

## Approved by the Office of the Provost – November 20, 2020

### Institute for Fundamental Science

### Career Non-Tenure Track Faculty Merit Increase Policy

August 12, 2020

Merit increase recommendations for career research appointment non-tenure track faculty (hereafter “C-NTTF”) within the Institute for Fundamental Science will be made by the institute director in consultation with the senior faculty supervising or working directly with the faculty and the Institute Leadership. The formal annual performance evaluation carried out by the supervising senior faculty member will reflect the observations and decisions of 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. Merit increase decision should be based primarily on those formal evaluations. The formal 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. C-NTTF 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 C-NTTF member’s performance, their supervisor will consider the C-NTTF member’s primary responsibilities, as outlined in their 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 and follow these general guidelines.

- **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 C-NTTF and their 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.

Job descriptions will be reviewed and updated as needed annually.

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

- (1) Fails to Perform;
- (2) Needs Attention;
- (3) Meets Expectations;
- (4) Exceeds Expectations; or
- (5) Exceptional Performance.

All C-NTTF, regardless of type of appointment or FTE, are eligible for consideration for the highest merit rating. Those who receive a rating of 1 or 2 will not be eligible for a merit increase, while those 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 institute director in consultation with the Institute Leadership.

Supervisors will communicate C-NTTF members' ratings to the institute director and these will be discussed with the Institute Leadership. This process is designed to ensure that scaling of ratings is similar for all evaluated C-NTTF. The director will use input from the discussion to make recommendations for increases for the eligible C-NTTF members to the Vice President for Research and Innovation.

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 Innovation and the Provost. Following approval, each employee will be informed of individual raises.