

Faculty Merit Increase Policy for the Center for High Energy Physics

21 May 2014

Merit increase recommendations for faculty of the Center by the Center Director will be based on consultation with the senior faculty supervising or working directly with the faculty and the Center Leadership Committee. The formal annual performance evaluation carried out by the supervising senior faculty member will reflect the observations and decisions on an individual's work and ability to meet expectations, including a review of a current curriculum vitae. The merit increase decisions will be reflected in these formal evaluations. This annual evaluation is required, so no employee is permitted to opt out. The evaluation is a primary but not the sole element in the merit increase decision. Other factors that might be involved include but are not limited to situational challenges or opportunities not covered in the performance evaluation, disciplinary actions or special projects post-evaluation time but before the merit increase period. Performance evaluations and other criteria will be documented and placed in personnel files. Faculty who meet or exceed expectations will be eligible for merit increases, provided that a faculty merit pool has been established by the University for that fiscal year.

In determining a faculty member's performance, his/her supervisor will consider the faculty member's primary responsibilities, as outlined in his/her job description. Metrics to judge the individual's performance must be clearly identified year-to-year and available in the performance evaluation or other document for review and discussion with the employee. Those metrics must be related to the tasks articulated in the individual's job description. Job descriptions will be reviewed and updated as needed annually. The evaluation criteria will follow the general principles described in Attachment 1.

After completing the individual's annual performance review, in years where there is a merit pool and process established by the institution, the supervisor will give the faculty member an overall rating of:

- (1) Fails to Perform;
- (2) Needs Attention;
- (3) Meets Expectations;
- (4) Exceeds Expectations; or
- (5) Exceptional Performance as part of the merit increase decision process.

All faculty, regardless of type of appointment or FTE, are eligible for consideration for the highest merit rating. Faculty who receive a rating of 1 or 2 will not be eligible for a merit increase. Faculty who receive a rating of 3, 4, or 5 will receive an increase to their individual current base salaries. Ranges will be determined each year for each eligible merit rating and openly communicated to the unit employees in a timely manner prior to the merit increase decisions finalization. The ranges for each rating level will be established annually by the Director in consultation with the Center Leadership Committee.

Supervisors will communicate faculty members' ratings with the Director and these will be discussed with the Center Leadership Committee. This process is designed to ensure that scaling of ratings is similar for all evaluated faculty. The Director will use input from the discussion to make recommendations for increases for the faculty members who are eligible to the Vice President for Research.

The actual amount of an individual's increase will be based on funding available in the unit's merit pool established by the University. Merit increases are also subject to approval by the Vice President for Research and the Provost. Following approval, each employee will be informed of individual raises.

ATTACHMENT 1

GENERAL PRINCIPLES TO GUIDE THE ESTABLISHMENT OF EVALUATION CRITERIA FOR CAREER RESEARCH APPOINTMENT NON-TENURE TRACK FACULTY

Specific discussion of metrics/criteria for evaluation by rank series:

- **Research Professor appointment series:** Expectations for research activities by research professors are the same as those for research productivity of tenure related faculty. These include, but are not limited to, the following metrics: peer-reviewed publications in high quality journals, books, technical reports, conference participation, and pursuit of external funding. Expectations for service outside the university, such as service to scholarly societies, conference organization, refereeing, etc., are the same as for tenure-related faculty of the same seniority.
- **Research Associate appointment series:** Expectations for research associates are set by the relevant principal investigators. They typically include the production and dissemination of research results, and in some cases may include participation in grant proposal preparation. For Research Associates associated with large experimental groups such as ATLAS and LIGO, expectations may include authorship of research notes and other documentation internal to the collaboration, internal talks given to the collaboration in regular and plenary meetings, holding leadership positions within the collaboration, mentorship of students, and contribution to service tasks need by the experiments. These expectations shall be clearly articulated annually, and the performance evaluations shall be consistent with them.
- **Research Assistant appointment series:** A Research Assistant is expected to participate in research, outreach and/or technical assistance activities as defined by the relevant principal investigators. Specific expectations may vary, will be developed through active collaboration between the career NTTF and his or her supervisor, and will be explicitly documented on an annual basis. These expectations shall articulate specific tasks with measurable outcomes, and the performance evaluations shall be consistent with them.