	<b>9.60</b>
0300	0301	Community Service	28,200	0.04%	4.06	0	0.00%	0.00	734,630	0.85%	92.25	0	0.00%	0.00	164,914	0.22%	22.45
	0303	Public Broadcasting Services	0	0.00%	0.00	184,478	0.23%	25.53	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00
	0304	Public Information Technology	0	0.00%	0.00	0	0.00%	0.00	282,802	0.33%	35.51	0	0.00%	0.00	0	0.00%	0.00
<b>0300 Total</b>			<b>28,200</b>	<b>0.04%</b>	<b>4.06</b>	<b>184,478</b>	<b>0.23%</b>	<b>25.53</b>	<b>1,017,432</b>	<b>1.17%</b>	<b>127.76</b>	<b>0</b>	<b>0.00%</b>	<b>0.00</b>	<b>164,914</b>	<b>0.22%</b>	<b>22.45</b>
0400	0401	Libraries	2,001,324	2.88%	288.04	2,760,926	3.43%	382.05	2,997,592	3.45%	376.41	2,319,492	3.03%	311.73	2,671,022	3.51%	363.66
	0402	Museums and Galleries	0	0.00%	0.00	174,762	0.22%	24.18	55,573	0.06%	6.98	0	0.00%	0.00	0	0.00%	0.00
	0403	Educational Media Services	386,944	0.56%	55.68	320,072	0.40%	44.29	0	0.00%	0.00	0	0.00%	0.00	405,589	0.53%	55.22
	0405	Ancillary Support	0	0.00%	0.00	1,395,798	1.73%	193.15	0	0.00%	0.00	1,095,692	1.43%	147.26	22,677	0.03%	3.09
	0406	Academic Administration	3,955,746	5.69%	569.33	3,311,636	4.11%	458.26	4,345,628	5.00%	545.68	4,279,623	5.59%	575.17	6,347,529	8.33%	864.21
	0407	Academic Personnel Development	58,030	0.08%	8.35	27,121	0.03%	3.75	108,344	0.12%	13.60	86,513	0.11%	11.63	1,064,570	1.40%	144.94
	0408	Course and Curriculum Development	0	0.00%	0.00	0	0.00%	0.00	0	0.00%	0.00	32,743	0.04%	4.40	174,092	0.23%	23.70
	0409	Academic Support Information Technology	2,327,227	3.35%	334.94	2,230,152	2.77%	308.60	1,668,193	1.92%	209.47	1,959,745	2.56%	263.39	1,739,270	2.28%	236.80
<b>0400 Total</b>			<b>8,729,171</b>	<b>12.55%</b>	<b>1,256.34</b>	<b>10,220,467</b>	<b>12.69%</b>	<b>1,414.28</b>	<b>9,175,330</b>	<b>10.56%</b>	<b>1,152.14</b>	<b>9,773,809</b>	<b>12.76%</b>	<b>1,313.58</b>	<b>12,424,749</b>	<b>16.31%</b>	<b>1,691.62</b>
0500	0501	Student Services Administration	1,914,269	2.75%	275.51	1,372,554	1.70%	189.93	2,248,184	2.59%	282.30	2,712,219	3.54%	364.52	2,114,074	2.77%	287.83
	0502	Social and Cultural Development	4,614,235	6.63%	664.10	958,610	1.19%	132.65	2,472,154	2.84%	310.43	2,001,895	2.61%	269.05	1,398,442	1.84%	190.40
	0503	Counseling and Career Guidance	975,616	1.40%	140.41	1,078,998	1.34%	149.31	699,965	0.81%	87.89	1,042	0.00%	0.14	900,603	1.18%	122.62
	0504	Financial Aid Administration	990,537	1.42%	142.56	1,159,679	1.44%	160.47	995,429	1.15%	125.00	829,374	1.08%	111.47	697,432	0.92%	94.95
	0507	Student Health Services	1,485,684	2.14%	213.83	1,945,151	2.42%	269.17	1,615,349	1.86%	202.84	1,372,551	1.79%	184.47	1,085,833	1.43%	147.83
	0508	Student Services Information Technology	175,420	0.25%	25.25	134,256	0.17%	18.58	170,493	0.20%	21.41	1,014	0.00%	0.14	928,031	1.22%	126.35
	0509	Student Admissions	477,855	0.69%	68.77	1,214,559	1.51%	168.07	1,384,535	1.59%	173.86	1,180,791	1.54%	158.70	1,284,368	1.69%	174.87
	0510	Student Records	477,854	0.69%	68.77	1,343,331	1.67%	185.89	820,885	0.94%	103.08	1,596,817	2.08%	214.61	690,450	0.91%	94.00
	<b>0500 Total</b>		<b>11,111,470</b>	<b>15.97%</b>	<b>1,599.21</b>	<b>9,207,138</b>	<b>11.44%</b>	<b>1,274.06</b>	<b>10,406,974</b>	<b>11.97%</b>	<b>1,306.80</b>	<b>9,695,704</b>	<b>12.66%</b>	<b>1,303.08</b>	<b>9,099,233</b>	<b>11.94%</b>	<b>1,238.85</b>
0600	0601	Executive Management	3,059,830	4.40%	440.38	3,311,383	4.11%	458.22	3,618,118	4.16%	454.33	2,311,752	3.02%	310.69	2,367,904	3.11%	322.39
	0602	Fiscal Operations	2,399,128	3.45%	345.29	2,686,298	3.34%	371.72	4,155,403	4.78%	521.79	2,553,019	3.33%	343.12	2,003,063	2.63%	272.71
	0605	Public Relations/Development	307,899	0.44%	44.31	987,993	1.23%	136.72	641,379	0.74%	80.54	1,684,939	2.20%	226.45	1,395,476	1.83%	189.99
	0606	General Administration	1,568,714	2.26%	225.78	3,522,844	4.38%	487.48	3,809,668	4.38%	478.38	1,393,277	1.82%	187.25	5,129,137	6.73%	698.33
	0607	Administrative Information Technology	1,398,401	2.01%	201.26	1,671,657	2.08%	231.32	2,005,870	2.31%	251.88	2,243,716	2.93%	301.55	3,251,309	4.27%	442.66
<b>0600 Total</b>			<b>8,733,971</b>	<b>12.56%</b>	<b>1,257.03</b>	<b>12,180,174</b>	<b>15.13%</b>	<b>1,685.46</b>	<b>14,230,437</b>	<b>16.37%</b>	<b>1,786.91</b>	<b>10,186,702</b>	<b>13.30%</b>	<b>1,369.07</b>	<b>14,146,889</b>	<b>18.57%</b>	<b>1,926.08</b>
0700	0701	Physical Plant Administration	646,953	0.93%	93.11	1,262,502	1.57%	174.70	1,231,025	1.42%	154.58	1,647,102	2.15%	221.37	620,218	0.81%	84.44
	0702	Building Maintenance	1,041,963	1.50%	149.96	1,762,548	2.19%	243.90	3,812,802	4.39%	478.77	1,010,336	1.32%	135.79	1,180,562	1.55%	160.73
	0703	Custodial Services	712,974	1.03%	102.61	1,972,752	2.45%	272.98	1,891,105	2.18%	237.47	1,233,612	1.61%	165.79	492,557	0.65%	67.06
	0704	Utilities	462,371	0.66%	66.55	528,242	0.66%	73.10	1,223,800	1.41%	153.67	608,537	0.79%	81.79	611,391	0.80%	83.24
	0705	Landscape and Grounds Maintenance	1,071,714	1.54%	154.25	832,315	1.03%	115.17	2,019,079	2.32%	253.54	784,493	1.02%	105.43	0	0.00%	0.00
	0707	Security and Safety	1,626,014	2.34%	234.02	1,805,224	2.24%	249.80	732,707	0.84%	92.01	1,562,831	2.04%	210.04	1,950,292	2.56%	265.53
	0708	Logistical Services	222,599	0.32%	32.04	667,980	0.83%	92.43	0	0.00%	0.00	0	0.00%	0.00	186,116	0.24%	25.34
	<b>0700 Total</b>		<b>5,784,588</b>	<b>8.32%</b>	<b>832.54</b>	<b>8,831,563</b>	<b>10.97%</b>	<b>1,222.09</b>	<b>10,910,518</b>	<b>12.55%</b>	<b>1,370.03</b>	<b>6,846,911</b>	<b>8.94%</b>	<b>920.21</b>	<b>5,041,137</b>	<b>6.62%</b>	<b>686.35</b>
<b>Grand Total</b>			<b>69,555,886</b>	<b>100.00%</b>	<b>10,010.78</b>	<b>80,509,048</b>	<b>100.00%</b>	<b>11,140.65</b>	<b>86,906,799</b>	<b>100.00%</b>	<b>10,912.87</b>	<b>76,595,663</b>	<b>100.00%</b>	<b>10,294.29</b>	<b>76,183,567</b>	<b>100.00%</b>	<b>10,372.31</b>



TABLE 6. Salary and Benefits Expenditures Per FTES: FY 2008/09

FIRMS Programs		Actual Expenditures Salary and Benefits: BA + HU + SO + ST			Actual Expenditures Salary and Benefits: San Marcos			Excess (shortfall)	
Code	Description	Expenditures	% of Total	Per FTES	Expenditures	% of Total	Per FTES	Per FTES	ALL FTES (CSUSM)
0101	General Academic Instruction	154,541,849	49.29%	5,224.72	34,439,328	45.21%	4,688.88	(535.84)	(3,935,681.82)
0104	Community Education				100,056	0.13%	13.62	13.62	100,056.47
0105	Preparatory/Remedial Instruction	168,375	0.05%	5.69	104,846	0.14%	14.27	8.58	63,036.01
0106	Instructional Information Technology	1,570,825	0.50%	53.11	591,924	0.78%	80.59	27.48	201,865.35
<b>Instruction Total</b>		<b>156,281,049</b>	<b>49.84%</b>	<b>5,283.51</b>	<b>35,236,155</b>	<b>46.25%</b>	<b>4,797.36</b>	<b>(486.15)</b>	<b>(3,570,724.00)</b>
0201	Institutes and Research Center	31,307	0.01%	1.06		0.00%	0.00	(1.06)	(7,773.94)
0202	Individual and Project Research				70,489	0.09%	9.60	9.60	70,488.75
<b>Research Total</b>		<b>31,307</b>	<b>0.01%</b>	<b>1.06</b>	<b>70,489</b>	<b>0.09%</b>	<b>9.60</b>	<b>8.54</b>	<b>62,714.81</b>
0301	Community Service	762,830	0.24%	25.79	164,914	0.22%	22.45	(3.34)	(24,507.82)
0303	Public Broadcasting Services	184,478	0.06%	6.24		0.00%	0.00	(6.24)	(45,808.61)
0304	Public Information Technology	282,802	0.09%	9.56		0.00%	0.00	(9.56)	(70,223.92)
<b>Public Service Total</b>		<b>1,230,110</b>	<b>0.39%</b>	<b>41.59</b>	<b>164,914</b>	<b>0.22%</b>	<b>22.45</b>	<b>(19.13)</b>	<b>(140,540.35)</b>
0401	Libraries	10,079,335	3.21%	340.76	2,671,022	3.51%	363.66	22.90	168,175.59
0402	Museums and Galleries	230,334	0.07%	7.79		0.00%	0.00	(7.79)	(57,195.44)
0403	Educational Media Services	706,917	0.23%	23.90	405,589	0.53%	55.22	31.32	230,051.43
0405	Ancillary Support	2,491,490	0.79%	84.23	22,677	0.03%	3.09	(81.14)	(595,996.83)
0406	Academic Administration	15,892,634	5.07%	537.29	6,347,529	8.33%	864.21	326.91	2,401,154.66
0407	Academic Personnel Development	280,008	0.09%	9.47	1,064,570	1.40%	144.94	135.47	995,040.09
0408	Course and Curriculum Development	32,743	0.01%	1.11	174,092	0.23%	23.70	22.60	165,961.37
0409	Academic Support Information Technology	8,185,317	2.61%	276.73	1,739,270	2.28%	236.80	(39.93)	(293,264.62)
<b>Academic Support Total</b>		<b>37,898,778</b>	<b>12.09%</b>	<b>1,281.27</b>	<b>12,424,749</b>	<b>16.31%</b>	<b>1,691.62</b>	<b>410.34</b>	<b>3,013,926.25</b>
0501	Student Services Administration	8,247,226	2.63%	278.82	2,114,074	2.77%	287.83	9.01	66,166.94
0502	Social and Cultural Development	10,046,895	3.20%	339.66	1,398,442	1.84%	190.40	(149.27)	(1,096,349.66)
0503	Counseling and Career Guidance	2,755,621	0.88%	93.16	900,603	1.18%	122.62	29.45	216,341.92
0504	Financial Aid Administration	3,975,020	1.27%	134.39	697,432	0.92%	94.95	(39.43)	(289,623.88)
0507	Student Health Services	6,418,735	2.05%	217.00	1,085,833	1.43%	147.83	(69.17)	(508,033.22)
0508	Student Services Information Technology	481,183	0.15%	16.27	928,031	1.22%	126.35	110.08	808,546.59
0509	Student Admissions	4,257,739	1.36%	143.94	1,284,368	1.69%	174.87	30.92	227,108.62
0510	Student Records	4,238,867	1.35%	143.31	690,450	0.91%	94.00	(49.30)	(362,122.97)
<b>Student Services Total</b>		<b>40,421,287</b>	<b>12.89%</b>	<b>1,366.55</b>	<b>9,098,233</b>	<b>11.94%</b>	<b>1,238.85</b>	<b>(127.70)</b>	<b>(937,965.66)</b>
0601	Executive Management	12,301,082	3.92%	415.87	2,367,904	3.11%	322.39	(93.48)	(686,635.17)
0602	Fiscal Operations	11,793,847	3.76%	398.72	2,003,063	2.63%	272.71	(126.01)	(925,522.37)
0605	Public Relations/Development	3,622,209	1.16%	122.46	1,395,476	1.83%	189.99	67.53	496,028.67
0606	General Administration	10,294,503	3.28%	348.03	5,129,137	6.73%	698.33	350.29	2,572,860.50
0607	Administrative Information Technology	7,319,643	2.33%	247.46	3,251,309	4.27%	442.66	195.20	1,433,733.79
<b>Institutional Support Total</b>		<b>45,331,285</b>	<b>14.46%</b>	<b>1,532.55</b>	<b>14,146,889</b>	<b>18.57%</b>	<b>1,826.08</b>	<b>393.53</b>	<b>2,890,466.43</b>
0701	Physical Plant Administration	4,787,582	1.53%	161.86	620,218	0.81%	84.44	(77.42)	(568,608.68)
0702	Building Maintenance	7,627,649	2.43%	257.87	1,180,562	1.55%	160.73	(97.14)	(713,494.99)
0703	Custodial Services	5,810,443	1.85%	196.44	492,557	0.65%	67.06	(129.38)	(950,260.94)
0704	Utilities	1,599,150	0.51%	54.06	611,391	0.80%	83.24	29.18	214,298.89
0705	Landscape and Grounds Maintenance	3,912,323	1.25%	132.27		0.00%	0.00	(132.27)	(971,487.14)
0707	Security and Safety	7,013,148	2.24%	237.10	1,950,292	2.56%	265.53	28.43	208,824.38
0708	Logistical Services	1,623,286	0.52%	54.88	186,116	0.24%	25.34	(29.54)	(216,969.82)
<b>Operation &amp; Maintenance of Plant Total</b>		<b>32,373,580</b>	<b>10.32%</b>	<b>1,094.48</b>	<b>5,041,137</b>	<b>6.62%</b>	<b>688.35</b>	<b>(408.13)</b>	<b>(2,997,698.29)</b>
<b>Grand Total</b>		<b>313,587,396</b>	<b>100.00%</b>	<b>10,601.01</b>	<b>78,183,587</b>	<b>100.00%</b>	<b>10,372.31</b>	<b>(228.70)</b>	<b>(1,609,522.41)</b>
<b>Full Time Equivalent Students (FTES) BA+HU+SO+ST</b>				<b>29,579.0</b>					
<b>Full Time Equivalent Students (FTES) CSUSM</b>				<b>7,344.9</b>					

### V. Preliminary Analysis

**General Academic Instruction.** The most striking difference between salary and benefits spending at CSUSM compared with that of our peers is that we spend much less in FIRMS 0101 (General Academic Instruction) than the other campuses in the comparison. In fact, whether looking at spending per FTES (Full Time Equivalent Student) or spending as a percent of total salary and benefits spending, we rank last among the five campuses in TABLES 2 and 5 for each of the two years under consideration. We also spent less than the CSU as a whole for each of the two years of the study both in terms of spending per FTES and spending as a percent of total salary and benefits spending (TABLES 8 and 10).

In the CSU as a whole, about \$5000 is spent per FTES in FIRMS 0101, or between 54 and 55 percent of the total salary and benefits spending. The four peer campuses spent about \$5200 per FTES on average, about 50 percent of their total salary and benefits spending. At CSUSM, on the other hand, only about 45 percent of the total salary and benefits spending was classified under FIRMS 0101, between \$4500 and \$4700 per FTES. In terms of real dollars, the spending gap between our campus and the other four campuses is between 3.1 million and 5.5 million dollars, depending on how you measure the gap and what year is chosen. There was improvement in the amount of spending from 2007/08 to 2008/09: in 2007/08 we spent 86% of what the other four campuses spent per FTES in this category, but by 2008/09 we spent almost 90% of what the other four campuses spent.

What does FIRMS 0101 measure? Since campuses have some discretion in the way they interpret the official FIRMS descriptions there are some variations between campuses, but essentially it measures spending by academic departments. At CSUSM, most of the college budgets fall into this category except for (i) expenses related to the college deans and (ii) some departments of COAS classify some of their spending as personnel development (FIRMS 0407). Also First Year Programs spending, 10% of the salary spending in the Library, and all spending in the Writing Center, Math Lab, and Language Learning Center is classified under 0101.

As mentioned above, some of the spending in academic departments at CSUSM is classified under FIRMS 0407 (Academic Personnel Development). TABLES 2 and 5 show we spent over a million dollars per year in this category, while other campuses spent much less. In other words, we interpret FIRMS 0407, and hence FIRMS 0101 differently than at other campuses. This explains some of the discrepancy between our FIRMS 0101 and that of other campuses, but a large gap still remains.

For our final report, we plan to look more closely at how FIRMS 0101 is used on other campuses to try to identify how much of the discrepancy can be explained by reporting practices. We also will look at factors such as the age of campus and the average academic rank of faculty, average class size and student faculty ratio, and proportion of tenure track to lecturer faculty to find explanations for this large discrepancy.

**FIRMS reporting.** As mentioned above, it is clear that FIRMS 0407 (Academic Personnel Development) is used differently from campus to campus. TABLES 2 and 5 show other differences in reporting practice from campus to campus. For example, FIRMS 0106 (Instructional Information Technology) clearly is interpreted differently from campus to campus. In fact, instructional technology is classified under several FIRMS categories, and the way it is classified varies from campus to campus. So in order to use FIRMS as a comparative tool, one must be familiar with the official FIRMS category definitions (Appendix 1), and be aware of the variance allowed in interpretation. It is reasonable to assume that each campus has made a good faith effort to follow the FIRMS definitions, but that there will be variation in how the FIRMS definitions are interpreted. Because of this, more stable comparative measures may result from combining categories. Perhaps FIRMS 0101 should be combined with FIRMS 0407 for

comparative purposes. Perhaps the various information technology categories should be combined for this purpose as well.

**Administrative Spending.** If the data suggests we under spend on instruction, then where do we over spend? In this preliminary analysis we highlight the two categories with the largest gaps in TABLES 3 and 6. These two largest gaps between CSUSM salary and benefits spending and that of the four comparison campuses are in the two administration categories. In FIRMS 0406 (Academic Administration) this gap is in the range of \$275 to \$325 per FTES, and in FIRMS 0606 (General Administration) it is in the range of \$315 to \$350 per FTES. Again, part of this may relate to variance of FIRMS reporting practices, and further study is needed.

## Appendix I. Description of FIRMS Categories

The FIRMS categories are defined and used system wide, and there are system wide rules for assigning expenditures to these categories. However, these rules leave a large amount of discretion to the individual campuses. For example, a college in one campus could classify salaries of faculty on sabbatical under 0404, while another college (even in the same campus) could classify such salaries under 0101. All we can assume is that each campus has made a good faith effort to be consistent with the descriptions provided below.

The categories ending in 00 (for example 0100) are divided into subcategories (ending in 01, 02, and so on). Actual funding is assigned to the subcategory. Thus there is no funding actually assigned to 0100 for instance.

**0100 Instruction.** Subcategories of this category concern activities that are a part of the instructional program. They exclude spending for academic personnel whose primary activity is administration – for example, academic deans. Such personnel are classified under subcategories of 0400.

At CSUSM spending on instruction is largely in Academic Affairs. However, some of Student Affairs spending is also classified in the 0100 subcategories (the Writing Center, Math Lab, Language Learning Center, and a portion of the Outreach and Recruitment spending).

*Detailed description.* The instruction category includes expenses for all activities that are part of an institution's instruction program. Expenses for credit and noncredit courses; academic, vocational, and technical instruction; remedial and tutorial instruction and regular, special, and extension sessions should be included. Expenses for departmental research and public service that are not separately budgeted should be included in this classification. This category excludes expenses for those academic personnel whose primary activity is administration – for example, academic deans.

*This category includes the following subcategories:*

### **0101 General Academic Instruction.**

At CSUSM, most of the college budgets fall into this category except for (i) expenses associated to the deans' offices and (ii) some departments of COAS classify some of their spending as personnel development (FIRMS 0407).

The budgets of the three colleges and School of Nursing dominate this category, but there are three other sources of spending: most of First Year Programs spending is classified as 0101, 10% of the salary spending in the Library is classified as 0101, and all spending in the Writing Center, Math Lab, and Language Learning Center is classified

## Data Reconciliation and Analysis Subcommittee to BLP

under 0101. (The Writing Center, Math Lab, and Language Learning Center are in Student Affairs. Other than these units, all 0101 spending is in Academic Affairs).

*Detailed Description.* This subcategory includes expenses for formally organized and/or separately budgeted instructional activities that are carried out during the academic year (as defined by the institution), associated with academic offerings described by the Integrated Postsecondary Education Data System (IPEDS) instructional program categories identified in the National Center for Education Statistics (NCES) publication. A classification of Instruction Programs, and offered for credit as part of a formal post-secondary education degree or certificate program. Open University short courses, and home study activities falling within this classification and offered for credit are included. However, this subcategory does not include instructional offerings that are part of programs leading toward degrees or certificates at levels below the higher educational level, such as adult basic education.

**0102 Vocational/Technical Instruction.** Many campuses in the CSU do not use this subcategory for operational funds. For example, CSUSM does not use this category for operational funds.

*Detailed Description.* This subcategory includes expenses for formally organized and/or separately budgeted instructional activities that are carried out during the academic year (as defined by the institution), usually associated with IPEDS instructional program categories and offered for credit as part of a formal postsecondary education degree or certificate program. Open University, short courses, and home study falling within this classification and offered for credit are included. However, this subcategory does not include instructional offerings that are part of programs leading toward degrees or certificates at levels below the higher education level, such as adult basic education.

### **0104 Community Education.**

At CSUSM this mainly represents spending by Outreach and Recruitment in Enrollment Management (in Student Affairs). About 25% of Outreach and Recruitment spending is classified as 0104. There is no Academic Affairs spending in this category.

*Detailed Description.* This subcategory includes expenses for formally organized and/or separately budgeted instructional activities that do not generally result in credit toward any formal postsecondary degree or certificate. It includes noncredit instructional that are part of the adult education or continuing education program. This subcategory also includes expenses for activities associated with programs leading toward a degree or certificate at a level below the higher education level, such as adult basic education.

**0104 Preparatory/Remedial Instruction.** This category is used for remedial education.

At CSUSM this mainly represents spending by Outreach and Recruitment in Enrollment Management (in Student Affairs). About 25% of Outreach and Recruitment spending is classified as 0104. There is very little Academic Affairs spending in this category (all of it in First Year Programs).

*Detailed Description.* This subcategory includes expenses for formally organized and/or separately budgeted instructional activities that give students the basic knowledge and skills required by the institution before they can undertake formal academic course work leading to a postsecondary degree or certificate. Such activities, supplemental to the normal academic program, generally are termed preparatory, remedial, developmental or special educational services. These instructional offerings may be taken prior to or along with the course work leading to the degree or certificate. They are generally noncredit offerings, although in some cases credit may be provided specifically for required preparatory or remedial skills or knowledge, and should be included in this category. If students may satisfy preparatory requirements by taking offerings provided primarily for other than remedial or preparatory purposes, those offerings should be classified elsewhere.

### **0106 Instructional Information Technology.**

At CSUSM this represents a portion of IITS spending. This is one of several subcategories used to classify IITS spending. (See also 0403, 0409, 0508, and 0607)

*Detailed Description.* This subcategory includes expenses for formally organized and/or separately budgeted instructional information technology. If an institution does not separately budget and expense information technology resources, the cost associated with the three primary programs will be applied to academic support and the remainder to institutional support.



**0200 Research.** This category does not include all research activities, but only separately budgeted activities. Much of such separately budgeted research spending would be driven by external sources of funds, and so this category represents a relatively small part of the state and student supported operating funds in the CSU.

*Detailed description.* The research category includes all expenses for activities specifically organized to produce research, whether commissioned by an agency external to the institution or separately budgeted by an organizational unit within the institution. Subject to these conditions, the category includes expenses for individual and/or project research as well as that of institutes and research centers. This category does not include all sponsored programs nor is it necessarily limited to sponsored research, since internally supported research programs, if separately budgeted, might be included in this category under the circumstances described. Expenses for departmental research that are separately budgeted are included in this category.

*This category includes the following subcategories:*

### **0201 Institutes and Research Centers.**

At CSUSM, the Barahona Center was classified under 0201, as was SBRI

*Detailed Description.* This subcategory includes expenses for research activities that are part of a formal research organization created to manage a number of research efforts. While this subcategory includes agricultural experiment stations, it does not include federally funded research and development centers, which should be classified as independent operations.

**0202 Individual and Project Research.** Includes Research activity expenditures managed within academic departments.

At CSUSM, about 30% of spending in Graduate Studies and Research (in Academic Affairs) is classified under 0202.

*Detailed Description.* This subcategory includes expenses for research activities that are managed within academic departments. Such activities may have been undertaken as the result of a research contract or grant or through a specific allocation of the institution's general resources.

**0300 Public Service.** Non-instructional services to the public including conferences, institutes, radio and television.

At CSUSM most of Service Learning and all of the President's Tribal Communities Initiatives are classified in subcategories of 0300.

*Detailed description.* The public service agency includes expenses for activities established primarily to provide noninstructional services beneficial to individuals and groups external to the institution. These activities include community service programs (excluding instructional activities) and cooperative extension services. Included in this category are conferences, institutes, general advisory services, reference bureaus, radio and television, consulting, and similar non-instructional services to particular sectors of the community.

*This category includes the following subcategories:*

**0301 Public Service.** Includes most public service but excludes radio, television, and information technology.

At CSUSM most of Service Learning and all of the President's Tribal Communities Initiatives are classified here.

*Detailed description.* This subcategory includes expenses for activities organized and carried out to provide general community services, excluding instructional activities. Community service activities make available to the public various resources and special capabilities that exist within the institution. Examples include conferences and institutes, general advisory services and reference bureaus, consultation, testing services (for example, soil testing, carbon dating, structural testing), and similar activities. The activities included in this subcategory are generally sponsored and managed outside the context of both the agricultural and urban extension programs and of the institution's public broadcasting operation.

## **Data Reconciliation and Analysis Subcommittee to BLP**

### **0303 Public Broadcasting Services.**

CSUSM does not have operating fund expenditures in this category. Humboldt is an example of a campus with operating fund expenditures in 0303.

*Detailed description.* This subcategory includes expenses for operation and maintenance of broadcasting services operated outside the context of the institution's instruction, research, and academic support programs. Excluded from this subcategory are broadcasting services conducted primarily in support of instruction (classified in the subcategory social and cultural development), and broadcasting services that are independent operations (classified in the subcategory independent operations/institutional).

### **0304 Public Service Information Technology.**

CSUSM does not have operating fund expenditures in this category, but several other CSUs do have such expenditures.

*Detailed description.* This subcategory includes expenses for formally organized and/or separately budgeted public service information technology. If an institution does not separately budget and expense information technology resources, the cost associated with the three primary programs will be applied to academic support and the remainder to institutional support.

**0400 Academic Support.** Subcategories of 0400 include expenses providing support to the institution's primary missions: instruction, research, and public service. It includes academic administration including academic deans but not department chairs. It includes libraries and museums, personnel support, academic computing (outside of instructional computing), and curriculum development.

At CSUSM, this spending is largely under Academic Affairs.

*Detailed description.* The academic support category includes expenses to provide support services to the institution's primary missions: instruction, research, and public service. It includes the retention, preservation, and display of educational materials, for example, libraries, museums, and galleries; the provision of services that directly assist the academic functions of the institution, such as demonstration schools associated with a department, school, or college of education; media such as audio-visual services and technology such as computing support; academic administration (including academic deans but not department chairpersons) and personnel development providing administration support and management direction to the three primary missions; and separately budgeted support for course and curriculum development. For institutions that currently charge some of the expenses - for example, computing support - directly to the various operating units of the institution, this category does not reflect such expenditures.

*This category includes the following subcategories:*

#### **0401 Libraries.**

At CSUSM, most library spending is classified under 0401. However, about 10 percent of Library salaries and benefits are classified under 0101.

*Detailed description.* This subcategory includes expenses for organized activities that directly support the operation of a catalogued or otherwise classified collection.

#### **0402 Museums and Galleries.**

CSUSM does not have expenditures in this category, but several other CSUs do have such expenditures including Humboldt and Sonoma.

*Detailed description.* This subcategory includes expenses for organized activities that provide for the collection, preservation, and exhibition of historical materials, art objects, scientific displays, etc. Libraries are excluded.



### **0403 Educational Media Services.**

At CSUSM this represents a portion of IITS spending. This is one of several categories used to classify IITS spending. (See also 0101, 0409, 0508, 0607)

*Detailed Description.* This subcategory includes expenses for organized activities providing audio-visual and other services that aid in the transmission of information in support of the institution's instruction, research, and public service programs.

**0405 Ancillary Support.** Usually for activities that give students practical experience, but includes 0400 activities not classified elsewhere.

At CSUSM 50% of Arts and Lectures spending (under Graduate Studies and Research in Academic Affairs) is classified under 0405. Campus practice seems to vary with respect to this category.

*Detailed description.* This subcategory includes expenses for organized activities that provide support services to the three primary programs of instruction, research, and public service, but are not appropriately classified in the previous subcategories. Ancillary support activities usually provide a mechanism through which students can gain practical experience. An example of ancillary support is a demonstration school associated with the school of education. The expenses of teaching hospitals are excluded.

**0406 Academic Administration.** Academic administration including academic deans but not department chairs. It also includes academic advising. It excludes the chief academic officer.

At CSUSM the Provost, as chief academic officer, is not included under 0406 (see 0601), but most of academic affairs administration is included. Department chairs are not included. Not all of 0406 spending is in Academic Affairs. In salary and benefit accounts, 81 percent of 0406 spending is in Academic Affairs, 15 percent is in Student Affairs for Student Services (mostly for advising), and 4 percent is in the Presidents Office for Athletics Operations (50% of Athletic Operations spending).

*Detailed description.* This subcategory includes expenses for activities specifically designed and carried out to provide administrative and management support to the academic programs. This subcategory is intended to separately identify only expenses for activities formally organized and/or separately budgeted for academic administration. It includes the expenses of academic deans (including deans of research, deans of graduate schools, and college deans), but it does not include the expenses of department chairpersons (which are included in the appropriate primary function categories). This subcategory also includes expenses for formally organized and/or separately budgeted academic advising. Expenses associated with the office of the chief academic officer of the institution are not included in this subcategory, but should be classified as institutional support.

**0407 Academic Professional Development.** Formally organized and/or separately budgeted activities for faculty professional development, and for programs that evaluate and reward professional performance of faculty. Includes sabbaticals and faculty awards.

At CSUSM this consists mostly of professional development in various departments of COAS, and the Faculty Center. The other colleges do not use this category. In fact, COAS spending dominates this category. The comparison campuses in the CSU use this category in a much more limited way than CSUSM.

*Detailed description.* This subcategory includes expenses for activities that provide the faculty with opportunity for personal and professional growth and development to the extent that such activities are formally organized and/or separately budgeted. This subcategory also includes formally organized and/or separately budgeted activities that evaluate and reward professional performance of the faculty. Included in this subcategory are sabbaticals, faculty awards, and organized faculty development programs.

## Data Reconciliation and Analysis Subcommittee to BLP

### 0408 Course and Curriculum Development.

At CSUSM this consists of some spending in Nursing, some spending in Service Learning, and some spending in Academic Programs (all under Academic Affairs).

*Detailed description.* This subcategory includes expenses for activities established either to significantly improve or to add to the institution's instructional offerings, but only to the extent that such activities are formally organized and/or separately budgeted.

### 0409 Academic Support Information Technology.

At CSUSM this represents a portion of IITS spending. This is one of several categories used to classify IITS spending. (See also 0101, 0403, 0508, 0607)

*Detailed Description.* This subcategory includes expenses for formally organized and/or separately budgeted academic support information technology.

**0500 Student Services.** Subcategories include expenses for admissions, registrar, student newspapers, intramural athletics, student organizations, intercollegiate athletics, counseling and career guidance, student aid administration, student health service, and enrollment management.

At CSUSM most 0500 subcategory spending is under Student Affairs, although a large amount of 0502 spending is under the President's Athletics Office, and most of 0509 spending is under IITS in Academic Affairs.

*Detailed description.* The student services category includes expenses incurred for offices of admissions and the registrar and activities with the primary purpose of contributing to students' emotional and physical well-being and intellectual, cultural, and social development outside the context of the formal instruction program. It includes expenses for student activities, cultural events, student newspapers, intramural athletics, student organizations, intercollegiate athletics (if the program is not operated as an essentially self-supporting activity), counseling and career guidance (excluding informal academic counseling by the faculty), student aid administration, and student health service (if not operated as an essentially self-supporting activity). In recent years, some institutions have created an office of enrollment management; expenses for such an office are best categorized in student services.

*This category includes the following subcategories:*

**0501 Student Services Administration.** Includes only administrative activities that support more than one subcategory of student activities and/or that provide central administrative services related to the various student service activities. Includes services provided for particular types of students: minority students, veterans, and handicapped students. Excludes activities of the chief administrative officer for Student Affairs.

At CSUSM most of 0501 spending is under Student Affairs (there is a small amount under Global Affairs in Academic Affairs).

*Detailed description.* This subcategory includes expenses for organized administrative activities that provide assistance and support (excluding academic support) to the needs and interests of students. This subcategory includes only administrative activities that support more than one subcategory of student activities and/or that provide central administrative services related to the various student service activities. In particular, this subcategory includes services provided for particular types of students (for example, minority students, veterans, and handicapped students). Excluded from this subcategory are activities of the institution's chief administrative officer for student affairs, whose activities are institution wide and therefore should be classified as institutional support.

**0502 Social and Cultural Development.** Includes cultural events, student newspapers, intramural athletics, student organizations, and athletics programs (if not self-supported).

At CSUSM most of 0502 spending is under the President's Athletics Office. It includes all the spending for Baseball, Softball, Cross Country, Track, Golf, Soccer, and half the spending for Athletics Operations. A significant amount of 0502 spending is under Student Residential Life under Student Affairs.

*Detailed description.* This subcategory includes expenses for organized activities that provide for students' social and cultural development outside the formal academic program. This subcategory includes cultural events, student newspapers, intramural athletics, student organizations, etc. Expenses for an intercollegiate athletics program are included in this subcategory if the program is not operated as an essentially self-supporting operation (in which case all the related expenditures would be reported as auxiliary enterprises). veterans, and handicapped students). Excluded from this subcategory are activities of the institution's chief administrative officer for student affairs, whose activities are institution wide and therefore should be classified as institutional support.

**0503 Counseling and Career Guidance.** This includes placement, career guidance, and personal counseling services for students.

*Detailed description.* This subcategory includes expenses for formally organized placement, career guidance, and personal counseling services for students. This subcategory includes vocational testing and counseling services and activities of the placement office. Excluded from this subcategory are formal academic counseling activities (academic support) and informal academic counseling services (instruction) provided by the faculty in relation to course assignments.

At CSUSM this subcategory combines two separate functions: counseling is under Student Development Services, while the career center is under Student Academic Support Services.

**0504 Financial Aid Administration.**

At CSUSM this spending is part of Enrollment Management Services.

*Detailed description.* This subcategory includes expenses for activities that provide financial aid services and assistance to students. This subcategory does not include outright grants to students, which should be classified as either revenue reductions, agency transactions, or expenses, as discussed elsewhere in the FARMS manual.

**0507 Student Health Services.**

At CSUSM this spending is part of Student Development Services.

*Detailed description.* This subcategory includes expenses for organized student health services that are not self-supporting; health services that are self-supporting are reported as auxiliary enterprises.

**0508 Student Services Information Technology.**

At CSUSM this represents a portion of IITS spending. This is one of several categories used to classify IITS spending. (See also 0101, 0403, 0409, 0607). In addition there is some spending in Enrollment Management Services Operations.

*Detailed description.* This subcategory includes expenses for formally organized and/or separately budgeted student services information technology.

**0509 Student Admissions.**

At CSUSM this subcategory mainly consists of spending in the Admissions Office. In addition, half of Outreach and Recruitment spending is in this category. Lesser contributions from outside of Student Affairs include a portion of the spending in the School of Nursing and Global Affairs.

## Data Reconciliation and Analysis Subcommittee to BLP

*Detailed description.* This subcategory includes expenses for activities related to the identification of prospective students, the promotion of attendance at the institution, and the processing of applications for admission.

### 0510 Student Records.

At CSUSM this subcategory mainly consists of spending in Registration and Records.

*Detailed description.* This subcategory includes expenses for activities to maintain, handle and update records for currently enrolled students as well as for students previously enrolled.

**0600 Institutional Support.** Central executive-level activities concerned with management and long-range planning for the entire institution. Includes the governing board, planning and programming operations, legal services, fiscal operations, administrative data processing, space management, employee personnel and records, logistical activities that provide procurement, storerooms, printing, transportation services, support services, and community and alumni relations including development and fund raising.

At CSUSM much of 0600 spending is dominated by two divisions: Finance and Administrative Services and University Advancement. However, the offices of the President, the Provost, and the Vice Presidents are classified as 0601, and IITS and Campus Wide Activities have large amounts of spending in Administrative Information Technology (0607). So all divisions are heavily represented in subcategories of 0600.

*Detailed description.* The institutional support category includes expenses for central executive-level activities concerned with management and long-range planning for the entire institution, such as the governing board, planning and programming operations, and legal services; fiscal operations, including the investment office; administrative data processing; space management; employee personnel and records; logistical activities that provide procurement, storerooms, printing; transportation services to the institution; support services to faculty and staff that are not operated as auxiliary enterprises; and activities concerned with community and alumni relations, including development and fund raising.

*This category includes the following subcategories:*

**0601 Executive Management.** Expenses for central, executive-level activities concerned with management and long-range planning for the entire institution. This includes expenses for Presidents, Provosts, and Vice-Presidents, as well as planning and programming, and legal operations.

At CSUSM includes expenses for the offices of the President, the Provost, and the Vice Presidents. Institutional Research is also classified under 0601.

*Detailed description.* This subcategory includes expenses for all central, executive-level activities concerned with management and long-range planning for the entire institution (as distinct from planning and management for any one program within the institution). All officers with institution-wide responsibilities are included, such as the president, chief academic officer, chief business officer, chief student affairs officer, and chief development officer. This subcategory includes such operations as executive direction (for example, governing board), planning and programming, and legal operations.

**0602 Fiscal Operations.** Includes the accounting office, bursar's office, and external audits.

At CSUSM this includes much of the subdivision of Business and Financial Services (but not Procurement) in FAS. Some of Business and Financial Services is classified under 0607 (Administrative IT).

*Detailed description.* This subcategory includes expenses for operations related to fiscal control and investments. It includes the accounting office, bursar's office, and external audits. Interest expense on working capital loans is recorded with other interest expense and is not recorded as institutional support. In addition, bad debt expense for student and other accounts receivables is recorded as a reduction in the specific revenue source rather than as an expense.

### **0605 Public Relations/Development.**

At CSUSM this is dominated by University Advancement (but a significant portion of University Advancement is classified as 601 and 606). Smaller amounts of spending in the Presidents office and the College of Education are classified under this category.

*Detailed description.* This subcategory includes expenses for activities to maintain relations with the community, alumni, or other constituents and to conduct activities related to institution-wide development and fund raising. Public institutions are also required to follow the provisions in Statement of Position 98-2, Accounting for Costs of Activities of Not-for-Profit Organizations and State and Local Governmental Entities That Include Fund Raising. This SOP requires that if certain criteria, namely purpose, audience and content are met, the costs of the activity should be allocated between fund raising and the appropriate program or management and general function. If all of the criteria are not met, then the entire amount is classified as fund raising costs. In addition certain disclosures are required.

**0606 General Administration.** Expenses for general administrative operations and services not classified under 0602 or 0607. Includes personnel administration, space management, purchasing and maintenance of supplies and materials, campus-wide communication and transportation services, general stores and printing shops.

At CSUSM this is dominated by FAS spending including Human Resources, Procurement, much of Facilities Development and Management (including the Department of Planning, Design, and Construction, and University Vehicles department), most of the FAS Vice-President's Department (some of which is under 0601), and most of Risk Management and Safety. Under Campus Wide Activities, some the PeopleSoft Project is classified in this category, and in the President's office, Event Scheduling is included under this category. University Advancement Operations is included here, but no Academic Affairs spending is included in this category.

*Detailed description.* This subcategory includes expenses for activities related to general administrative operations and services (with the exception of fiscal operations and administrative information technology). Included in this subcategory are personnel administration, space management, purchasing and maintenance of supplies and materials, campus-wide communication and transportation services, general stores and printing shops.

### **0607 Administrative Information Technology.**

At CSUSM this represents a portion of IITS spending. This is one of several categories used to classify IITS spending. (See also 0101, 0403, 0409, 0508). Although IITS spending dominates this category, there is significant spending in Campus Wide Activities (PeopleSoft) and Business and Financial Services.

*Detailed description.* This subcategory includes expenses for formally organized and/or separately budgeted administrative information technology.

**0700 Operation and Maintenance of Plant.** Expenses for the administration, supervision, operation, maintenance, preservation and protection of the institution's physical plant. Includes janitorial and utility services, repairs and ordinary alterations of buildings, furniture, and equipment, care of grounds, maintenance and operations of buildings and facilities, security, earthquake and disaster preparedness, safety, hazardous waste disposal, insurance relating to property, space and capital leasing, facility planning and management, and central receiving.

At CSUSM spending in subcategories of 0700 is in the division of Facilities and Administrative Services, especially the subdivisions of Facilities Development and Management and (in 0707) University Police. The subdivision of Business and Financial Services also has significant spending in this category (under 0708).

*Detailed description.* The operation and maintenance of plant category includes all expenses for the administration, supervision, operation, maintenance, preservation and protection of the institution's physical plant. They include expenses normally incurred for such items as janitorial and utility services; repairs and ordinary or normal alterations of buildings, furniture, and equipment; care of grounds; maintenance and

## Data Reconciliation and Analysis Subcommittee to BLP

operations of buildings and other plant facilities; security; earthquake and disaster preparedness; safety; hazardous waste disposal; property, liability and all other insurance relating to property; space and capital leasing; facility planning and management; and central receiving. It does not include interest expense on capital related debt.

*This category includes the following subcategories:*

**0701 Physical Plant Administration.** Expenses for administrative activities that directly support physical plant operations. Includes development of plans for plant expansion or modification, and new construction. Includes insurance (for example, property and liability).

At CSUSM, this spending is part of Facilities Development and Management subdivision of Financial and Administrative Services.

*Detailed description.* This subcategory includes expenses for administrative activities that directly support physical plant operations. Activities related to the development of plans for plant expansion or modification, as well as plans for new construction, should be included in this subcategory. Also included are property, liability, and all other insurance relating to property.

**0702 Building Maintenance.** Routine repair and maintenance of buildings and other structures.

At CSUSM, this spending is part of Facilities Services.

*Detailed description.* This subcategory includes expenses for activities related to routine repair and maintenance of buildings and other structures, including normally recurring repairs and preventive maintenance.

**0703 Custodial Services.**

At CSUSM, this spending is part of Facilities Services.

*Detailed description.* This subcategory includes expenses related to custodial services in buildings.

**0704 Utilities.**

At CSUSM, this spending is part of Facilities Services.

*Detailed description.* This subcategory includes expenses related to heating, cooling, light and power, gas, water, and any other utilities necessary for operation of the physical plant.

**0705 Landscape and Grounds Maintenance.**

At CSUSM, this spending is part of Facilities Services.

*Detailed description.* This subcategory includes expenses related to the operation and maintenance of landscape and grounds.

**0706 Major Repairs and Renovations.** Major repairs, maintenance, and renovations. Minor repairs are classified as 0702.

At CSUSM none of the operating fund is used for salaries and benefits for this subcategory.

*Detailed description.* This subcategory includes expenses related to major repairs, maintenance, and renovations. Minor repairs should be classified as building maintenance. The institution should define the distinction between major repairs and minor repairs. Costs that will be capitalized in accordance with the institution's capitalization policy are excluded.

**0707 Security and Safety.** Includes earthquake and disaster preparedness, safety (including environmental safety), and hazardous waste disposal.

At CSUSM this subcategory is dominated by spending for University Police, but there is a significant amount of spending in the category in Emergency Management.

*Detailed description.* This subcategory includes expenses related to security; earthquake and disaster preparedness; safety, including environmental safety; and hazardous waste disposal.

**0708 Logistical Services.** Central receiving, space and capital leasing.

At CSUSM this includes spending on leased properties and most of Receiving and Mail Services. These functions are under the division of Finance and Administrative Services.

*Detailed description.* This subcategory includes expenses related to logistical services such as central receiving as well as space and capital leasing.

**0709 Operations and Maintenance Information Technology.**

Although used by some CSUs, this category is not used at CSUSM.

*Detailed description.* This subcategory includes expenses for formally organized and/or separately budgeted operation and maintenance information technology. If an institution does not separately budget and expense information technology resources, the cost associated with the three primary programs will be applied to academic support and the remainder to institutional support.

## Appendix II. Additional Tables

TABLE 7. Comparison of Salary and Benefits Expenditures: FY 2007/08

Shows salary and benefits spending at Bakersfield, Humboldt, Stanislaus, and Sonoma scaled so that the total agrees with the total salary and benefits spending at CSUSM. The difference between this scaled spending, and actual spending at CSUSM is given.

TABLE 8. CSU Salary and Benefits Expenditures: FY 2007/08

Shows aggregate spending on salary and benefits for all 23 campuses of the CSU.

TABLE 9. Comparison of Salary and Benefits Expenditures: FY 2008/09

Shows salary and benefits spending at Bakersfield, Humboldt, Stanislaus, and Sonoma scaled so that the total agrees with the total salary and benefits spending at CSUSM. The difference between this scaled spending, and actual spending at CSUSM is given.

TABLE 10. CSU Salary and Benefits Expenditures: FY 2008/09

Shows aggregate spending on salary and benefits for all 23 campuses of the CSU.



TABLE 7. Comparison of Salary and Benefits Expenditures: FY 2007/08

FIRMS Programs		Actual Expenditures, Salary and Benefits: BA+SO+ST+HJ		Actual Expenditures Salary and Benefits: SM		Adjusted sum to SM	Excess (shortfall)
Code	Description	07/08	% of Total	07/08	% of Total	%-wide	%-wide
0101	General Academic Instruction	153,840,790	50.31%	33,722,724	44.93%	37,765,357	(4,042,634)
0104	Community Education		0.00%	100,776	0.13%	0	100,776
0105	Preparatory/Remedial Instruction	138,437	0.05%	97,043	0.13%	33,984	63,059
0106	Instructional Information Technology	1,639,506	0.54%	550,553	0.73%	402,471	148,081
<b>Instruction Total</b>		<b>155,618,733</b>	<b>50.89%</b>	<b>34,471,095</b>	<b>45.92%</b>	<b>38,201,813</b>	<b>(3,730,718)</b>
0201	Institutes and Research Center	72,384	0.02%	88,954	0.12%	17,769	71,185
0202	Individual and Project Research		0.00%	70,641	0.09%	0	70,641
<b>Research Total</b>		<b>72,384</b>	<b>0.02%</b>	<b>159,595</b>	<b>0.21%</b>	<b>17,769</b>	<b>141,826</b>
0301	Community Service	1,061,291	0.35%	173,258	0.23%	260,529	(87,271)
0303	Public Broadcasting Services	189,098	0.06%		0.00%	46,421	(46,421)
0304	Public Information Technology	253,862	0.08%		0.00%	62,319	(62,319)
<b>Public Service Total</b>		<b>1,504,252</b>	<b>0.49%</b>	<b>173,258</b>	<b>0.23%</b>	<b>369,269</b>	<b>(196,010)</b>
0401	Libraries	9,936,393	3.25%	2,681,760	3.57%	2,439,219	242,541
0402	Museums and Galleries	209,318	0.07%		0.00%	51,384	(51,384)
0403	Educational Media Services	3,143,196	1.03%	374,812	0.50%	771,602	(396,791)
0405	Ancillary Support	2,748,269	0.90%	32,795	0.04%	674,654	(641,859)
0406	Academic Administration	15,872,982	5.19%	6,116,520	8.15%	3,896,553	2,219,967
0407	Academic Personnel Development	324,146	0.11%	1,188,558	1.58%	79,573	1,108,986
0408	Course and Curriculum Development	29,230	0.01%	563,227	0.75%	7,175	556,052
0409	Academic Support Information Technology	4,467,154	1.46%	1,603,234	2.14%	1,096,612	506,622
<b>Academic Support Total</b>		<b>36,730,689</b>	<b>12.01%</b>	<b>12,560,906</b>	<b>16.73%</b>	<b>9,016,774</b>	<b>3,544,133</b>
0501	Student Services Administration	6,443,206	2.11%	2,105,523	2.81%	1,581,700	523,823
0502	Social and Cultural Development	7,526,225	2.46%	1,387,403	1.85%	1,847,563	(460,161)
0503	Counseling and Career Guidance	3,488,380	1.14%	981,206	1.31%	856,339	124,867
0504	Financial Aid Administration	3,866,070	1.26%	732,411	0.98%	949,056	(216,645)
0507	Student Health Services	6,322,196	2.07%	1,000,947	1.33%	1,551,994	(551,048)
0508	Student Services Information Technology	692,598	0.23%	881,818	1.17%	170,021	711,797
0509	Student Admissions	4,334,638	1.42%	1,326,540	1.77%	1,064,081	262,458
0510	Student Records	3,634,828	1.19%	568,558	0.76%	892,290	(323,732)
<b>Student Services Total</b>		<b>36,308,141</b>	<b>11.87%</b>	<b>8,984,405</b>	<b>11.97%</b>	<b>8,913,045</b>	<b>71,360</b>
0601	Executive Management	12,306,413	4.02%	2,770,697	3.69%	3,021,020	(250,323)
0602	Fiscal Operations	11,391,971	3.73%	1,879,328	2.50%	2,796,540	(917,212)
0605	Public Relations/Development	3,348,690	1.10%	980,680	1.31%	822,048	158,632
0606	General Administration	9,623,800	3.15%	4,824,709	6.43%	2,362,483	2,462,226
0607	Administrative Information Technology	7,135,133	2.33%	3,163,332	4.21%	1,751,557	1,411,775
<b>Institutional Support Total</b>		<b>43,806,008</b>	<b>14.33%</b>	<b>13,618,745</b>	<b>18.14%</b>	<b>10,753,647</b>	<b>2,865,098</b>
0701	Physical Plant Administration	3,766,944	1.23%	711,383	0.95%	924,722	(213,339)
0702	Building Maintenance	8,282,233	2.71%	1,023,706	1.36%	2,033,151	(1,009,445)
0703	Custodial Services	5,735,082	1.88%	496,054	0.66%	1,407,867	(911,813)
0704	Utilities	1,528,634	0.50%	626,620	0.83%	375,254	251,365
0705	Landscape and Grounds Maintenance	3,715,103	1.21%		0.00%	911,996	(911,996)
0706	Major Repairs and Renovations	6,537	0.00%		0.00%	1,605	(1,605)
0707	Security and Safety	6,982,848	2.28%	2,050,346	2.73%	1,714,173	336,173
0708	Logistical Services	1,718,018	0.56%	186,716	0.25%	421,745	(235,029)
<b>Operation &amp; Maintenance of Plant Total</b>		<b>31,735,400</b>	<b>10.38%</b>	<b>5,094,824</b>	<b>6.79%</b>	<b>7,790,513</b>	<b>(2,695,689)</b>
<b>Grand Total</b>		<b>305,775,607</b>	<b>100.00%</b>	<b>75,062,829</b>	<b>100.00%</b>	<b>75,062,829</b>	<b>0</b>

## Data Reconciliation and Analysis Subcommittee to BLP

TABLE 8. CSU Salary and Benefits Expenditures: FY 2007/08

FIRMS Programs		Fiscal Year Actual Expenditures: Salary and Benefits		
Code	Description	Expenditures	% of Total	Per FTES
0101	General Academic Instruction	1,826,946,090	54.73%	4,977.93
0102	Vocational/Technical Instruction	461,122	0.01%	1.26
0104	Community Education	1,531,032	0.05%	4.17
0105	Preparatory/Remedial Instruction	7,947,460	0.24%	21.65
0106	Instructional Information Technology	17,871,239	0.54%	48.69
<b>Instruction Total</b>		<b>1,854,756,943</b>	<b>55.56%</b>	<b>5,053.71</b>
0200	Research (unclassified)	78,843	0.00%	0.21
0201	Institutes and Research Center	1,067,583	0.03%	2.91
0202	Individual and Project Research	1,486,529	0.04%	4.05
0203	Research Information Technology	35,732	0.00%	0.10
<b>Research Total</b>		<b>2,668,687</b>	<b>0.08%</b>	<b>7.27</b>
0301	Community Service	6,381,753	0.19%	17.39
0303	Public Broadcasting Services	2,944,175	0.09%	8.02
0304	Public Information Technology	289,594	0.01%	0.79
<b>Public Service Total</b>		<b>9,615,522</b>	<b>0.29%</b>	<b>26.20</b>
0401	Libraries	93,205,478	2.79%	253.96
0402	Museums and Galleries	1,302,941	0.04%	3.55
0403	Educational Media Services	21,618,660	0.65%	58.91
0405	Ancillary Support	16,079,180	0.48%	43.81
0406	Academic Administration	191,942,741	5.75%	522.99
0407	Academic Personnel Development	10,655,578	0.32%	29.03
0408	Course and Curriculum Development	1,826,587	0.05%	4.98
0409	Academic Support Information Technology	39,512,127	1.18%	107.66
<b>Academic Support Total</b>		<b>376,143,292</b>	<b>11.27%</b>	<b>1,024.89</b>
0501	Student Services Administration	82,824,414	2.48%	225.67
0502	Social and Cultural Development	77,816,752	2.33%	212.03
0503	Counseling and Career Guidance	37,831,465	1.13%	103.08
0504	Financial Aid Administration	32,925,046	0.99%	89.71
0507	Student Health Services	62,414,460	1.87%	170.06
0508	Student Services Information Technology	19,557,079	0.59%	53.29
0509	Student Admissions	49,122,193	1.47%	133.84
0510	Student Records	40,106,917	1.20%	109.28
<b>Student Services Total</b>		<b>402,598,325</b>	<b>12.06%</b>	<b>1,098.97</b>
0601	Executive Management	80,811,713	2.42%	220.19
0602	Fiscal Operations	81,882,300	2.45%	223.11
0605	Public Relations/Development	69,017,999	2.07%	188.06
0606	General Administration	92,580,553	2.77%	252.26
0607	Administrative Information Technology	85,040,636	2.55%	231.71
<b>Institutional Support Total</b>		<b>409,333,201</b>	<b>12.26%</b>	<b>1,115.32</b>
0701	Physical Plant Administration	38,930,913	1.17%	106.08
0702	Building Maintenance	66,051,643	1.98%	179.97
0703	Custodial Services	59,392,446	1.78%	161.83
0704	Utilities	13,363,005	0.40%	36.41
0705	Landscape and Grounds Maintenance	22,298,243	0.67%	60.76
0706	Major Repairs and Renovations	3,961,550	0.12%	10.79
0707	Security and Safety	64,088,125	1.92%	174.62
0708	Logistical Services	14,017,921	0.42%	38.20
0709	Operations and Maintenance Information Tech	1,100,820	0.03%	3.00
<b>Operation &amp; Maintenance of Plant Total</b>		<b>283,204,666</b>	<b>8.48%</b>	<b>771.68</b>
<b>Grand Total</b>		<b>3,338,320,636</b>	<b>100.00%</b>	<b>9,086.02</b>
<b>Full Time Equivalent Students (FTES)</b>		<b>367,008.9</b>		



# Data Reconciliation and Analysis Subcommittee to BLP

TABLE 9. Comparison of Salary and Benefits Expenditures: FY 2008/09

FIRMS Programs		Actual Expenditures Salary and Benefits: BA+HU+SO+ST		Actual Expenditures: Salary and Benefits: SM		Adjusted sum to SM	Excess (shortfall)
Code	Description	Expenditures	% of Total	Expenditures	% of Total	%-wide	%-wide
0101	General Academic Instruction	154,541,849	49.29%	34,439,328	45.21%	37,547,109	(3,107,781)
0104	Community Education			100,056	0.13%	0	100,056
0105	Preparatory/Remedial Instruction	168,375	0.05%	104,846	0.14%	40,908	63,938
0106	Instructional Information Technology	1,570,825	0.50%	591,924	0.78%	381,644	210,280
<b>Instruction Total</b>		<b>156,281,049</b>	<b>49.84%</b>	<b>35,236,155</b>	<b>46.25%</b>	<b>37,969,661</b>	<b>(2,733,506)</b>
0201	Institutes and Research Center	31,307	0.01%		0.00%	7,606	(7,606)
0202	Individual and Project Research			70,489	0.09%	0	70,489
<b>Research Total</b>		<b>31,307</b>	<b>0.01%</b>	<b>70,489</b>	<b>0.08%</b>	<b>7,606</b>	<b>62,883</b>
0301	Community Service	762,830	0.24%	164,914	0.22%	185,335	(20,421)
0303	Public Broadcasting Services	184,478	0.06%		0.00%	44,820	(44,820)
0304	Public Information Technology	282,802	0.09%		0.00%	68,709	(68,709)
<b>Public Service Total</b>		<b>1,230,110</b>	<b>0.39%</b>	<b>164,914</b>	<b>0.22%</b>	<b>298,865</b>	<b>(133,950)</b>
0401	Libraries	10,079,335	3.21%	2,671,022	3.51%	2,448,850	222,172
0402	Museums and Galleries	230,334	0.07%		0.00%	55,962	(55,962)
0403	Educational Media Services	706,917	0.23%	405,589	0.53%	171,751	233,838
0405	Ancillary Support	2,491,490	0.79%	22,677	0.03%	605,326	(582,650)
0406	Academic Administration	15,892,634	5.07%	6,347,529	8.33%	3,861,235	2,486,294
0407	Academic Personnel Development	280,008	0.09%	1,064,570	1.40%	68,030	996,540
0408	Course and Curriculum Development	32,743	0.01%	174,092	0.23%	7,955	166,137
0409	Academic Support Information Technology	8,185,317	2.61%	1,739,270	2.28%	1,988,685	(249,415)
<b>Academic Support Total</b>		<b>37,898,778</b>	<b>12.09%</b>	<b>12,424,749</b>	<b>16.31%</b>	<b>9,207,794</b>	<b>3,216,955</b>
0501	Student Services Administration	8,247,226	2.63%	2,114,074	2.77%	2,003,726	110,348
0502	Social and Cultural Development	10,046,895	3.20%	1,398,442	1.84%	2,440,969	(1,042,527)
0503	Counseling and Career Guidance	2,755,621	0.88%	900,603	1.18%	669,499	231,104
0504	Financial Aid Administration	3,975,020	1.27%	697,432	0.92%	965,761	(268,329)
0507	Student Health Services	6,418,735	2.05%	1,085,833	1.43%	1,559,480	(473,647)
0508	Student Services Information Technology	481,183	0.15%	928,031	1.22%	116,907	811,124
0509	Student Admissions	4,257,739	1.36%	1,284,368	1.69%	1,034,450	249,918
0510	Student Records	4,238,867	1.35%	690,450	0.91%	1,029,865	(339,415)
<b>Student Services Total</b>		<b>40,421,287</b>	<b>12.89%</b>	<b>9,099,233</b>	<b>11.94%</b>	<b>9,820,657</b>	<b>(721,424)</b>
0601	Executive Management	12,301,082	3.92%	2,367,904	3.11%	2,988,641	(620,737)
0602	Fiscal Operations	11,793,847	3.76%	2,003,063	2.63%	2,865,404	(862,341)
0605	Public Relations/Development	3,622,209	1.16%	1,395,476	1.83%	880,043	515,433
0606	General Administration	10,294,503	3.28%	5,129,137	6.73%	2,501,127	2,628,010
0607	Administrative Information Technology	7,319,643	2.33%	3,251,309	4.27%	1,778,363	1,472,946
<b>Institutional Support Total</b>		<b>45,331,285</b>	<b>14.46%</b>	<b>14,146,889</b>	<b>18.57%</b>	<b>11,013,578</b>	<b>3,133,311</b>
0701	Physical Plant Administration	4,787,582	1.53%	620,218	0.81%	1,163,179	(542,961)
0702	Building Maintenance	7,627,649	2.43%	1,180,562	1.55%	1,853,195	(672,633)
0703	Custodial Services	5,810,443	1.85%	492,557	0.65%	1,411,691	(919,134)
0704	Utilities	1,599,150	0.51%	611,391	0.80%	388,526	222,866
0705	Landscape and Grounds Maintenance	3,912,323	1.25%		0.00%	950,528	(950,528)
0707	Security and Safety	7,013,148	2.24%	1,950,292	2.56%	1,703,897	246,395
0708	Logistical Services	1,623,286	0.52%	186,116	0.24%	394,390	(208,274)
<b>Operation &amp; Maintenance of Plant Total</b>		<b>32,373,580</b>	<b>10.32%</b>	<b>5,041,137</b>	<b>6.62%</b>	<b>7,865,406</b>	<b>(2,824,269)</b>
<b>Grand Total</b>		<b>313,567,396</b>	<b>100.00%</b>	<b>76,183,567</b>	<b>100.00%</b>	<b>76,183,567</b>	<b>0</b>

## Data Reconciliation and Analysis Subcommittee to BLP

TABLE 10. CSU Salary and Benefits Expenditures: FY 2008/09

FIRMS Programs		Fiscal Year Actual Expenditures: Salary and Benefits		
Code	Description	Expenditures	% of Total	Per FTEs
0101	General Academic Instruction	1,849,256,818	54.34%	4,984.44
0102	Vocational/Technical Instruction	475,470	0.01%	1.28
0104	Community Education	2,019,174	0.06%	5.44
0105	Preparatory/Remedial Instruction	8,592,940	0.25%	23.16
0106	Instructional Information Technology	19,257,595	0.57%	51.91
<b>Instruction Total</b>		<b>1,879,601,997</b>	<b>55.23%</b>	<b>5,066.23</b>
0200	Research (unclassified)	320,682	0.01%	0.86
0201	Institutes and Research Center	919,483	0.03%	2.48
0202	Individual and Project Research	1,937,494	0.06%	5.22
<b>Research Total</b>		<b>3,177,659</b>	<b>0.09%</b>	<b>8.56</b>
0301	Community Service	5,377,114	0.16%	14.49
0303	Public Broadcasting Services	2,790,384	0.08%	7.52
0304	Public Information Technology	282,802	0.01%	0.76
<b>Public Service Total</b>		<b>8,450,300</b>	<b>0.25%</b>	<b>22.78</b>
0401	Libraries	93,986,994	2.76%	253.33
0402	Museums and Galleries	1,702,771	0.05%	4.59
0403	Educational Media Services	21,159,987	0.62%	57.03
0405	Ancillary Support	14,714,882	0.43%	39.66
0406	Academic Administration	201,180,058	5.91%	542.26
0407	Academic Personnel Development	11,185,577	0.33%	30.15
0408	Course and Curriculum Development	1,248,595	0.04%	3.37
0409	Academic Support Information Technology	44,632,428	1.31%	120.30
<b>Academic Support Total</b>		<b>389,811,293</b>	<b>11.46%</b>	<b>1,050.89</b>
0501	Student Services Administration	85,323,687	2.51%	229.98
0502	Social and Cultural Development	86,815,168	2.55%	234.00
0503	Counseling and Career Guidance	36,815,877	1.08%	99.23
0504	Financial Aid Administration	32,210,807	0.95%	86.82
0507	Student Health Services	67,057,680	1.97%	180.75
0508	Student Services Information Technology	21,705,105	0.64%	58.50
0509	Student Admissions	50,056,682	1.47%	134.92
0510	Student Records	40,589,777	1.19%	109.40
<b>Student Services Total</b>		<b>420,574,783</b>	<b>12.36%</b>	<b>1,133.61</b>
0600	Institutional Support (unclassified)	234,918	0.01%	0.63
0601	Executive Management	78,705,898	2.31%	212.14
0602	Fiscal Operations	85,727,059	2.52%	231.07
0605	Public Relations/Development	72,106,638	2.12%	194.35
0606	General Administration	93,891,199	2.76%	253.07
0607	Administrative Information Technology	84,323,526	2.48%	227.28
<b>Institutional Support Total</b>		<b>414,989,238</b>	<b>12.19%</b>	<b>1,118.55</b>
0701	Physical Plant Administration	41,149,783	1.21%	110.91
0702	Building Maintenance	65,048,344	1.91%	175.33
0703	Custodial Services	59,376,470	1.74%	160.04
0704	Utilities	13,854,672	0.41%	37.34
0705	Landscape and Grounds Maintenance	22,557,388	0.66%	60.80
0706	Major Repairs and Renovations	4,454,564	0.13%	12.01
0707	Security and Safety	65,134,661	1.91%	175.56
0708	Logistical Services	13,772,779	0.40%	37.12
0709	Operations and Maintenance Information Tech	1,010,884	0.03%	2.72
<b>Operation &amp; Maintenance of Plant Total</b>		<b>286,359,544</b>	<b>8.42%</b>	<b>771.85</b>
<b>Grand Total</b>		<b>3,402,964,814</b>	<b>100.00%</b>	<b>9,172.27</b>
<b>Full Time Equivalent Students (FTEs)</b>		<b>371,005.9</b>		

# TIMETABLE FOR PERIODIC EVALUATION AND PERFORMANCE REVIEW 2010/11

	WPAF DUE	PRE-REVIEW FOR COMPLETENESS		Candidate adds requested material no later than	PEER REVIEW COMMITTEE (PRC) REVIEW		Candidate picks up re-commendation no later than	End of rebuttal/response period *	End of PRC response period **	DEAN REVIEW		Candidate picks up re-commendation no later than	End of rebuttal/response period *	End of Dean's response period **	PROMOTION & TENURE (P&T) COMMITTEE REVIEW		Candidate picks up re-commendation no later than	End of rebuttal/response period *	End of P&T Committee response period **	PRESIDENT OR DESIGNEE REVIEW		
REVIEW		Begin	End		Begin	End				Begin	End				Begin	End					Begin	Decision
Periodic Evaluation (typically 1st, 3rd, and 5th year)	TUE JAN 18	WED JAN 19	TUE JAN 25	TUE FEB 01	WED FEB 02	TUE MAR 01	TUE MAR 08	FRI MAR 18	FRI MAR 25	MON MAR 28	MON APR 25	MON MAY 02	THU MAY 12	THU MAY 19	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
		5 Work Days			20 Work Days		10 Days		7 Days	20 Work Days		10 Days		7 Days								
2nd Year Retention	WED SEP 08	THUR SEP 09	WED SEP 15	WED SEP 22	THUR SEP 23	TUE OCT 12	TUE OCT 19	FRI OCT 29	FRI NOV 05	MON NOV 08	TUE NOV 30	TUE DEC 07	FRI DEC 17	MON JAN 03	N/A	N/A	N/A	N/A	N/A	N/A	TUE JAN 04	FEB 15
		5 Work Days		7 Days	14 Work Days		10 Days		7 Days	14 Work Days		10 Days		7 Days							30 Work Days	
2nd Year Retention w/optional Tenure and/or Promotion Review	Use above timeline for 2nd Year Retention (including the Feb 26 final decision for retention) and continue with the following P&T Committee/President schedule:														WED FEB 16	TUE APR 05	TUE APR 12	FRI APR 22	FRI APR 29	MON MAY 02	TENURE JUN 01	
																					PROMO JUN 15	
4th Year Retention (3rd or 5th year for faculty off cycle)	WED SEP 15	THUR SEP 16	WED SEP 22	WED SEP 29	THUR SEP 30	WED NOV 03	WED NOV 10	MON NOV 22	WED DEC 01	THUR DEC 02	THUR JAN 13	THUR JAN 20	MON JAN 31	MON FEB 07	N/A	N/A	N/A	N/A	N/A	TUE FEB 08	JUN 01	
4th Year Retention w/ optional Tenure and/or Promotion Rvw (3rd or 5th year for faculty off cycle)	WED SEP 15	THUR SEP 16	WED SEP 22	WED SEP 29	THUR SEP 30	WED NOV 03	WED NOV 10	MON NOV 22	WED DEC 01	THUR DEC 02	THUR JAN 13	THUR JAN 20	MON JAN 31	MON FEB 07	TUE FEB 08	MON MAR 21	MON APR 04	THUR APR 14	THUR APR 21	FRI APR 22	TENURE JUN 01	
																					PROMO JUN 15	
Tenure and/or Promotion Review	WED SEP 15	THUR SEP 16	WED SEP 22	WED SEP 29	THUR SEP 30	WED NOV 03	WED NOV 10	MON NOV 22	WED DEC 01	THUR DEC 02	THUR JAN 13	THUR JAN 20	MON JAN 31	MON FEB 07	TUE FEB 08	MON MAR 21	MON APR 04	THUR APR 14	THUR APR 21	FRI APR 22	TENURE JUN 01	
		5 Work Days		7 Days	25 Work Days		10 Days		7 Days	25 Work Days		10 Days		7 Days	30 Work Days		10 Days		7 Days	30/40 Work Days		
Post-Tenure Periodic Review	TUE MAR 1						FRI APR 1						FRI APR 29									

## Holidays/Breaks:

Labor Day	SEP 06
Veteran's Day	NOV 11
Thanksgiving	NOV 25 - 26
Winter Holiday/Break	DEC 23 - JAN 11
Martin Luther King Jr.	JAN 17
Cesar Chavez Day	MAR 31
Spring Break	MAR 28 - APR 01

\* Candidate may submit a rebuttal/response within 10 days of receipt of the recommendation or by the end date listed on timeline - whichever comes first.

\*\* Reviewing committee/administrator may submit response to a candidate's rebuttal within seven days or by the end date listed on timeline - whichever comes first.

Campus Holidays are NOT counted in number of "work" days.

The number of days indicated on the calendar is the minimum number of days required, so the actual number of days may be more than the minimum.