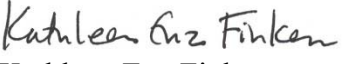


State of California
M e m o r a n d u m



To: College Deans
Department Heads/Chairs

Date: September 19, 2013

From: 
Kathleen Enz Finken
Provost and Executive Vice President
for Academic Affairs

Copies: Brian Tietje
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John Lyons
Cari Moore
Rich Savage
IG&EE Staff

Subject: International, Graduate and Extended Education
Self-Support Program Personnel Policies

As a follow-up to discussions about self-support program policies in the Deans' Retreats over the summer, I am pleased to approve the attached International, Graduate and Extended Education Self-Support Program Personnel Policies document.

This document is intended to define and promote policies that will lend structure, clarity, consistency and transparency to the processes governing faculty appointment, assignment and pay for Cal Poly's self-support programs offered through the auspices of the International, Graduate and Extended Education office. The applicable self-support classifications covered by these policies include:

- 2322 = Instructional Faculty – Special Programs (for credit)
- 2323 = Instructional Faculty – Extension (for credit)

Applicable programs include Off-Campus and International Programs, Self-support Graduate and Certificate Programs, and all other Special Session Programs for academic credit. Self-support Summer Term policies are covered separately and will be updated later in the academic year.

These policies are posted on the Academic Personnel website at <http://www.academic-personnel.calpoly.edu/content/policiesprocedures>. I would appreciate your assistance in advising your faculty of the new policies.

International, Graduate and Extended Education

Self-Support Program Personnel Policies

September 16, 2013

This document is intended to define and promote policies that will lend structure, clarity, consistency and transparency to the processes governing faculty appointment, assignment and pay for Cal Poly's self-support programs offered through the auspices of International, Graduate and Extended Education office. These programs include Off-Campus and International Programs, Self-support Graduate and Certificate Programs, and all other Special Session Programs for academic credit. Self-support Summer Term policies are documented separately (available at <http://www.academic-personnel.calpoly.edu/content/summer.>)

The applicable self-support jobcodes and classifications covered by these policies include (source: CSU Salary Schedule; Unit 3 Faculty CBA):

2322 = Instructional Faculty – Special Programs (for credit)

2323 = Instructional Faculty – Extension (for credit)

1. Recruitment and Appointment/Assignment Authority
 - a. 2322: Current faculty unit employees will be assigned by academic departments for all programs for academic credit (special session, off-campus programs, self-support graduate programs, and international programs). A Self-Support Program Appointment and Acceptance Agreement will be issued by the Vice Provost for International, Graduate, and Extended Education (IG&EE), and will be reviewed by the Associate Vice Provost for Academic Personnel before being sent to the faculty employee.
 - b. 2323: Current faculty unit employees will be assigned and appointed by the Vice Provost for International, Graduate, and Extended Education.
 - c. **If there is a need to hire non-faculty to teach** self-support courses for academic credit (2322), applicable academic recruitment policies must be followed by the academic department or college in which the program resides to solicit applications and interest, **normally using the part-time pool recruitment process.**
2. Appointments to 2322 and 2323 jobcodes
 - a. Article 40.13: *The official notification to a faculty unit employee of an appointment in the classifications noted in provisions 40.1 and 40.2 shall include the beginning and ending dates of appointment, number of WTUs, salary, the requirement to meet the first class, and other conditions of appointment. **The faculty unit employee's appointment may require participation in the student evaluation process.***
 - b. Additional compensation for current faculty teaching Self-Support program courses during the regular academic year will be compensated at a rate of 1/45th of the faculty member's annual base salary per WTU.

- c. Appointments of non-faculty for Self-Support programs during academic year will be compensated at the published rate in the CSU salary schedule (see attachment) for the appropriate jobcode, based on the entry level rank (3=Assistant Professor equivalent). Higher rank placement may be used if such placement is in accordance with applicable department and college personnel policies and is recommended by the appropriate department head/chair and college dean(see 1.c above)
 - d. Article 40.12: *An appointment to the classifications noted in provisions 40.1 and 40.2 is a temporary appointment for a specific period of time.* Appointments are for instructional course WTUs only and are exempt appointments. No entitlements or fringe benefits of any type are earned in 2322 and 2323 jobcodes (these positions are paid in one lump sum at the conclusion of the assignment and therefore do not qualify for benefits).
 - e. Article 40.15: *Faculty who develop the courses that are offered through Extension in classification code 2322, Instructional Faculty, Special Programs - For Credit shall have the right of first preference to teach those courses.*
 - f. Article 40.21: *When employing faculty to teach Extension courses that have been previously offered on that campus through the regular state-supported (General Fund) curriculum during the last academic year, first hiring preference shall be given to qualified three-year appointed faculty who have not received work sufficient to fulfill the time base entitlement of their three-year appointment in the most recent academic year, or in the case of a midyear extension course, in the current academic year. Qualified as used herein shall mean that the faculty member has taught the offered course, or a substantially similar course, on the offering campus.*
 - g. Jobcodes 2322 and 2323 may not be used for assignments of current Cal Poly faculty during Summer Term in lieu of jobcode 2357, except by advance approval of the Vice Provost for International, Graduate, and Extended Education and Associate Vice Provost for Academic Personnel. Requests for exceptions must clearly indicate how an exception will benefit the University and its students, and cannot be granted for courses that would qualify as self-support summer courses. Exceptions will not be approved for reasons that solely benefit the instructor. Cal-Poly Led Programs and other off-campus and self-support graduate and certificate programs offered during summer may continue to use jobcodes 2322 and 2323 for these appointments.
3. FERPs may not receive any additional employment for additional compensation for the duration of their FERP employment. This includes any additional employment for additional pay regardless of funding source, such as Special Consultant appointments, Extended Education or Cal Poly Corporation.
- a. FERPs will generally not be permitted to teach for self-support programs on a reimbursed basis for the duration of their FERP appointment, unless an exception is granted by the Provost and Executive Vice President for Academic Affairs under the established exception criteria.
 - b. Any exceptions will be recommended by the Vice Provost for International, Graduate, and Extended Education on the basis of demonstrated programmatic need for the expertise of the FERP and unavailability of other faculty member(s) with the needed expertise. A FERP requesting an exception to teach for self-support programs within their college or

department during their normal teaching quarter (Fall, Winter, or Spring) may be allowed to do so as provided below with the approval of the Provost.

- c. If an exception is granted, the FERP will be compensated by their department and their department will be reimbursed from the self-support program on the basis of 1/45 of annual salary for each WTU of instruction, as indicated on the Instructor Appointment and Acceptance Agreement. This arrangement must be approved by the department chair, college dean, Vice Provost IG&EE, and Provost. If the FERP's annual assignment includes Instructionally-Related Responsibilities (IRR), the department will be responsible for the cost of the non-teaching WTUs.
 - d. FERPs are not permitted to teach during Summer as part of their normal instructional assignment. When an exception as described in Section 3.b is approved by the Provost, the FERP may be permitted to receive an appointment to teach for a self-support program during summer with the agreement that their department will adjust their FERP assignment to reflect an equivalent reduction of WTU's during the year immediately prior to the summer term. Such a reduction will not affect the time-base of future FERP assignments. The summer term assignment will be compensated to the FERP on the basis of the approved Instructor Agreement whether or not the course has sufficient enrollment. As in Section 3.c above, if the FERP's annual assignment includes Instructionally-Related Responsibilities (IRR), the department will be responsible for the assignment of and payment for any non-teaching WTUs during their normal teaching quarter(s).
4. Self-support Summer Term Appointments:
 - a. 2357 (Instructional Faculty – Summer Term): Additional compensation for Self-Support Summer Term courses will use existing Summer Term policies and processes (see current Summer Term Information at <http://www.academic-personnel.calpoly.edu/content/summer>)
 5. Personnel Files
 - a. For state faculty unit employees – Personnel Action File resides in college dean's office.
 - b. For non-state faculty unit employees – the college of the self-support program will create and maintain the faculty PAF (the college dean is the file custodian).
 6. Student and teaching evaluations
 - a. Current faculty unit employees appointed as 2322 or 2323 for additional compensation: CBA Article 40.13: *The faculty unit employee's appointment may provide for participation in the student evaluation process.* If desirable, a student evaluation mechanism and procedure may be developed and implemented for all self-support programs, and such student evaluations will be conducted at the discretion of the appointing authority. CBA Article 40.17: *Evaluations may be conducted at the discretion of the department chair or appropriate administrator, or upon request of the faculty unit employee. If such evaluations are conducted, they shall be consistent with provisions 15.20, 15.21, 15.22, and 15.27 of the CBA* (periodic evaluation provisions).
Current faculty unit employees (jobcodes 2360, 2361, etc.) assigned to teach self-support courses as part of their normal teaching responsibilities will be governed by the contract

provisions and existing department, college and University policies with respect to student evaluations and periodic or performance evaluations of full-time instructional faculty.

- b. The academic department and college may conduct periodic evaluations for non-state faculty unit employees in accordance with periodic evaluation provisions of the CBA (Article 15.21, 15.22, 15.23, 15.27)
 - i. Department Peer Review, Department Chair and/or program director level review
 - ii. Administrator review – Dean of College where self-support program resides
7. Additional Employment 25% Maximum Rule
 - a. CBA Article 36.4: *The "twenty five percent (25%) overage" as used in this Article shall be calculated as a percentage of full-time workload or, when appropriate, full-time time base. The total additional employment of a faculty unit employee shall not exceed a total of twenty-five percent (25%) of full-time (1.0 FTE) employment.*
 - b. CBA Article 36.5: *A faculty unit employee shall be limited in CSU employment to the equivalent of one (1) full-time position in his/her primary or normal employment. An "overage" of twenty five percent (25%) of a full-time position shall be allowed if the overage employment: (a) consists of employment of a substantially different nature from his/her primary or normal employment; (b) is funded from non-general fund sources; or (c) is the result of the accrual of part-time employment on more than one (1) campus.*
 - c. 25% additional employment limitation for academic year employees during the academic year translates to a maximum of 11.25 WTU/academic year for full-time employees (25% of 45 WTU/year), a maximum hourly equivalent of 340 hours/academic year, or a maximum daily equivalent of 42 days/academic year. All appointments from all State agencies and auxiliaries are aggregated and audited to ensure these limitations are not exceeded.
 - d. Self-support Summer Term appointments for existing AY faculty may consist of 12 or 15 WTU maximum additional employment and compensation depending on whether tenure-track or lecturer status, respectively
 - e. Additional employment of 12-month Faculty for self-support Summer Term must be done on a volunteer basis. In some very limited situations with the agreement of the department and college, if teaching for a self-support Summer Term program (e.g. an international program or other off-campus program) would impact the ability of a 12-month faculty member to perform the duties of their primary position, the faculty member may be allowed to take vacation in their primary assignment in order to teach for the self-support program. In this case, reimbursement of salary generated through course revenues will be made to the faculty member's academic department. Such situations must be carefully documented.
 - f. Eligibility for additional employment will be determined by Academic Personnel before any self-support additional appointments are made. Regular audits of total annual employment will be conducted by Academic Personnel, accounting for all Cal Poly State employment, CP Corporation employment, self-support employment through International, Graduate, and Extended Education, and any other CSU employment. Campus practice allows the 25% additional employment to be concentrated within a short period or worked over the entire year, as long as the maximum is not exceeded on an

annual basis. The applicable time period for academic year employees is the academic year, and the applicable time period for 12-month employees is the fiscal year.

8. Appointment time base limitations
 - a. Limitations based on 25% rule for existing Cal Poly employees
 - b. Rehired Annuitant 180 day sit out period must be observed before retirees can be reappointed (excludes current and prospective FERPs). Maximum assignment is 50% of WTU/FTE time-base of assignment in year immediately preceding retirement (inclusive of any post-retirement Cal Poly state, CP Corporation, and/or other CSU employment). Academic Personnel will monitor retirement dates and maximum assignments before appointments are made.
9. Program Coordinators will be appointed in jobcode 2322, with compensation for coordinator duties (in addition to compensation for any instructional assignment) given as “assigned time” WTU on the following basis: 1 WTU for programs of 5 weeks’ duration or less; 2 WTU for programs of greater than 5 weeks’ duration.
10. TA/ISA appointments –TA/ISA appointments that are self-support are appointed into the same jobcode as state-support. Typically, TA/ISA self-support appointments are made on a reimbursed basis. At the option of the department responsible for the self-support program, unique positions that are linked to the funding for the self-support program may be established for this purpose.

Off-campus and International Program Policies

1. Instructional pay: will be calculated at a rate of 1/45th of the faculty member’s annual base salary per WTU with adjustments in units (WTU’s) for additional workload determined in consultation with the Academic Dean and the Vice Provost of International, Graduate and Extended Education.
2. Resident Directors will be appointed in jobcode 2322, with compensation for director duties (in addition to compensation for any instructional assignment) given as “assigned time” WTU on the following basis: 1 WTU for programs of 5 weeks’ duration or less; 2 WTU for programs of greater than 5 weeks’ duration.
3. Reimbursement for airfare: Full reimbursement for round-trip economy airfare from San Luis Obispo. (Note: some service providers will comp the instructor’s airfare when 15 or more students travel in the program.)
4. Reimbursement for lodging: Full reimbursement for single occupancy hotel room or one bedroom apartment unit not to exceed Federal Government Maximum lodging rates for the specific city or country of destination (http://aoprals.state.gov/web920/per_diem.asp).
5. Daily per diem for food and incidentals: 30% of the published Federal Government Maximum Per Diem rates for the specific city or country of destination (http://aoprals.state.gov/web920/per_diem.asp).
6. Instructional pay and reimbursement for co-instructor: When enrollment in a course exceeds historical on-campus averages by 25% or more, two faculty members can request to co-teach a course in a study abroad program by sharing the WTU’s that are used to calculate compensation. The total number of WTU’s awarded to be determined in consultation with the Academic Dean and the Vice Provost of International, Graduate and Extended Education. In such instances, the co-instructor would receive the same reimbursements for airfare, lodging, food and incidentals as the lead instructor.

7. Special Considerations for off-site/international programs:
 - a. Off-site or international program instruction for additional compensation may not conflict with the primary assignment of a Cal Poly faculty member during the regular academic quarters.
 - b. Off-site or international program instruction for additional compensation during academic breaks including summer that do not pose a conflict with the faculty member's primary assignment would be permissible. (Refer to 7.e for special considerations for 12-month faculty participating in these programs).
 - c. Advance approval of a faculty member's chair and dean to participate in off-site and international programs is required.
8. All financial expenses incurred by traveling companions are to be reimbursed to Cal Poly. Examples include but are not limited to, airfare, insurance, incidental expenses, meals, upgrades to housing accommodations (e.g. suite or 2-bedroom apartment), ground transportation etc. (See following section on International Travel Companion Policy.)

International Travel Companion Policy

This policy applies to situations when faculty, staff, or administrators who are traveling abroad for purposes relating to their employment wish to take one or more companions with them, including spouses/partners, non-family members, and/or dependent children.

1. The employee is responsible for informing the University at least two months in advance of the departure date that he/she intends to bring companion(s), and provide the appropriate information about the companions to campus authorities.
2. Any employee of Cal Poly who undertakes to lead or otherwise provide primary service in the leadership of a study tour or study-abroad experience (with students, faculty, alumni, etc.), does so with the full and complete understanding that their duties in that leadership role take precedence over their obligations to any traveling companions. Furthermore, traveling companions understand that no special privileges accrue due to their status as a family member or traveling companion.
3. Minor-aged children (<18 years old) must be accompanied by an adult caretaker who is not associated with the employment purposes of the trip, e.g., the spouse of the employee. This is to eliminate the possibility that the employee would have to leave his/her students to care for the child in an emergency.
4. The employee bears the personal financial responsibility for any additional costs incurred on behalf of the companion(s), including, but not limited to, travel, accommodations, food, travel agent fees, local transportation, and tickets for excursions.
5. All travel companions must be insured. In most cases this will require the employee to reimburse the State or other operating account for the cost of the insurance policy.
6. All companions must sign and submit a travel companion form and liability release. An adult caretaker will need to complete the form on behalf of any minor-aged children.
7. Any problems or issues that arise that negatively impact the faculty member's ability to lead the study tour may affect future requests to lead study tours and/or to invite traveling companions.

SALARY SCHEDULE
"INSTRUCTIONAL FACULTY, SPECIAL PROGRAMS"
CLASS CODE 2322

Effective July 1, 2008

Quarter Unit Rate

Students Enrolled	Assistant	Instructor	Assistant Professor	Associate Professor	Professor
1	73	73	73	73	73
2	147	147	147	147	147
3	220	220	220	220	220
4	294	294	294	294	294
5	367	367	367	367	367
6	440	440	440	440	440
7	514	514	514	514	514
8	587	587	587	587	587
9	660	660	660	660	660
10	734	734	734	734	734
11	807	807	807	807	807
12	853	881	881	881	881
13	853	954	954	954	954
14	853	1013	1027	1027	1027
15	853	1013	1101	1101	1101
16	853	1013	1112	1174	1174
17	853	1013	1112	1247	1247
18	853	1013	1112	1321	1321
19	853	1013	1112	1394	1394
20	853	1013	1112	1401	1468
21	853	1013	1112	1401	1541
22	853	1013	1112	1401	1614
23	853	1013	1112	1401	1688
24	853	1013	1112	1401	1761
25 or more	853	1013	1112	1401	1771

MAXIMUM RATE. The maximum rate is the usual salary to be paid to a faculty member when course enrollment reaches the established campus level. When enrollment falls short of this level, a faculty member is paid in accordance with the schedules for low enrollment courses.