

Entered by VC

From: Barbara Leonard <leona001@maroon.tc.umn.edu>
Date: Wed, 5 Jan 2000 14:27:12 -0500
To: "University Senate" <senate@mailbox.mail.umn.edu>
Subject: Re: Cover letter + survey

>January 5, 2000

>
>TO: Department Chairs/Heads, University of Minnesota Academic
> Health Center

>
>FROM: Academic Health Center Finance and Planning Committee:
> Timothy Church, Kathryn Dusenbery, Daniel Feeney (Chair),
> Katherine Johnston (ex officio), Michael Speidel, Patricia
> Tomlinson, and Carol Wells

>
>RE: Questionnaire about annual merit salary determination
> processes in your department

>
>In an effort to determine how merit salary awards are calculated across the
>individual departments in the Academic Health Center (AHC), the AHC Finance &
>Planning Committee are asking for your cooperation. We have designed a
>questionnaire that we hope addresses the issues brought to us by the
>faculty.

>Concerns have been raised about how salary increase dollars are distributed
>including things described as inequities, delays, favoritism, incomplete
>information, and obfuscation. To avoid undue speculation, there is no
>substitute
>for the facts. It is in the interest of obtaining data that this
>questionnaire
>was developed and is being sent to you.

>
>To respond electronically, complete the questionnaire and press the
>"reply" key
>to (senate@mailbox.mail.umn.edu). If you prefer to respond via US/campus
>mail,
>forward the questionnaire to:

>
>Ms. Vickie Courtney
>University Senate
>427 Morrill Hall,
>100 Church Street, SE
>Minneapolis, MN 55455

>
>We're asking that the questionnaire be returned before January 31, 2000.
>The information received will be collated and the results will be published
>in the "Academic Health Center Newsletter". If no response is received,
>you will be contacted ONCE to be sure there has been no unintentional
>oversight. All AHC Departments will be listed with their responses to each
>of the enclosed questions displayed. For those chairs/heads who do not
>respond, a "no response" will be placed next to that question for that
>department in the published materials. There is great interest in this
>data by Senior Vice President Frank Cerra and Associate Vice President
>Katherine Johnston and this effort has their support. Dr. Cerra sent a
>letter to the AHC Deans on 10/21/99 informing them this process was
>occurring.

>
>Thank you for your cooperation.

>
>
>*****
>AHC MERIT PROCESS QUESTIONNAIRE
>from the Academic Health Center Finance and Planning Committee

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>

>This questionnaire is an inquiry regarding the processes involved with merit
>evaluation and annual salary determination across the Academic Health Center
>(AHC). Concerns about 1) the processes of individual faculty merit
>evaluations
>2) the determination of annual faculty merit salary awards, and 3) the
>timeliness of implementation of faculty raises have been brought to the
>attention of the AHC Finance & Planning Committee. Questions below are
>grouped
>by related issues and are intended to assess the status of compensation
>policy
>compliance within the AHC.

>
>1. Does your department use an elected, peer evaluation group to conduct
>the
>faculty merit evaluations? Yes

> No
> If you answered "no", please explain your process(es).

>
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>
>
>2. Does the department chair/head participate in the deliberations of the
>elected, peer evaluation group during faculty merit evaluations?

>
> Yes No
> If you answered "no", please explain your process(es).

>
> The Division Head, Associate Dean and Dean do an administrative review
>for 50% value; the peer review is 50%.

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>
>
>3. Does the department chair/head collate scores from the elected, peer
>evaluation group during the faculty merit evaluations?

> Yes No
> If you answered "no", please explain your process(es).

>
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>
>4. Does the department chair/head render an evaluation during the faculty
>merit
>evaluations?

> Yes No
> If you answered "no", please explain your process(es).
> If you answered "yes", please explain the relative
>weighting of the
> chair's/head's score to that of the faculty peer review committee.

>50%

>
>
>
>5. Does the department have a formal compensation/merit evaluation policy?

>
> Yes
> No
> If you answered "no", please explain your process(es).

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>
>6. Does your department annually vote on the process(es) and criteria for

>faculty merit evaluations?

> _____ Yes

> x No

> If you answered "no", please explain what you do.

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>

>7. Who makes the final decision on the actual amount of merit pay awarded in
>faculty merit evaluations?

> _____ Faculty peer _____ Chair/Head

> dean Other

> _____ Merit Committee

> _____ (please define)

> If you answered "Chair/Head" or "Other", please explain how

>merit

>evaluation scores from the faculty peer evaluation group are used in your

>process(es).

>
>the dean has the final say but uses the merit peer review 50% and
>administrative review for 50%.

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>8. Does the available pool (not the source) of dollars available for annual
>faculty merit distribution vary depending on how a faculty member's
>appointment

>is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

> _____ Yes

> no No

> If you answered "yes", please explain what occurs.

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>9. Are the faculty aware of the available pool of money to be allocated to
>merit

>salary increases in this department? [e.g. dollars as a % of current pay,

>gross

>dollars, etc.]

> x Yes _____ No

> If you answered "no", please explain what they are told

>about available \$.

>
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>

>10. Does the presence of a research grant containing salary dollars influence
>what might be available for awarding to individual faculty at annual merit
>distribution deliberations? [e.g. 3% average increase suggested by central
>administration, but grant contains 2% or 4% increase on that portion of the
>involved individual's salary]

> _____ Yes

> no No

> If you answered "yes", please explain what occurs.

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>

>11. Does the presence of a practice plan influence what might be available

>for
>awarding to individual faculty at annual merit distribution deliberations?
>[e.g. Is the % of an individual's appointment that is assigned to clinical
>
>practice/service treated similarly to what has been suggested by central
>
>administration (? 3%) or are practice dollars awarded strictly on the
>basis of
>income generation?]
> _____ Yes
> no No
> If you answered "yes", please explain what occurs.
>
>
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>
>
>12. Do monies generated from clinical practice endeavors go into the
>academic
>department and potentially into a merit pool involving those faculty not
>engaged
>in clinical practice?
> _____ Yes
> no No
> If you answered "yes", please explain what occurs.
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>
>13. Do the faculty in the department get a report on how available merit pool
>dollars were distributed (obviously not specifically to whom, but in the
>anonymous sense "how many faculty got what % raise)?
> x Yes
> _____ No
> If you answered "no", please explain what occurs.
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>
>14. Is the goal to award an "average" of the annually specified percent (as
>determined by Central Administration) to an individual's total faculty
>salary
> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +
> (? % practice plan\$) = 100% merit increase]?
> _____ Yes
> _____ No
> If you answered "no", please explain your process(es).
>
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>
>15. Do you have any "incentive pay" or annual productivity bonuses that are
>awarded to faculty?
> _____ Yes
> x No
> If you answered "yes", please explain how these work.
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>
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>

>16. Are you aware of the Faculty Compensation Policy and what it says
>about how
>annual merit evaluations and salary determinations are to be conducted?

>
> _____ Yes
> _____ No

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>
>17. Do you as Department Chair/Head meet with your faculty individually to
>explicitly discuss their merit evaluation and to agree upon mutual
>expectations
>for the following academic year?

> _____x_____ Yes
> _____ No
> If you answered "no ", please explain how merit scores
>are explained and how
>expectations, workloads, etc. are agreed-upon in your department.

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>
>18. Do you as Department Chair/Head use a criteria-based formula to calculate
>merit scores for individual faculty?

> _____x_____ Yes
> _____ No

>
> a. If you answered "yes", please indicate the scoring system and
>explain
>whether or not it is weighted by % effort in specific areas (e.g.
>teaching,
>research, service, outreach, administration...).

> o outstanding highest, c=commendable n= neither

>
> b. If you answered "yes", please indicate whether the scoring
>system is
>weighted by faculty rank (e.g. merit points are worth proportionally more
>at
>higher ranks).

>
>no
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>
> c. If you answered "no", please indicate how you handle merit scores.

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>the highest scores get the greater increases

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>
>19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g.
>dollars
>from the available pool regardless of annual salary), some combination of
>% and
>raw \$, or some other method other?

> _____ % of _____ raw \$ _____ raw & %
> _____ Other
> _____ salary _____ from pool

>
> Please explain your process(es).
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>20. When and how do you communicate the faculty member's annual salary
>incremental increase (or the lack thereof) to individual faculty in your
>department?
>
>dean's letter after the process is completed
>
>
>
>21. When did the merit salary increases for your tenured and tenure-track
>faculty become effective in your department this year? (e.g. When did your
>faculty see the difference in their gross pay?)
>
> Specify month and year the raises for 1999-2000 FY became
>effective.
>
>July 1
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>22. Are there any problems with the Faculty Compensation Policy that you feel
>should be addressed by the Senate Committee on Faculty Affairs and/or the
>Faculty Senate?
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>
>Thank you for your cooperation!
>
>Please return this questionnaire to:
>
>senate@mailbox.mail.umn.edu
>
>or
>
>Ms. Vickie Courtney
>427 Morrill Hal,
>100 Church Street SE
>Minneapolis, MN 55455
>
>By 1/31/00

>
>cc: AHC Deans

>
>
>
>

>*****
>University Senate Phone: 612-625-9369
>427 Morrill Hall Fax: 612-626-1609
>100 Church St SE E-mail: senate@mailbox.mail.umn.edu
>Minneapolis, MN 55455 Web: <http://www1.umn.edu/usenate>

From: Snyder Mariah
To: courtney@mailbox.mail.umn.edu
CC:
Subject: Cover letter + survey
Date: Wed, 05 Jan 2000 12:47:35 -0600

entered by JC

>X-From_: senate@mailbox.mail.umn.edu Wed Jan 5 11:42 CST 2000
>Date: Wed, 5 Jan 2000 11:41:38 -0600 (CST)
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> reisenbe@d.umn.edu,
> rziegler@d.umn.edu,
> courtney@mailbox.mail.umn.edu

>Subject: Cover letter + survey

>X-Mailer: POPmail 2.3b8

>
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>January 5, 2000

>TO: Department Chairs/Heads, University of Minnesota Academic
> Health Center

>FROM: Academic Health Center Finance and Planning Committee:
> Timothy Church, Kathryn Dusenbery, Daniel Feeney
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>from the Academic Health Center Finance and Planning Committee

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grouped

>by related issues and are intended to assess the status of compensation
policy
>compliance within the AHC.

>
>1. Does your department use an elected, peer evaluation group to conduct
the
>faculty merit evaluations? No X Yes

 No
> If you answered "no", please explain your process(es).

>
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>
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>
>

>2. Does the department chair/head participate in the deliberations of the
>elected, peer evaluation group during faculty merit evaluations?

> Yes X No
> If you answered "no", please explain your process(es).

>
>THE ELECTED FACULTY GROUP REVIEWS THE DOCUMENTS SUBMITTED BY FACULTY
(UPDATED CV AND 2-PAGE PRESENTATION OF HIGHLIGHTS); THESE SAME DOCUMENTS
ARE REVIEWED BY THE DEAN, ASSC. DEAN, AND 2 DIVISION HEADS (MEETING OF
GROUP); THE TWO RATINGS (FACULTY PEER GROUP AND ADM) RECEIVE EQUAL
WEIGHTING IN DETERMINING MERIT

>
>

>
>3. Does the department chair/head collate scores from the elected, peer
>evaluation group during the faculty merit evaluations?
> _____ Yes _____ No

QUESTION IS UNCLEAR. THE PEER GROUP FORWARDS THEIR RATINGS FOR EACH
FACULTY MEMBER (A PA GROUP DOES THIS FOR THE PA STAFF); THESE ARE FORWARDED
TO THE ADM. GROUP

> If you answered "no", please explain your process(es).
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>
>

>4. Does the department chair/head render an evaluation during the faculty
merit
>evaluations?
> _____X_____ Yes _____ No
> If you answered "no", please explain your process(es).
> If you answered "yes", please explain the relative weighting
of the

> chair's/head's score to that of the faculty peer review committee.

THE PROCEDURE WAS DESCRIBED ABOVE--DEAN, ASSC DEAN AND DIVISION HEAD HAVE
INPUT INTO ADM RATING

>
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>
>5. Does the department have a formal compensation/merit evaluation policy?

> _____ Yes
_____ No
> If you answered "no", please explain your process(es).
>
>
>
>
>

>6. Does your department annually vote on the process(es) and criteria for
>faculty merit evaluations?
> _____ Yes
_____X_____ No
> If you answered "no", please explain what you do.

THE ENTIRE SCHOOL HAS A POLICY THAT WAS ADOPTED A NUMBER OF YEARS AGO.
THIS IS CIRCULATED TO FACULTY EACH YEAR EXPLAINING WHAT NEEDS TO BE
SUBMITTED FOR MERIT.

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>

>7. Who makes the final decision on the actual amount of merit pay awarded in

>faculty merit evaluations?

> _____ Faculty peer _____ Chair/Head

> Other

> _____ Merit Committee

(please define)

> If you answered "Chair/Head" or "Other", please explain how merit

>evaluation scores from the faculty peer evaluation group are used in your

>

>BASED ON THE AMOUNT OF MONEY AVAILABLE, THE AMOUNT TO BE ALLOCATED FOR PERSONS BEING PROMOTED OR TENURED, THE DEAN THEN CALCULATES THE AMOUNT. THE SCORES FROM PEERS FOR THE THREE MISSIONS ARE TOTALED AND AVERAGED. THIS IS THEN CONVERTED INTO A % OF SALARY INCREASE.

>

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>

>8. Does the available pool (not the source) of dollars available for annual

>faculty merit distribution vary depending on how a faculty member's

>appointment is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

> _____ Yes

> No

> If you answered "yes", please explain what occurs.

THE AMOUNT AVAILABLE IS DETERMINED BY WHAT IS AVAILABLE FROM THE STATE.

MONEY FROM PERSONS ON GRANTS IS LARGELY SPENT PAYING FOR PERSONS TO REPLACE THEM FOR THEIR TEACHING ASSIGNMENTS.

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>

>9. Are the faculty aware of the available pool of money to be allocated to merit

>salary increases in this department? [e.g. dollars as a % of current pay, gross

>dollars, etc.]

> Yes _____ No

> If you answered "no", please explain what they are told about available \$.

>

>DEAN EDWARDSON SHARES THE AMOUNT AVAILABLE WITH THE FAUCLTY.>

>

>

>

>10. Does the presence of a research grant containing salary dollars influence

>what might be available for awarding to individual faculty at annual merit

>distribution deliberations? [e.g. 3% average increase suggested by central

>administration, but grant contains 2% or 4% increase on that portion of the

>involved individual's salary]

>

> _____ Yes

> No

> If you answered "yes", please explain what occurs.

>
>
SEE RESPONSE EARLIER

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>
>
>11. Does the presence of a practice plan influence what might be available for
>awarding to individual faculty at annual merit distribution deliberations?

>[e.g. Is the % of an individual's appointment that is assigned to clinical
>practice/service treated similarly to what has been suggested by central
>administration (? 3%) or are practice dollars awarded strictly on the
>basis of
>income generation?]

> _____ Yes
>
 X No

> If you answered "yes", please explain what occurs.

>
>
>
>FEW FACULTY ARE ENGAGED IN PRACTICE AND FEWER PARTICIPATE IN THE FACULTY
>PRACTICE PLAN>

>
>12. Do monies generated from clinical practice endeavors go into the
>academic
>department and potentially into a merit pool involving those faculty not
>engaged
>in clinical practice?

> _____ Yes
>
 No

> If you answered "yes", please explain what occurs.

>
>
>
>THIS IS SUCH A SMALL DOLLAR AMOUNT THAT IT WOULD NOT INFLUENCE ANYTHING.
>THE MONIES FROM PRACTICE ARE USED TO OFFSET A REDUCED TEACHING LOAD FOR A
>FAUCLTY MEMBER WHO IS PART OF THE PRACTICE PLAN

>
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>
>13. Do the faculty in the department get a report on how available merit
>pool
>dollars were distributed (obviously not specifically to whom, but in the
>anonymous sense "how many faculty got what % raise)?

> _____ X Yes
>
 No

> If you answered "no", please explain what occurs.

>14. Is the goal to award an "average" of the annually specified percent (as
>determined by Central Administration) to an individual's total faculty
salary.

> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +
> (? % practice plan\$) = 100% merit increase]?
> _____ Yes

X No

> If you answered "no", please explain your process(es).

>
>THE PERCENT AWARDED IS DETERMINED BY THE RATINGS THEY RECEIVED FROM PEERS
AND ADM.

>15. Do you have any "incentive pay" or annual productivity bonuses that are
>awarded to faculty?

> _____ Yes
 No

> If you answered "yes", please explain how these work.

>YES AND NO--MORE OF OUR PRODUCTIVITY RELATES TO GENERATING GRANT MONIES TO
COVER SUMMER SALARIES AS MOST OF THE FACULTY ARE B APPOINTMENTS.>

>16. Are you aware of the Faculty Compensation Policy and what it says
about how
>annual merit evaluations and salary determinations are to be conducted?

> _____ X _____ Yes
 No

>17. Do you as Department Chair/Head meet with your faculty individually to
>explicitly discuss their merit evaluation and to agree upon mutual
expectations
>for the following academic year?

> _____ X _____ Yes
 No

> If you answered "no ", please explain how merit scores
are explained and
how
>expectations, workloads, etc. are agreed-upon in your department.

>18. Do you as Department Chair/Head use a criteria-based formula to
calculate
>merit scores for individual faculty?

> _____ X _____ Yes

_____ No

>

>. a. If you answered "yes", please indicate the scoring system and explain

>whether or not it is weighted by % effort in specific areas (e.g. teaching,

>research, service, outreach, administration...).

>

>THE CRITERIA FOR EACH RANK ARE USED TO EVALUATE THE FAUCLTY MEMBER--THIS INCLUDES ALL THREE MISSIONS OF THE SCHOOL AND GOVERNANCE. THE THREE MISSIONS ARE EQUALLY WEIGHTED.>

>

> b. If you answered "yes", please indicate whether the scoring system is

>weighted by faculty rank (e.g. merit points are worth proportionally more at

>higher ranks).YES

>

>

>

>

> c. If you answered "no", please indicate how you handle merit scores.

>

>

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>

>

>19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. dollars

>from the available pool regardless of annual salary), some combination of % and

>raw \$, or some other method other?

> _____X_____ % of _____ raw \$ _____ raw & %

> _____ Other _____
> salary from pool

>

> Please explain your process(es).

>PERCENT OF SALARY FOR INCREASE

>

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>20. When and how do you communicate the faculty member's annual salary

>incremental increase (or the lack thereof) to individual faculty in your

>department?

>.

>THE SCHOOL OF NURSING FUNCTIONS AS ONE UNIT. THE DEAN SENDS OUT THE INFORMATION ABOUT THE MERIT RATINGS AND % OF INCREASE TO EACH FACULTY MEMBER AND PA WITH THEIR LETTER OF RE-APPOINTMENT. THIS INFO HAS BEEN SHARED WITH THE DIVISION HEADS.

>

>

>

>21. When did the merit salary increases for your tenured and tenure-track >faculty become effective in your department this year? (e.g. When did your >faculty see the difference in their gross pay?)

>

> Specify month and year the raises for 1999-2000 FY became effective.

>jULY, 1999>

>

>

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>

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>22. Are there any problems with the Faculty Compensation Policy that you feel

>should be addressed by the Senate Committee on Faculty Affairs and/or the >Faculty Senate?

>

>WE HAVE TRIED TO KEEP THE PROCESS SIMPLE AND YET FAIR. ALTHOUGH CONCERNS HAVE BEEN EXPRESSED, NO ONE HAS COME FORTH WITH A BETTER PLAN. IT SEEMS TO BE EQUITABLE AND OVERALL HAS MET THE NEEDS OF THE SCHOOL.

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>

>Thank you for your cooperation!

>

>Please return this questionnaire to:

>

>senate@mailbox.mail.umn.edu

>

>or

>

>Ms. Vickie Courtney

>427 Morrill Hal,

>100 Church Street SE

>Minneapolis, MN 55455

>

>By 1/31/00

>

>cc: AHC Deans

>

> .

>

>

>*****

>University Senate Phone: 612-625-9369
>427 Morrill Hall Fax: 612-626-1609
>100 Church St SE E-mail: senate@mailbox.mail.umn.edu
>Minneapolis, MN 55455 Web: <http://www1.umn.edu/usenate>

>

>

>

..... This message includes attached files.
..... Use the Save button to extract them.

From: "Sandra Edwardson" <edwardso@mailbox.mail.umn.edu>
Date: Wed, 26 Jan 2000 08:48:27 -0600 (CST)
To: senate@mailbox.mail.umn.edu
Subject: Re: Reminder for Questionnaire Regarding Annual Merit Salary Determination

I have also attached this as a Word document.

University of Minnesota
School of Nursing

Policy for Determining Merit-Based Salary Increases

The School of Nursing policy for determining merit-based salary increases is derived from the University's Faculty Compensation Policy. Unless otherwise directed by the University Administration, salary increases will be based on merit. Merit is determined on the basis of an individual's performance of job responsibilities in the current academic year. A committee of peers will conduct a thorough review of the faculty member's work and forward the findings to the appropriate administrator to use in making final salary decisions. All salary determination processes must be nondiscriminatory. Individuals who fail to submit materials will not be reviewed by the merit committees and will not be considered for pay increases.

For Tenured and Probationary Tenure-Track Faculty Members

The criteria against which performance is rated are the general criteria for promotion and tenure as outlined in section 7.11 of the University's Tenure Code and the departmental statement of indices and standards for evaluating candidates at each rank (as required by section 7.12 of the Tenure Code). The evaluation will be based on information provided by the individual to the Merit Review Committee and may take into consideration special objectives agreed upon for the academic year. The Merit Review Committee will be appointed by the Consultative Committee in accord with the procedures outlined below.

For Faculty Members Not on a Tenure Track (e.g. Education Specialists)

The criteria against which performance is rated are the criteria for appointment and evaluation of education specialists. The evaluation will be based on information provided by the individual to a merit review committee of peers and may take into consideration special objectives agreed upon for the academic year. The merit committee will be appointed by the Associate Dean in accord with the procedures outlined below.

Merit Review Procedures

Merit review for the School of Nursing is governed by the Merit Review Policy.

Merit Committee Purpose Statement

Merit committees provide a vehicle for recognizing the contributions of individuals to the missions (teaching, research, and service) of the School and the University. The merit committee provide a peer review perspective and holistic judgment in the context of academic freedom, and with commitments to both diversity and excellence in faculty achievements.

The functions of the Merit Committee are to:

1. Rate each regular faculty member's contributions to the missions of the School of Nursing and the University within a designated time
2. Make merit recommendations to the Dean based on the peer review
3. Track the pattern of Merit Committee recommendations as compared to the merit-based salary increases awarded to individuals

Committee Membership and Appointment

The Merit Review Committee for tenured and Probationary Tenure-Track faculty is appointed by the Consultative Committee for two-year terms. Terms of committee members are staggered to permit continuity from one year to the next. Members include one person representing each rank.

The Academic Professional Merit Review Committee is appointed by the Associate Dean in consultation with the Academic Professional Coordinating Council for two-year terms. Terms of committee members are staggered to permit continuity from one year to the next. Members include representatives of each of the major types and levels of individuals being reviewed.

Information Requested of the Faculty Member

Each spring, faculty members will submit the following to their division heads:

1. two copies of an updated CV; in one copy, activities of the current year are to be highlighted (Note: individuals whose CVs are not highlighted will not be reviewed),
2. a cover letter of no more than two pages briefly describing major accomplishments with sufficient detail to explain why merit recognition and reward are earned, and
3. a one-page summary report of student evaluations of 1 or more courses taught since the last annual review.

Information Requested of the School of Nursing Administration

For the period being reviewed, the school's administrators are asked to provide to the merit committees information concerning:

1. Appointment type (A or B term)
2. Year on tenure track where relevant
3. Allocation of workload (percent effort) for teaching, research, service, grant-supported activities, and special assignments
4. Assigned courses (credits, enrollments, and percent responsibility)
5. Number and level of students advised and whether research or academic advisees
6. TA/RA support not funded by the faculty member's extramural grant(s)

Review Process

Materials submitted by the faculty member are reviewed by the Merit Review Committee (appointed by the Consultative Committee) or the Academic Professional Merit Review Committee (appointed by the Associate Dean in consultation with the Academic Professional Coordinating Council).

Merit committee members assign one of the ratings discussed in the section on definitions. These ratings are forwarded to the Dean. The committees will give the General Assembly a summary of the merit ratings. They will provide individual feedback to the individuals reviewed.

Members of the administration rate faculty on each of the missions applying the same criteria and standards used by the Merit Committee. On occasion administrators may give more weight to one of the three missions because a faculty member has established goals to concentrate on that mission for the year or has had heavier than usual assignments in a particular mission area.

Following the allocation of salary increases, the school's administrators are asked to provide a blinded summary comparing the ratings of the merit committees with those of the administrators and giving the percentage salary adjustment awarded.

Definitions and Assumptions for
Tenured and Probationary Tenure-Track Faculty

Definitions

For purposes of review for merit-based salary increases, merit is defined as a subjective, holistic judgment of the quality of an individual's contribution to the missions (teaching, scholarship and service) of the School of Nursing and the University within a designated time. Two levels of merit are differentiated: Meritorious Contribution and Exceptional Meritorious Contribution. A third category is identified for contributions that are neither meritorious nor exceptionally meritorious.

Exceptionally meritorious contribution is outstanding achievement in meeting expectations of regular faculty members at a given academic rank during a designated time. The outstanding contribution must be to at least one mission of the School of Nursing and the University, with commendable contribution to each of the other missions. Regular faculty members who are judged to have made exceptional meritorious contributions earn monetary rewards greater than that given to those who are judged to have made meritorious contributions.

Meritorious contribution is commendable achievement in meeting the expectations of regular faculty members at a given academic rank during a designated time. The contribution must be toward all three missions (teaching, scholarship and service) of the School of Nursing and the University. Regular faculty members who are judged to have made meritorious contributions earn salary increases.

Neither meritorious nor exceptionally meritorious contribution refers to contributions that do not meet the criteria for either merit category.

1. As indicated in the definition, a determination of merit is a subjective, holistic judgment of the quality of an individual's contribution. Determination of merit is not an objective judgment based on a sum of activities, number of publications, etc.

2. Regular faculty members who make meritorious contributions to all three missions of the School of Nursing and the University earn salary increases. Regular faculty members who make exceptional meritorious contributions earn monetary rewards greater than that given to those who make meritorious contributions.

3. A merit judgment is more norm-referenced than criterion-referenced, and the norm is high ability, hard-working individuals who fulfill their faculty roles and responsibilities.

4. General expectations for regular faculty contributions to each mission (teaching, scholarship, and service) at each academic rank serve as guidelines, not standards for judging merit.

5. Regular faculty members who are on sabbatical leaves or LOAs likely will not have opportunities to contribute to all three missions of the School of Nursing and University. Therefore, these faculty members will be reviewed for merit salary increases by School of Nursing administrators rather than by the Merit Committee.

Definitions and Assumptions for Faculty Members Not on a Tenure Track

Definitions

To be considered for merit, faculty members not on a tenure track (e.g. Education Specialists) must be performing satisfactorily as specified in their

contracts. For purposes of review for merit based salary increases, merit is defined as a subjective, holistic judgment of the quality of an individual's contribution to the missions (teaching, scholarship and service) of the School of Nursing and the University within a designated time. Two levels of merit are differentiated: Meritorious Contribution and Exceptional Meritorious Contribution. A third category is identified for contributions that are neither meritorious nor exceptionally meritorious.

Exceptionally meritorious contribution is outstanding achievement in meeting expectations of faculty members not on a tenure track at a given classification level during a designated time. The outstanding contribution may be in any one or more of the three missions of the School of Nursing and the University. Individuals who are judged to have made exceptional meritorious contributions earn monetary rewards greater than that given to those who are judged to have made meritorious contributions.

Meritorious contribution is commendable achievement in meeting the expectations of faculty members not on a tenure track at a given class title during a designated time. The contribution must be toward any one of the three missions (teaching, scholarship and service) of the School of Nursing and the University. Because most faculty members not on a tenure track are employed to serve the teaching mission of the school, scholarship and service activities (including school governance) will be recognized for merit to the extent that such activities support the educational mission or are specified in the contractual agreement with the school. To be recognized, other types of scholarship and service should have been agreed upon at the beginning of the year by the faculty member and division head. Individuals who are judged to have made meritorious contributions earn salary increases.

Neither meritorious nor exceptionally meritorious contribution refers to contributions that do not meet the criteria for either merit category.

Assumptions

1. As indicated in the definition, a determination of merit is a subjective, holistic judgment of the quality of an individual's contribution. Determination of merit is not an objective judgment based on a sum of activities, number of publications, etc.
2. A merit judgment is more norm-referenced than criterion-referenced, and the norm is high ability, hard-working individuals who fulfill their faculty roles and responsibilities.

May 21, 1999

Responding to the message of <200001251723.LAA04467@mailbox.mail.umn.edu>
from "University Senate" <senate@mailbox.mail.umn.edu>:

>
> TO: AHC Department Chairs/Heads
>
> FROM: AHC Finance and Planning Committee
>
> RE: Reminder to Respond to the Questionnaire Regarding Annual Merit Salary
> Determination
>
> This message serves as a reminder that if you have not completed and
> returned the questionnaire regarding annual merit salary determination that
> was sent to you electronically on January 5 you should do so before the
> January 31 deadline.
>
>
> *****

*
> University Senate Phone: 612-625-9369
> 427 Morrill Hall Fax: 612-626-1609
> 100 Church St SE E-mail: senate@mailbox.mail.umn.edu
> Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate
>
>
> .

Sandra R. Edwardson, PhD, RN
Professor and Dean
School of Nursing
University of Minnesota
6-101 Weaver-Densford Hall
308 Harvard St. S.E.
Minneapolis, MN 55455

entered by UC

From: "Dr. Trevor Ames" <amesx001@maroon.tc.umn.edu>
Date: Wed, 05 Jan 2000 17:15:27 -0600
To: "University Senate" <senate@mailbox.mail.umn.edu>
Subject: Re: Cover letter + survey

At 11:41 AM 1/5/00 -0600, you wrote:

>January 5, 2000

>
>TO: Department Chairs/Heads, University of Minnesota Academic
> Health Center
>
>FROM: Academic Health Center Finance and Planning Committee:
> Timothy Church, Kathryn Dusenbery, Daniel Feeney
> (Chair),
> Katherine Johnston (ex officio), Michael Speidel, Patricia
> Tomlinson, and Carol Wells
>
>RE: Questionnaire about annual merit salary determination
> processes in your department
>
>

>In an effort to determine how merit salary awards are calculated across the
>individual departments in the Academic Health Center (AHC), the AHC Finance &
>Planning Committee are asking for your cooperation. We have designed a
>questionnaire that we hope addresses the issues brought to us by the
>faculty.

>Concerns have been raised about how salary increase dollars are distributed
>including things described as inequities, delays, favoritism, incomplete
>information, and obfuscation. To avoid undue speculation, there is no
>substitute
>for the facts. It is in the interest of obtaining data that this
>questionnaire
>was developed and is being sent to you.

>
>To respond electronically, complete the questionnaire and press the
>"reply" key
>to (senate@mailbox.mail.umn.edu). If you prefer to respond via US/campus
>mail,
>forward the questionnaire to:

>
>Ms. Vickie Courtney
>University Senate
>427 Morrill Hall,
>100 Church Street, SE
>Minneapolis, MN 55455
>

>We're asking that the questionnaire be returned before January 31, 2000.
>The information received will be collated and the results will be published
>in the "Academic Health Center Newsletter". If no response is received,
>you will be contacted ONCE to be sure there has been no unintentional
>oversight. All AHC Departments will be listed with their responses to each
>of the enclosed questions displayed. For those chairs/heads who do not
>respond, a "no response" will be placed next to that question for that
>department in the published materials. There is great interest in this
>data by Senior Vice President Frank Cerra and Associate Vice President
>Katherine Johnston and this effort has their support. Dr. Cerra sent a
>letter to the AHC Deans on 10/21/99 informing them this process was
>occurring.

>Thank you for your cooperation.
>
>

>*****
>AHC MERIT PROCESS QUESTIONNAIRE
>from the Academic Health Center Finance and Planning Committee

>
>
>This questionnaire is an inquiry regarding the processes involved with merit
>evaluation and annual salary determination across the Academic Health Center
>(AHC). Concerns about 1) the processes of individual faculty merit
>evaluations
>2) the determination of annual faculty merit salary awards, and 3) the
>timeliness of implementation of faculty raises have been brought to the
>attention of the AHC Finance & Planning Committee. Questions below are
>grouped
>by related issues and are intended to assess the status of compensation
>policy
>compliance within the AHC.

>
>1. Does your department use an elected, peer evaluation group to conduct
>the
>faculty merit
>evaluations? _____ Yes

> No

> If you answered "no", please explain your process(es).

>
>There are six subcommittees who perform peer review of faculty in the
>following six areas:

1)DVM Teaching, 2)Graduate Student Teaching and House Officer Mentoring,
3)Research and Scholarly Work, 4)Clinical Service, 5)Outreach, 6)University
and Professional Service

The Chair in consultation with the 6 Division Heads within the Department
appoints 4 faculty to each subcommittee and chooses a chair for each
subcommittee. The subcommittees review the appropriate section of the
faculties annual report of accomplishments and determine the merit score
for that section.

>2. Does the department chair/head participate in the deliberations of the
>elected, peer evaluation group during faculty merit
>evaluations?

> _____ Yes _____x_____ No

> If you answered "no", please explain your process(es).

>
>The Chair reviews the documents separately and assigns his(her) own merit
>score for each of the 6 areas. The Chairs score counts 25% and the
>subcommittees scores count 75%.

>
>3. Does the department chair/head collate scores from the elected,
>peer
>evaluation group during the faculty merit evaluations?

> _____x_____ Yes _____ No

> If you answered "no", please explain your process(es).

>
>4. Does the department chair/head render an evaluation during the faculty
>merit
>evaluations?

> _____x_____ Yes _____ No

> If you answered "no", please explain your process(es).

> If you answered "yes", please explain the relative

> weighting of the

> chair's/head's score to that of the faculty peer review committee.

>

>Chair 25% and peer review scores 75%

>
>
>
>5. Does the department have a formal compensation/merit evaluation
>policy?

> _____x_____ Yes

> _____ No

> If you answered "no", please explain your process(es).

>
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>
>6. Does your department annually vote on the process(es) and criteria for
>faculty merit evaluations?

> _____ Yes

> ___x___ No

> If you answered "no", please explain what you do.

>
>The process is reviewed annually with both the division heads and the the
>faculty at a department meeting and input is requested, but formal votes
>are conducted only to approve significant changes to the merit review document.

>
>
>
>
>7. Who makes the final decision on the actual amount of merit pay awarded in
>faculty merit evaluations?

> _____ Faculty
> peer ___x___ Chair/Head _____ Other
> Merit

> Committee (please define)

> If you answered "Chair/Head" or "Other", please explain

> how merit

>evaluation scores from the faculty peer evaluation group are used in your
>process(es).

>
>The merit scores of the Chair and the subcommittees for each of the 6
>areas are multiplied times the % effort allocation of the faculty in that
>area. The % effort allocation of the faculty at each area is determined
>at an annual meeting between the faculty member and the chair.
>This merit score is then used to determine the \$ raise.

>
>
>8. Does the available pool (not the source) of dollars available for annual
>faculty merit distribution vary depending on how a faculty member's
>appointment
>is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

> _____ Yes

> ___x___ No

> If you answered "yes", please explain what occurs.

>
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>
>9. Are the faculty aware of the available pool of money to be allocated to
>merit
>salary increases in this department? [e.g. dollars as a % of current pay,
>gross
>dollars, etc.]

> ___x___ Yes _____ No

> If you answered "no", please explain what they are told
> about available \$.

>

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>10. Does the presence of a research grant containing salary dollars influence
>what might be available for awarding to individual faculty at annual merit
>distribution deliberations? [e.g. 3% average increase suggested by central
>administration, but grant contains 2% or 4% increase on that portion of the
>involved individual's salary]

> _____ Yes

> No

> If you answered "yes", please explain what occurs.

>
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>11. Does the presence of a practice plan influence what might be available
>for
>awarding to individual faculty at annual merit distribution deliberations?
>[e.g. Is the % of an individual's appointment that is assigned to
>clinical
>practice/service treated similarly to what has been suggested by
>central
>administration (? 3%) or are practice dollars awarded strictly on the
>basis of
>income generation?]

> _____ Yes

> No

> If you answered "yes", please explain what occurs.

>
>
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>
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>
>
>12. Do monies generated from clinical practice endeavors go into the
>academic
>department and potentially into a merit pool involving those faculty not
>engaged
>in clinical practice?

> _____ Yes

> No

> If you answered "yes", please explain what occurs.

>
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>
>13. Do the faculty in the department get a report on how available merit pool
>dollars were distributed (obviously not specifically to whom, but in the
>anonymous sense "how many faculty got what % raise)?

> _____ Yes

> No

> If you answered "no", please explain what occurs.

>
>Average merit scores and ranges are given to faculty with their merit
>scores, but the amount of raises is not distributed .

>
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>
>14. Is the goal to award an "average" of the annually specified percent (as
>determined by Central Administration) to an individual's total
>faculty salary

> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +
> (? % practice plan\$) = 100% merit increase]?

> Yes

> No

> If you answered "no", please explain your process(es).

> >15. Do you have any "incentive pay" or annual productivity bonuses that are
> awarded to faculty?

> Yes

> No

> If you answered "yes", please explain how these work.

> >Bonuses are given for teaching excellence and incentives are given to
> hospital clinicians based on hospital income.

> >16. Are you aware of the Faculty Compensation Policy and what it says
> about how
> annual merit evaluations and salary determinations are to be
> conducted?

> Yes

> No

> >17. Do you as Department Chair/Head meet with your faculty individually to
> explicitly discuss their merit evaluation and to agree upon mutual
> expectations
> for the following academic year?

> Yes

> No

> If you answered "no", please explain how merit
> scores are explained and how
> expectations, workloads, etc. are agreed-upon in your department.

> >18. Do you as Department Chair/Head use a criteria-based formula to calculate
> merit scores for individual faculty?

> Yes

> No

> a. If you answered "yes", please indicate the scoring system and
> explain
> whether or not it is weighted by % effort in specific areas (e.g.
> teaching,
> research, service, outreach, administration...).

> >See above

> b. If you answered "yes", please indicate whether the scoring
> system is
> weighted by faculty rank (e.g. merit points are worth proportionally more
> at

>higher ranks).

>no

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> c. If you answered "no", please indicate how you handle merit scores.

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>19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g.

>dollars

>from the available pool regardless of annual salary), some combination of

>% and

>raw \$, or some other method other?

> _____ % of _____ raw \$ _____x_____ raw &

> % _____ Other

> salary _____ from pool

>

> Please explain your process(es).

>

>

>

>50% of \$ on a % basis and 50% on a raw\$ basis

>

>

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>20. When and how do you communicate the faculty member's annual

>salary

>incremental increase (or the lack thereof) to individual faculty in

>your

>department?

>

>First faculty are informed of merit scores and secondly they are informed

>of the actual raise.

>

>

>

>21. When did the merit salary increases for your tenured and tenure-track

>faculty become effective in your department this year? (e.g. When did your

>faculty see the difference in their gross pay?)

>

> Specify month and year the raises for 1999-2000 FY became

> effective.

>July-15-1999

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>22. Are there any problems with the Faculty Compensation Policy that you feel

>should be addressed by the Senate Committee on Faculty Affairs and/or the

>Faculty Senate?

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>
>Thank you for your cooperation!

>
>Please return this questionnaire to:

>
>senate@mailbox.mail.umn.edu

>
>or

>
>Ms. Vickie Courtney
>427 Morrill Hal,
>100 Church Street SE
>Minneapolis, MN 55455

>
>By 1/31/00

>
>cc: AHC Deans

>
>
>
>
>
>*****

>University Senate Phone: 612-625-9369
>427 Morrill Hall Fax: 612-626-1609
>100 Church St SE E-mail: senate@mailbox.mail.umn.edu
>Minneapolis, MN 55455 Web: <http://www1.umn.edu/usenate>

Trevor R. Ames DVM MS
Diplomate ACVIM
Professor and Chair
Department of Clinical and Population Sciences
College of Veterinary Medicine
University of Minnesota
1365 Gortner Ave
St. Paul, MN 55108
ph-612-625-7791
fax-612-625-6241
Email-amesx001@maroon.tc.umn.edu

From: "Kathleen M. McLaughlin" <mclau020@tc.umn.edu>
Date: Tue, 25 Jan 2000 15:21:50 -0600
To: "University Senate" <senate@mailbox.mail.umn.edu>
Subject: Re: Reminder for Questionnaire Regarding Annual Merit Salary Determination

I was advised by the dean that it was not appropriate for me to participate in this process. Thank you.

-----Original Message-----

From: University Senate <senate@mailbox.mail.umn.edu>
To: Mark V Dahl <dahlx003@maroon.tc.umn.edu>; Joseph Di Salvo <Joseph.Di-Salvo-1@tc.umn.edu>; David L Dunn <dunnx002@maroon.tc.umn.edu>; Kathryn E Dusenbery <dusen001@tc.umn.edu>; Dennis D Dykstra <dykst001@maroon.tc.umn.edu>; faras@gene.med.umn.edu <faras@gene.med.umn.edu>; Leo T Furcht <furch001@maroon.tc.umn.edu>; ashley@lenti.med.umn.edu <ashley@lenti.med.umn.edu>; John C Hulbert <hulbe001@maroon.tc.umn.edu>; Jay H Krachmer <krach001@maroon.tc.umn.edu>; Robert E Maxwell <maxwe001@maroon.tc.umn.edu>; James H Moller <molle002@maroon.tc.umn.edu>; Linda C Campbell <campb013@maroon.tc.umn.edu>; polla@tc.umn.edu <polla@tc.umn.edu>; William M Thompson <thomp003@tc.umn.edu>; twigg001@tc.umn.edu <twigg001@tc.umn.edu>; Susan B Foote <foote003@tc.umn.edu>; P Jane Armstrong <armst002@maroon.tc.umn.edu>; Jeffrey S Klausner <klaus001@tc.umn.edu>; Samuel K Maheswaran <mahes001@maroon.tc.umn.edu>; Kathleen M McLaughlin <mclau020@tc.umn.edu>; Donald C Plumb <dcplumb@maroon.tc.umn.edu>; Gary C Anderson <ander018@maroon.tc.umn.edu>; Leslie V Martens <marte001@tc.umn.edu>; William H Douglas <dougl001@maroon.tc.umn.edu>; aseverso@d.umn.edu <aseverso@d.umn.edu>; gdavis1@d.umn.edu <gdavis1@d.umn.edu>; lwittmer@d.umn.edu <lwittmer@d.umn.edu>; bcrouse@d.umn.edu <bcrouse@d.umn.edu>; olukasew@d.umn.edu <olukasew@d.umn.edu>; path@d.umn.edu <path@d.umn.edu>; reisenbe@d.umn.edu <reisenbe@d.umn.edu>; rziegler@d.umn.edu <rziegler@d.umn.edu>
Cc: Katherine M Johnston <johns826@tc.umn.edu>; Frank B Cerra <cerra001@maroon.tc.umn.edu>; courtney@mailbox.mail.umn.edu <courtney@mailbox.mail.umn.edu>; ahcfp@mailbox.mail.umn.edu <ahcfp@mailbox.mail.umn.edu>; Bonnie J McCallum <mccal002@tc.umn.edu>; edwardso@mailbox.mail.umn.edu <edwardso@mailbox.mail.umn.edu>; Marilyn K Speedie <speed001@tc.umn.edu>; leyasmey@mailbox.mail.umn.edu <leyasmey@mailbox.mail.umn.edu>; Alfred F Michael <micha003@tc.umn.edu>
Date: Tuesday, January 25, 2000 11:24 AM
Subject: Reminder for Questionnaire Regarding Annual Merit Salary Determination

>TO: AHC Department Chairs/Heads
>
>FROM: AHC Finance and Planning Committee
>
>RE: Reminder to Respond to the Questionnaire Regarding Annual Merit Salary
>Determination

>
>This message serves as a reminder that if you have not completed and
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>
>
>*****
>University Senate Phone: 612-625-9369
>427 Morrill Hall Fax: 612-626-1609
>100 Church St SE E-mail: senate@mailbox.mail.umn.edu
>Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate

>
>

From: [REDACTED] <bjork010@maroon.tc.umn.edu>
Date: Thu, 06 Jan 2000 16:42:14 -0600
To: "University Senate" <senate@mailbox.mail.umn.edu>
Subject: Re: Cover letter + survey

Vickie - The survey below does not apply to my area (Student Affairs Veterinary Medicine) as all other employees in the department are civil service.

Larry Bjorklund, Director, Student Affairs and Admissions, Veterinary Medicine.

At 11:41 AM 1/5/00 -0600, you wrote:

>
>January 5, 2000
>
>TO: Department Chairs/Heads, University of Minnesota Academic
> Health Center
>
>FROM: Academic Health Center Finance and Planning Committee:
> Timothy Church, Kathryn Dusenbery, Daniel Feeney (Chair),
> Katherine Johnston (ex officio), Michael Speidel, Patricia
> Tomlinson, and Carol Wells
>
>RE: Questionnaire about annual merit salary determination
> processes in your department
>
>
>In an effort to determine how merit salary awards are calculated across the
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>Concerns have been raised about how salary increase dollars are distributed
>including things described as inequities, delays, favoritism, incomplete
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>for the facts. It is in the interest of obtaining data that this
questionnaire
>was developed and is being sent to you.
>
>To respond electronically, complete the questionnaire and press the
"reply" key
>to (senate@mailbox.mail.umn.edu). If you prefer to respond via US/campus
mail,
>forward the questionnaire to:
>
>Ms. Vickie Courtney
>University Senate
>427 Morrill Hall,
>100 Church Street, SE
>Minneapolis, MN 55455
>
>We're asking that the questionnaire be returned before January 31, 2000.
>The information received will be collated and the results will be published
>in the "Academic Health Center Newsletter". If no response is received,
>you will be contacted ONCE to be sure there has been no unintentional
>oversight. All AHC Departments will be listed with their responses to each
>of the enclosed questions displayed. For those chairs/heads who do not
>respond, a "no response" will be placed next to that question for that
>department in the published materials. There is great interest in this
>data by Senior Vice President Frank Cerra and Associate Vice President

>Katherine Johnston and this effort has their support. Dr. Cerra sent a
>letter to the AHC Deans on 10/21/99 informing them this process was
>occurring.

>
>Thank you for your cooperation.

>
>
>*****

>AHC MERIT PROCESS QUESTIONNAIRE

>from the Academic Health Center Finance and Planning Committee

>
>This questionnaire is an inquiry regarding the processes involved with merit
>evaluation and annual salary determination across the Academic Health Center
>(AHC). Concerns about 1) the processes of individual faculty merit
evaluations

>2) the determination of annual faculty merit salary awards, and 3) the
>timeliness of implementation of faculty raises have been brought to the
>attention of the AHC Finance & Planning Committee. Questions below are
grouped

>by related issues and are intended to assess the status of compensation
policy

>compliance within the AHC.

>
>1. Does your department use an elected, peer evaluation group to conduct
the

>faculty merit evaluations? _____ Yes _____ No

> If you answered "no", please explain your process(es).

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>
>2. Does the department chair/head participate in the deliberations of the
>elected, peer evaluation group during faculty merit evaluations?

> _____ Yes _____ No

> If you answered "no", please explain your process(es).

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>3. Does the department chair/head collate scores from the elected, peer
>evaluation group during the faculty merit evaluations?

> _____ Yes _____ No

> If you answered "no", please explain your process(es).

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>4. Does the department chair/head render an evaluation during the faculty
merit
>evaluations?

> _____ Yes _____ No

> If you answered "no", please explain your process(es).

> If you answered "yes", please explain the relative weighting of the

> chair's/head's score to that of the faculty peer review committee.

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>5. Does the department have a formal compensation/merit evaluation policy?

> _____ Yes _____ No

> If you answered "no", please explain your process(es).
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>6. Does your department annually vote on the process(es) and criteria for
>faculty merit evaluations?
> _____ Yes _____ No
> If you answered "no", please explain what you do.
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>
>7. Who makes the final decision on the actual amount of merit pay awarded in
>faculty merit evaluations?
> _____ Faculty peer _____ Chair/Head _____ Other
> _____ Merit Committee _____ (please define)
> If you answered "Chair/Head" or "Other", please explain how merit
>evaluation scores from the faculty peer evaluation group are used in your
>process(es).
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>8. Does the available pool (not the source) of dollars available for annual
>faculty merit distribution vary depending on how a faculty member's
>appointment
>is funded? [e.g. state \$, grant \$, clinic income \$, other \$]
> _____ Yes _____ No
> If you answered "yes", please explain what occurs.
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>9. Are the faculty aware of the available pool of money to be allocated to
>merit
>salary increases in this department? [e.g. dollars as a % of current pay,
>gross
>dollars, etc.]
> _____ Yes _____ No
> If you answered "no", please explain what they are told about available \$.
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>
>10. Does the presence of a research grant containing salary dollars
>influence
>what might be available for awarding to individual faculty at annual merit
>distribution deliberations? [e.g. 3% average increase suggested by central
>administration, but grant contains 2% or 4% increase on that portion of the
>involved individual's salary]
> _____ Yes _____ No
> If you answered "yes", please explain what occurs.
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>
>11. Does the presence of a practice plan influence what might be available

for

>awarding to individual faculty at annual merit distribution deliberations?

>[e.g. Is the % of an individual's appointment that is assigned to clinical

>practice/service treated similarly to what has been suggested by central

>administration (? 3%) or are practice dollars awarded strictly on the

basis of

>income generation?]

> _____ Yes _____ No

> If you answered "yes", please explain what occurs.

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>12. Do monies generated from clinical practice endeavors go into the
>academic

>department and potentially into a merit pool involving those faculty not
>engaged

>in clinical practice?

> _____ Yes _____ No

> If you answered "yes", please explain what occurs.

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>13. Do the faculty in the department get a report on how available merit
>pool

>dollars were distributed (obviously not specifically to whom, but in the
>anonymous sense "how many faculty got what % raise)?

> _____ Yes _____ No

> If you answered "no", please explain what occurs.

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>

>14. Is the goal to award an "average" of the annually specified percent (as
>determined by Central Administration) to an individual's total faculty
>salary

> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +

> (? % practice plan\$) = 100% merit increase]?

> _____ Yes _____ No

> If you answered "no", please explain your process(es).

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>15. Do you have any "incentive pay" or annual productivity bonuses that are
>awarded to faculty?

> _____ Yes _____ No

> If you answered "yes", please explain how these work.

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>16. Are you aware of the Faculty Compensation Policy and what it says
>about how

>annual merit evaluations and salary determinations are to be conducted?

> _____ Yes _____ No

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>17. Do you as Department Chair/Head meet with your faculty individually to
>explicitly discuss their merit evaluation and to agree upon mutual
>expectations

>for the following academic year?

> _____ Yes _____ No

> If you answered "no ", please explain how merit scores are explained and
>how

>expectations, workloads, etc. are agreed-upon in your department.

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>18. Do you as Department Chair/Head use a criteria-based formula to
>calculate

>merit scores for individual faculty?

> _____ Yes _____ No

> a. If you answered "yes", please indicate the scoring system and explain

>whether or not it is weighted by % effort in specific areas (e.g.
>teaching,
>research, service, outreach, administration...).

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> b. If you answered "yes", please indicate whether the scoring system is

>weighted by faculty rank (e.g. merit points are worth proportionally more
>at
>higher ranks).

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> c. If you answered "no", please indicate how you handle merit scores.

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>19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g.
>dollars

>from the available pool regardless of annual salary), some combination of
>% and

>raw \$, or some other method other?

> _____ % of _____ raw \$ _____ raw & % _____ Other
> _____ salary _____ from pool

> Please explain your process(es).

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>20. When and how do you communicate the faculty member's annual salary
>incremental increase (or the lack thereof) to individual faculty in your
>department?

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>21. When did the merit salary increases for your tenured and tenure-track
>faculty become effective in your department this year? (e.g. When did your
>faculty see the difference in their gross pay?)

> Specify month and year the raises for 1999-2000 FY became effective.

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>22. Are there any problems with the Faculty Compensation Policy that you
feel
>should be addressed by the Senate Committee on Faculty Affairs and/or the
>Faculty Senate?

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>Thank you for your cooperation!
>
>Please return this questionnaire to:

>senate@mailbox.mail.umn.edu

>or

>Ms. Vickie Courtney
>427 Morrill Hall,
>100 Church Street SE
>Minneapolis, MN 55455

>By 1/31/00

>cc: AHC Deans

>*****

>University Senate Phone: 612-625-9369
>427 Morrill Hall Fax: 612-626-1609

entered by VC

From: "James Collins" <colli002@tc.umn.edu>
Date: Thu, 6 Jan 2000 07:33:56 -0600
To: "University Senate" <senate@mailbox.mail.umn.edu>
Cc: "Sagar Goyal" <goyal001@maroon.tc.umn.edu>
Subject: Re: Cover letter + survey

To whom it may concern.

The faculty salaries in the Veterinary Diagnostic Laboratory are determined according to the guidelines and policies of the faculty member's academic department. The Director of the Veterinary Diagnostic Laboratory provides input to the appropriate Chair. Please refer to the annual merit salary guidelines provided to you by the Departments of Veterinary Diagnostic Medicine and Veterinary Pathobiology.

Thank you.

Jim Collins, Director
Veterinary Diagnostic Laboratory

----- Original Message -----

From: University Senate <senate@mailbox.mail.umn.edu>
To: George L Adams <adams002@maroon.tc.umn.edu>; Mark V Dahl <dahlx003@maroon.tc.umn.edu>; Joseph Di Salvo <Joseph.Di-Salvo-1@tc.umn.edu>; <dunnx00@tc.umn.edu>; Kathryn E Dusenbery <dusen001@tc.umn.edu>; Dennis D Dykstra <dykst001@maroon.tc.umn.edu>; Timothy J Ebner <ebner001@maroon.tc.umn.edu>; <faras@gene.med.umn.edu>; Leo T Furcht <furch001@maroon.tc.umn.edu>; <ashley@lenti.med.umn.edu>; John C Hulbert <hulbe001@maroon.tc.umn.edu>; <jacot001@tc.umn.edu>; Jay H Krachmer <krach001@maroon.tc.umn.edu>; Horace H Loh <lohxx001@maroon.tc.umn.edu>; Charles F Louis <louis003@maroon.tc.umn.edu>; Robert E Maxwell <maxwe001@maroon.tc.umn.edu>; James H Moller <molle002@maroon.tc.umn.edu>; Richard J Palahniuk <palah001@maroon.tc.umn.edu>; Linda C Campbell <campb013@maroon.tc.umn.edu>; <polla@tc.umn.edu>; Jonathan I Ravdin <Jonathan.I.Ravdin-1@tc.umn.edu>; Sellmann C Schulz <scs@tc.umn.edu>
Sent: Wednesday, January 05, 2000 11:41 AM
Subject: Cover letter + survey

>
> January 5, 2000
>
> TO: Department Chairs/Heads, University of Minnesota Academic
> Health Center
>
> FROM: Academic Health Center Finance and Planning Committee:
> Timothy Church, Kathryn Dusenbery, Daniel Feeny (Chair),
> Katherine Johnston (ex officio), Michael Speidel, Patricia
> Tomlinson, and Carol Wells
>
> RE: Questionnaire about annual merit salary determination
> processes in your department
>
>
> In an effort to determine how merit salary awards are calculated across
> the
> individual departments in the Academic Health Center (AHC), the AHC
> Finance &
> Planning Committee are asking for your cooperation. We have designed a
> questionnaire that we hope addresses the issues brought to us by the
> faculty.
> Concerns have been raised about how salary increase dollars are
> distributed
> including things described as inequities, delays, favoritism, incomplete
> information, and obfuscation. To avoid undue speculation, there is no
> substitute

> for the facts. It is in the interest of obtaining data that this questionnaire
> was developed and is being sent to you.
>
> To respond electronically, complete the questionnaire and press the "reply" key
> to (senate@mailbox.mail.umn.edu). If you prefer to respond via US/campus mail,
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> department in the published materials. There is great interest in this
> data by Senior Vice President Frank Cerra and Associate Vice President
> Katherine Johnston and this effort has their support. Dr. Cerra sent a
> letter to the AHC Deans on 10/21/99 informing them this process was
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> Thank you for your cooperation.

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> AHC MERIT PROCESS QUESTIONNAIRE
> from the Academic Health Center Finance and Planning Committee

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> evaluation and annual salary determination across the Academic Health
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> (AHC). Concerns about 1) the processes of individual faculty merit
> evaluations
> 2) the determination of annual faculty merit salary awards, and 3) the
> timeliness of implementation of faculty raises have been brought to the
> attention of the AHC Finance & Planning Committee. Questions below are
> grouped
> by related issues and are intended to assess the status of compensation
> policy
> compliance within the AHC.

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> 1. Does your department use an elected, peer evaluation group to conduct
> the
> faculty merit evaluations? _____ Yes _____ No
> If you answered "no", please explain your process(es).

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> 2. Does the department chair/head participate in the deliberations of the
> elected, peer evaluation group during faculty merit evaluations?
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> If you answered "no", please explain your process(es).

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> 3. Does the department chair/head collate scores from the elected, peer
> evaluation group during the faculty merit evaluations?
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merit
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> If you answered "yes", please explain the relative weighting of the
> chair's/head's score to that of the faculty peer review committee.
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> 5. Does the department have a formal compensation/merit evaluation policy?
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> 6. Does your department annually vote on the process(es) and criteria for
> faculty merit evaluations?
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> 7. Who makes the final decision on the actual amount of merit pay awarded
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> _____ Faculty peer _____ Chair/Head _____ Other
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> If you answered "Chair/Head" or "Other", please explain how merit
> evaluation scores from the faculty peer evaluation group are used in your
> process(es).
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> 8. Does the available pool (not the source) of dollars available for
annual
> faculty merit distribution vary depending on how a faculty member's
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> is funded? [e.g. state \$, grant \$, clinic income \$, other \$]
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> If you answered "yes", please explain what occurs.
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> 9. Are the faculty aware of the available pool of money to be allocated to merit
> salary increases in this department? [e.g. dollars as a % of current pay, gross
> dollars, etc.]
> _____ Yes _____ No
> If you answered "no", please explain what they are told about available \$.
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> 10. Does the presence of a research grant containing salary dollars influence
> what might be available for awarding to individual faculty at annual merit
> distribution deliberations? [e.g. 3% average increase suggested by central
> administration, but grant contains 2% or 4% increase on that portion of the
> involved individual's salary]
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> If you answered "yes", please explain what occurs.
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> 11. Does the presence of a practice plan influence what might be available for
> awarding to individual faculty at annual merit distribution deliberations?
> [e.g. Is the % of an individual's appointment that is assigned to clinical
> practice/service treated similarly to what has been suggested by central
> administration (? 3%) or are practice dollars awarded strictly on the basis of
> income generation?]
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> 12. Do monies generated from clinical practice endeavors go into the academic
> department and potentially into a merit pool involving those faculty not engaged
> in clinical practice?
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> If you answered "yes", please explain what occurs.
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> 13. Do the faculty in the department get a report on how available merit pool
> dollars were distributed (obviously not specifically to whom, but in the
> anonymous sense "how many faculty got what % raise)?
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> If you answered "no", please explain what occurs.
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> 14. Is the goal to award an "average" of the annually specified percent
(as
> determined by Central Administration) to an individual's total faculty
salary
> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +
> (? % practice plan\$) = 100% merit increase]?
> _____ Yes _____ No
> If you answered "no", please explain your process(es).

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> 15. Do you have any "incentive pay" or annual productivity bonuses that
are
> awarded to faculty?
> _____ Yes _____ No
> If you answered "yes", please explain how these work.

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> 16. Are you aware of the Faculty Compensation Policy and what it says
about how
> annual merit evaluations and salary determinations are to be conducted?
> _____ Yes _____ No

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> 17. Do you as Department Chair/Head meet with your faculty individually to
> explicitly discuss their merit evaluation and to agree upon mutual
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> for the following academic year?
> _____ Yes _____ No
> If you answered "no ", please explain how merit scores are explained and
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> expectations, workloads, etc. are agreed-upon in your department.

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> 18. Do you as Department Chair/Head use a criteria-based formula to
calculate
> merit scores for individual faculty?
> _____ Yes _____ No
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> a. If you answered "yes", please indicate the scoring system and explain
> whether or not it is weighted by % effort in specific areas (e.g.
teaching,
> research, service, outreach, administration...)).
>
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> b. If you answered "yes", please indicate whether the scoring system is
> weighted by faculty rank (e.g. merit points are worth proportionally more
at
> higher ranks).

>
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> Thank you for your cooperation!
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> Please return this questionnaire to:
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> senate@mailbox.mail.umn.edu
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> or
>
> Ms. Vickie Courtney
> 427 Morrill Hal,
> 100 Church Street SE
> Minneapolis, MN 55455
>
> By 1/31/00
>
> cc: AHC Deans
>
>
>
>
> *****
> University Senate Phone: 612-625-9369
> 427 Morrill Hall Fax: 612-626-1609
> 100 Church St SE E-mail: senate@mailbox.mail.umn.edu
> Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate
>
>

entered by VC

From: "Sagar M. Goyal" <goyal001@maroon.tc.umn.edu>
Date: Wed, 5 Jan 2000 13:24:01 -0600
To: "University Senate" <senate@mailbox.mail.umn.edu>
Subject: Department of Veterinary Diagnostic Medicine

> AHC MERIT PROCESS QUESTIONNAIRE

> from the Academic Health Center Finance and Planning Committee

>

>

> This questionnaire is an inquiry regarding the processes involved with merit

> evaluation and annual salary determination across the Academic Health Center

> (AHC). Concerns about 1) the processes of individual faculty merit evaluations

> 2) the determination of annual faculty merit salary awards, and 3) the timeliness of implementation of faculty raises have been brought to the attention of the AHC Finance & Planning Committee. Questions below are grouped

> by related issues and are intended to assess the status of compensation policy

> compliance within the AHC.

>

> 1. Does your department use an elected, peer evaluation group to conduct the

> faculty merit evaluations? _____ Yes xxx No

> If you answered "no", please explain your process(es).

>

> We are a small department that acts as a "committee of the whole" for merit review purposes.

>

>

>

> 2. Does the department chair/head participate in the deliberations of the elected, peer evaluation group during faculty merit evaluations?

> _____ Yes xxx No

> If you answered "no", please explain your process(es).

>

> Each faculty member's CV, Annual Report of Accomplishment, and Student Evaluations are circulated all faculty in the department. Each faculty evaluates all faculty (except themselves) independently using a scoring system which is turned over to the departmental secretary for collation.

>

>

>

> 3. Does the department chair/head collate scores from the elected, peer evaluation group during the faculty merit evaluations?

> _____ Yes xxx No

> If you answered "no", please explain your process(es).

>

> The departmental secretary does this and she does not know who gave what scores to who.

>

>

> 4. Does the department chair/head render an evaluation during the faculty merit

> evaluations?

> xxx Yes _____ No

> If you answered "no", please explain your process(es).

> If you answered "yes", please explain the relative weighting of the chair's/head's score to that of the faculty peer review committee.

Faculty 60%

Chair 40%

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> 5. Does the department have a formal compensation/merit evaluation policy?
> xxx Yes _____ No
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> _____ Faculty peer xxx Chair/Head _____ Other
> Merit Committee (please define)
> If you answered "Chair/Head" or "Other", please explain how merit
> evaluation scores from the faculty peer evaluation group are used in your
> process(es).
>
> Peer scores receive 60% weightage.

>
>
> 8. Does the available pool (not the source) of dollars available for
annual
> faculty merit distribution vary depending on how a faculty member's
appointment
> is funded? [e.g. state \$, grant \$, clinic income \$, other \$]
> _____ Yes xxx No
> If you answered "yes", please explain what occurs.
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> If you answered "yes", please explain what occurs.
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(as
> determined by Central Administration) to an individual's total faculty
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> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +
> (? % practice plan\$) = 100% merit increase]?
> xxx Yes _____ No
> If you answered "no", please explain your process(es).
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>
> 15. Do you have any "incentive pay" or annual productivity bonuses that
are
> awarded to faculty?
> xxx Yes _____ No
> If you answered "yes", please explain how these work.

A % time of some faculty is spent in providing service through the Veterinary Teaching Hospital which has a profit sharing plan in place.

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> 16. Are you aware of the Faculty Compensation Policy and what it says about how

> annual merit evaluations and salary determinations are to be conducted?

> xxx Yes _____ No

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> 17. Do you as Department Chair/Head meet with your faculty individually to explicitly discuss their merit evaluation and to agree upon mutual expectations

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> 18. Do you as Department Chair/Head use a criteria-based formula to calculate

> merit scores for individual faculty?

> xxx Yes _____ No

>

> a. If you answered "yes", please indicate the scoring system and explain whether or not it is weighted by % effort in specific areas (e.g. teaching,

> research, service, outreach, administration...).

It is weighted by % effort.

>
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> b. If you answered "yes", please indicate whether the scoring system is weighted by faculty rank (e.g. merit points are worth proportionally more at higher ranks).

>
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> yes

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> c. If you answered "no", please indicate how you handle merit scores.

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> 19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. dollars

> from the available pool regardless of annual salary), some combination of % and

> raw \$, or some other method other?
> _____ % of _____ raw \$ _____ raw & % _____

Other
> salary from pool

> Please explain your process(es).

> a combination of % and raw

> 20. When and how do you communicate the faculty member's annual salary
> incremental increase (or the lack thereof) to individual faculty in your
> department?

> I meet with them individually.

> 21. When did the merit salary increases for your tenured and tenure-track
> faculty become effective in your department this year? (e.g. When did your
> faculty see the difference in their gross pay?)

> Specify month and year the raises for 1999-2000 FY became effective.

> 6/21/99

> 22. Are there any problems with the Faculty Compensation Policy that you
> feel
> should be addressed by the Senate Committee on Faculty Affairs and/or the
> Faculty Senate?

> If the university does not have money for raises, it should not mandate
> the departments to give raises.

> Thank you for your cooperation!

> Please return this questionnaire to:

> senate@mailbox.mail.umn.edu

> or

> Ms. Vickie Courtney
> 427 Morrill Hal,
> 100 Church Street SE
> Minneapolis, MN 55455

> By 1/31/00

> cc: AHC Deans

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> University Senate Phone: 612-625-9369
> 427 Morrill Hall Fax: 612-626-1609
> 100 Church St SE E-mail: senate@mailbox.mail.umn.edu
> Minneapolis, MN 55455 Web: <http://www1.umn.edu/usenate>

>

>

Entered by VC

From: Samuel K Maheswaran <mahes001@maroon.tc.umn.edu>
Date: Sat, 12 Feb 2000 11:24:27 -0600 (CST)
To: University Senate <senate@mailbox.mail.umn.edu>
Subject: Re: Cover letter + survey

Samuel K. Maheswaran, BVSc, PhD
Professor and Acting Chair
Department of Veterinary PathoBiology
University of Minnesota-Twin Cities
1971 Commonwealth Avenue
St. Paul, MN 55108-6187

Tel:(612) 625-6264
Fax:(612) 624-4785
e-mail:mahes001@maroon.tc.umn.edu

On Fri, 11 Feb 2000, University Senate wrote:

- >
- > AHC MERIT PROCESS QUESTIONNAIRE
- > from the Academic Health Center Finance and Planning Committee
- > This questionnaire is an inquiry regarding the processes involved with
- > merit evaluation and annual salary determination across the Academic Health
- > Center (AHC). Concerns about 1) the processes of individual faculty merit
- > evaluations 2) the determination of annual faculty merit salary awards, and 3)
- > the timeliness of implementation of faculty raises have been brought to the
- > attention of the AHC Finance & Planning Committee. Questions below are
- > grouped by related issues and are intended to assess the status of
- > compensation
- > policy compliance within the AHC.
- >
- > 1. Does your department use an elected, peer evaluation group to conduct
- > the faculty merit evaluations?
- > _____ Yes No
- > If you answered "no", please explain your process(es).
- > The Merit Review Committee is selected randomly from each division (one
- > name from all eligible faculty in each division will be drawn from a
- > hat) by the Department Chair.
- > 2. Does the department chair/head participate in the deliberations of the=
- > elected, peer evaluation group during faculty merit evaluations?
- >
- > _____ Yes No
- > If you answered "no", please explain your process(es).
- > The Merit Review Committee evaluate the performance and productivity of
- > each faculty member seperately. After discussion of the numerical
- > ratings, the mean of committee member ratings are calculated and
- > submitted to the Chair. The Chair of the Department evalutes and
- > assign a score independently of the Merit Review Committee. Both scores
- > are used to calculate the average merit score.
- > 3. Does the department chair/head collate scores from the elected, peer
- > evaluation group during the faculty merit evaluations?
- > _____ Yes _____ No
- > If you answered "no", please explain your process(es).
- >
- > 4. Does the department chair/head render an evaluation during the faculty
- > merit evaluations?
- >
- > _____ Yes _____ No
- > If you answered "no", please explain your process(es).
- > If you answered "yes", please explain the relative weighting of
- > the chair's/ head's score to that of the faculty peer review committee.
- > Fifty percent.
- >

5. Does the department have a formal compensation/merit evaluation policy?

>
> Yes No

> If you answered "no", please explain your process(es).

> 6. Does your department annually vote on the process(es) and criteria for
> faculty merit evaluations?

> Yes No

> If you answered "no", please explain what you do.

> The Department has guidelines which describes procedures for merit
evaluations. The faculty has never complained about our merit review
procedures.

7. Who makes the final decision on the actual amount of merit pay awarded
> in faculty merit evaluations?

> Faculty peer Chair/Head Other
> Merit Committee (please define)

> If you answered "Chair/Head" or "Other", please explain how merit
> evaluation scores from the faculty peer evaluation group are used in your
> process(es).

> The Chair of the Department calculates the average merit score for each
faculty member from the mean score provided by the Merit Review
Committee and the Chair's score. Each score is then multiplied by the
faculty member's percentage of effort in teaching, research, and service
to provide an overall merit rating. The merit score is then fed into a
spread sheet which determines objectively the merit salary increase for
each faculty member.

8. Does the available pool (not the source) of dollars available for
> annual faculty merit distribution vary depending on how a faculty member's
> appointment is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

> Yes No
> If you answered "yes", please explain what occurs.

> 9. Are the faculty aware of the available pool of money to be allocated to
> merit salary increases in this department? [e.g. dollars as a % of current
pay,

> gross dollars, etc.]

> Yes No

> If you answered "no", please explain what they are told about available \$.

> 10. Does the presence of a research grant containing salary dollars
> influence what might be available for awarding to individual faculty at annual
> merit distribution deliberations? [e.g. 3% average increase suggested by
central

> administration, but grant contains 2% or 4% increase on that portion of the
> involved individual's salary]

> Yes No

> If you answered "yes", please explain what occurs.

> 11. Does the presence of a practice plan influence what might be available
> for awarding to individual faculty at annual merit distribution deliberations?
> [e.g. Is the % of an individual's appointment that is assigned to clinical
> practice/service treated similarly to what has been suggested by central
> administration (? 3%) or are practice dollars awarded strictly on the
> basis of income generation?]

> _____ Yes _____X_____ No

> If you answered "yes", please explain what occurs.

>

> 12. Do monies generated from clinical practice endeavors go into the
> academic department and potentially into a merit pool involving those faculty
> not engaged in clinical practice?

> _____ Yes _____X_____ No

> If you answered "yes", please explain what occurs.

>

> 13. Do the faculty in the department get a report on how available merit
> pool dollars were distributed (obviously not specifically to whom, but in the
> anonymous sense "how many faculty got what % raise)?

>

> _____X_____ Yes _____ No

>

> If you answered "no", please explain what occurs.

>

> 14. Is the goal to award an "average" of the annually specified percent (as
> determined by Central Administration) to an individual's total faculty
> salary

> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$)

> (? % practice plan\$) = 100% merit increase]?

> _____X_____ Yes _____ No

> If you answered "no", please explain your process(es).

>

> 15. Do you have any "incentive pay" or annual productivity bonuses that are
> awarded to faculty?

> _____ Yes _____X_____ No

> If you answered "yes", please explain how these work.

>

> 16. Are you aware of the Faculty Compensation Policy and what it says
> about how annual merit evaluations and salary determinations are to be
> conducted?

>

> _____ Yes _____X_____ No

>

>

> 17. Do you as Department Chair/Head meet with your faculty individually to
> explicitly discuss their merit evaluation and to agree upon mutual
> expectations for the following academic year?

> _____X_____ Yes _____ No

> If you answered "no", please explain how merit scores are explained and
> how expectations, workloads, etc. are agreed-upon in your department.

>

> 18. Do you as Department Chair/Head use a criteria-based formula to
> calculate merit scores for individual faculty?

> _____X_____ Yes _____ No

>

> a. If you answered "yes", please indicate the scoring system and
> explain whether or not it is weighted by % effort in specific areas (e.g.
> teaching, research, service, outreach, administration...).

> YES

> b. If you answered "yes", please indicate whether the scoring
> system is weighted by faculty rank (e.g. merit points are worth proportionally
> more at higher ranks).

> NO

> c. If you answered "no", please indicate how you handle merit scores.

>

> Merit scores are fed into a spread sheet which will determine
> objectively the pay increases.

19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g.
> dollars from the available pool regardless of annual salary), some combination
> of % and raw \$, or some other method other?

>

> _____ % of _____ raw \$ _____ raw & % _____ Other
> salary from pool

> Please explain your process(es).

> 20. When and how do you communicate the faculty member's annual salary
> incremental increase (or the lack thereof) to individual faculty in your
> department?
> Sometime during the last two weeks of JUNE.

> 21. When did the merit salary increases for your tenured and tenure-track
> faculty become effective in your department this year? (e.g. When did your
> faculty see the difference in their gross pay?)
> JULY 1, 1999.
> Specify month and year the raises for 1999-2000 FY became effective.

> 22. Are there any problems with the Faculty Compensation Policy that you
> feel should be addressed by the Senate Committee on Faculty Affairs and/or the
> Faculty Senate?

> NO
> Thank you for your cooperation!

> Please return this questionnaire to:

> senate@mailbox.mail.umn.edu

> or

> Ms. Vickie Courtney
> 427 Morrill Hall
> 100 Church Street SE
> Minneapolis, MN 55455

> By 2/22/00

> *****

> University Senate Phone: 612-625-9369
> 427 Morrill Hall Fax: 612-626-1609
> 100 Church St SE E-mail: senate@mailbox.mail.umn.edu
> Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate

> ----- Forwarded Message ends here -----

> *****

> University Senate Phone: 612-625-9369
> 427 Morrill Hall Fax: 612-626-1609
> 100 Church St SE E-mail: senate@mailbox.mail.umn.edu
> Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate

From: "Lurinda D. Isaacson" <lisaacso@d.umn.edu>
Date: Mon, 07 Feb 2000 14:18:00 -0600
To: senate@mailbox.mail.umn.edu
cc: "Rick Ziegler" <rziegler@d.umn.edu>
Subject: Re: Cover letter + survey (fwd)

*Dean's
response
entered
5/22*

--On Monday, February 07, 2000, 1:22 PM -0600 "Rick Ziegler"
<rziegler@d.umn.edu> wrote:

> --On Wednesday, January 05, 2000, 11:41 AM -0600 "University Senate"
> <senate@mailbox.mail.umn.edu> wrote:

>
>
> January 5, 2000

> TO: Department Chairs/Heads, University of Minnesota Academic
> Health Center

> FROM: Academic Health Center Finance and Planning Committee:
> Timothy Church, Kathryn Dusenbery, Daniel Feeney (Chair),
> Katherine Johnston (ex officio), Michael Speidel, Patricia
> Tomlinson, and Carol Wells

> RE: Questionnaire about annual merit salary determination
> processes in your department

> In an effort to determine how merit salary awards are calculated
> across
> the
> individual departments in the Academic Health Center (AHC), the AHC
> Finance &
> Planning Committee are asking for your cooperation. We have designed a
> questionnaire that we hope addresses the issues brought to us by the
> faculty.
> Concerns have been raised about how salary increase dollars are
> distributed
> including things described as inequities, delays, favoritism,
> incomplete
> information, and obfuscation. To avoid undue speculation, there is no
> substitute
> for the facts. It is in the interest of obtaining data that this
> questionnaire
> was developed and is being sent to you.

>
> To respond electronically, complete the questionnaire and press the
> "reply" key
> to (senate@mailbox.mail.umn.edu). If you prefer to respond via
> US/campus
> mail,
> forward the questionnaire to:

>
> Ms. Vickie Courtney
> University Senate
> 427 Morrill Hall,
> 100 Church Street, SE
> Minneapolis, MN 55455

>
> We're asking that the questionnaire be returned before January 31,
> 2000.

>
> The information received will be collated and the results will be
> published
> in the "Academic Health Center Newsletter". If no response is
> received,

> you will be contacted ONCE to be sure there has been no unintentional
> oversight. All AHC Departments will be listed with their responses to
> each
> of the enclosed questions displayed. For those chairs/heads who do not
> respond, a "no response" will be placed next to that question for that
> department in the published materials. There is great interest in this
> data by Senior Vice President Frank Cerra and Associate Vice President
> Katherine Johnston and this effort has their support. Dr. Cerra sent a
> letter to the AHC Deans on 10/21/99 informing them this process was
> occurring.

>
> Thank you for your cooperation.

>
>
> *****

> AHC MERIT PROCESS QUESTIONNAIRE
> from the Academic Health Center Finance and Planning Committee

>
>
> This questionnaire is an inquiry regarding the processes involved with
> merit
> evaluation and annual salary determination across the Academic Health
> Center
> (AHC). Concerns about 1) the processes of individual faculty merit
> evaluations
> 2) the determination of annual faculty merit salary awards, and 3) the

> timeliness of implementation of faculty raises have been brought to
> the
> attention of the AHC Finance & Planning Committee. Questions below
> are
> grouped
> by related issues and are intended to assess the status of
> compensation
> policy
> compliance within the AHC.

>
> 1. Does your department use an elected, peer evaluation group to
> conduct
> the
> faculty merit evaluations? _____ Yes X No

> If you answered "no", please explain your process(es).
Dean & Department Head make decision. Dean evaluates from school
perspective; Department Head from departmental perspective.

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>
> 2. Does the department chair/head participate in the deliberations of
> the
> elected, peer evaluation group during faculty merit evaluations?

>
> _____ Yes X No
> If you answered "no", please explain your process(es).

>
> See # 1

>
>
>

> 3. Does the department chair/head collate scores from the elected,
> peer
>
> evaluation group during the faculty merit evaluations?
> _____ Yes ___X___ No
> If you answered "no", please explain your process(es).
>
> See #1
>
>
> 4. Does the department chair/head render an evaluation during the
> faculty merit
> evaluations?
> ___X___ Yes _____ No
> If you answered "no", please explain your process(es).
> If you answered "yes", please explain the relative weighting of the
>
> chair's/head's score to that of the faculty peer review committee.
>
> Department Heads have written evaluations that are shared with each
> faculty member.
>
>
>
> 5. Does the department have a formal compensation/merit evaluation
> policy?
> ___X___ Yes _____ No
> If you answered "no", please explain your process(es).
>
>
>
>
> 6. Does your department annually vote on the process(es) and criteria
> for
> faculty merit evaluations?
> _____ Yes ___X___ No
> If you answered "no", please explain what you do.
>
> Same process and criteria every year.
>
>
>
>
> 7. Who makes the final decision on the actual amount of merit pay
> awarded in
> faculty merit evaluations?
> _____ Faculty peer ___ Chair/Head _100% Other
> Merit Committee (please define)
> If you answered "Chair/Head" or "Other", please explain how merit
>
> evaluation scores from the faculty peer evaluation group are used in
> your
> process(es).
>
> See # 1; Dean makes final decision.
>
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>
> 8. Does the available pool (not the source) of dollars available for
> annual
> faculty merit distribution vary depending on how a faculty member's
> appointment
> is funded? [e.g. state \$, grant \$, clinic income \$, other \$]
> _____ Yes ___X___ No
> If you answered "yes", please explain what occurs.

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>
> 9. Are the faculty aware of the available pool of money to be allocated
> to merit
> salary increases in this department? [e.g. dollars as a % of current
> pay, gross
> dollars, etc.]
> Yes No
> If you answered "no", please explain what they are told about
> available \$.

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>
> 10. Does the presence of a research grant containing salary dollars
> influence
> what might be available for awarding to individual faculty at annual
> merit
> distribution deliberations? [e.g. 3% average increase suggested by
> central
> administration, but grant contains 2% or 4% increase on that portion
> of
> the
> involved individual's salary]
> Yes No
> If you answered "yes", please explain what occurs.

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>
> 11. Does the presence of a practice plan influence what might be
> available for
> awarding to individual faculty at annual merit distribution
> deliberations?
> [e.g. Is the % of an individual's appointment that is assigned to
> clinical
> practice/service treated similarly to what has been suggested by
> central
> administration (? 3%) or are practice dollars awarded strictly on the
> basis of
> income generation?]
> Yes No
> If you answered "yes", please explain what occurs.

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>
> 12. Do monies generated from clinical practice endeavors go into the
> academic
> department and potentially into a merit pool involving those faculty
> not
> engaged
> in clinical practice?
> Yes No
> If you answered "yes", please explain what occurs.

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>
> 13. Do the faculty in the department get a report on how available
merit
> pool
> dollars were distributed (obviously not specifically to whom, but in
the
>
> anonymous sense "how many faculty got what % raise)?
> Yes No
> If you answered "no", please explain what occurs.
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> 14. Is the goal to award an "average" of the annually specified
percent
> (as
> determined by Central Administration) to an individual's total
faculty
> salary
> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +
> (? % practice plan\$) = 100% merit increase]?
> Yes No
> If you answered "no", please explain your process(es).
>
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>
> 15. Do you have any "incentive pay" or annual productivity bonuses
that
> are
> awarded to faculty?
> Yes No
> If you answered "yes", please explain how these work.
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> 16. Are you aware of the Faculty Compensation Policy and what it says
> about how
> annual merit evaluations and salary determinations are to be
conducted?
>
> Yes No
>
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>
> 17. Do you as Department Chair/Head meet with your faculty
individually
> to
> explicitly discuss their merit evaluation and to agree upon mutual
> expectations
> for the following academic year?
> Yes No
> If you answered "no ", please explain how merit scores are explained
> and how

> expectations, workloads, etc. are agreed-upon in your department.
>
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> 18. Do you as Department Chair/Head use a criteria-based formula to
> calculate
> merit scores for individual faculty?
> _____ Yes ____X__ No
>
> a. If you answered "yes", please indicate the scoring system and
> explain
> whether or not it is weighted by % effort in specific areas (e.g.
> teaching,
> research, service, outreach, administration...).

>
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>
> b. If you answered "yes", please indicate whether the scoring system
is
>
> weighted by faculty rank (e.g. merit points are worth proportionally
> more at
> higher ranks).

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>
> c. If you answered "no", please indicate how you handle merit scores.
>
> Dean & Department head meet to discuss individual faculty's yearly
activities and compare accomplishments with those activities proposed
and agreed upon in the faculty's annual plan for that year. Level of
meritorious activities determined by Dean and Department Head.

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> 19. Are merit \$ awarded on a % of salary basis, a raw dollar basis
(e.g.
> dollars
> from the available pool regardless of annual salary), some combination
> of % and
> raw \$, or some other method other?
> _____ % of _____ raw \$ ____X__ raw & % _____
> Other salary from pool
>
> Please explain your process(es).
>
> Most merit increases are awarded as a percentage of salary base.
Exceptional merit is given as bonus money.
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> 20. When and how do you communicate the faculty member's annual salary

>
> incremental increase (or the lack thereof) to individual faculty in
> your
>
> department?
>
> Salary decisions are related to faculty by the Department Head in the
> late spring/early summer during the annual review process.
>
>
> 21. When did the merit salary increases for your tenured and
> tenure-track
> faculty become effective in your department this year? (e.g. When did
> your
> faculty see the difference in their gross pay?)
>
> Specify month and year the raises for 1999-2000 FY became effective.
>
> July 1999
>
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>
> 22. Are there any problems with the Faculty Compensation Policy that
> you
> feel
> should be addressed by the Senate Committee on Faculty Affairs and/or
> the
> Faculty Senate?
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> No
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> Thank you for your cooperation!
>
> Please return this questionnaire to:
>
> senate@mailbox.mail.umn.edu
>
> or
>
> Ms. Vickie Courtney
> 427 Morrill Hal,
> 100 Church Street SE
> Minneapolis, MN 55455
>
> By 1/31/00
>
> cc: AHC Deans
>
>
>
>
> *****
> University Senate Phone: 612-625-9369
> 427 Morrill Hall Fax: 612-626-1609

> 100 Church St SE E-mail: senate@mailbox.mail.umn.edu
> Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate
>
>
>
> Rick Ziegler, Ph.D.
> Dean and Professor
> Rm. 117
> UMD School of Medicine
> 10 University Dr.
> Duluth, MN 55812
> (218) 726-7572
>

Lori

Lori Isaacson
Office of the Dean
UMD School of Medicine
10 University Dr. / 113 Med
Duluth, MN 55812-2487
(218) 726-7572 phone
(218) 726-7383 fax
lisaacso@d.umn.edu

From: "Aseverso, David" <aseverso@d.umn.edu>
Date: Wed, 26 Jan 2000 11:17:13 -0600
To: University Senate <senate@mailbox.mail.umn.edu>
cc: aseverso@d.umn.edu
Subject: Re: Survey

1. Does your department use an elected, peer evaluation group to conduct the faculty merit evaluations? _____ Yes No
If you answered "no", please explain your process(es).

The faculty member reviews professional contributions with the department head, the department head presents the material to the dean, the department head and dean discuss the performance and make a tentative decision on merit raise. The dean then makes a final decision, which may be appealed by the department head if it is different from the agreed upon decision.

2. Does the department chair/head participate in the deliberations of the elected, peer evaluation group during faculty merit evaluations? _____ Yes No
If you answered "no", please explain your process(es).

No peer evaluation. See answer to question 1.

3. Does the department chair/head collate scores from the elected, peer evaluation group during the faculty merit evaluations? _____ Yes No
If you answered "no", please explain your process(es).

No peer evaluation group.

4. Does the department chair/head render an evaluation during the faculty merit evaluations? Yes _____ No
If you answered "no", please explain your process(es).
If you answered "yes", please explain the relative weighting of the chair s/head s score to that of the faculty peer review committee.

The department head renders an evaluation to the dean, but not to any group.

5. Does the department have a formal compensation/merit evaluation policy? _____ Yes No
If you answered "no", please explain your process(es).

The department head and the faculty member agree on expectations for the academic year sometime during the summer (beginning) of the academic year. The accomplishments and performance are reviewed at the time of merit determinations, and a subjective determination is made. When this is presented to the dean, a number evaluation (0 to 4) is given to the performance. A score of 4 would suggest a 4% raise.

6. Does your department annually vote on the process(es) and criteria for faculty merit evaluations? _____ Yes No

If you answered "no", please explain what you do.

These are generally determined by the dean.

7. Who makes the final decision on the actual amount of merit pay awarded in faculty merit evaluations?

Faculty peer Chair/Head Other
Merit Committee (please define)

If you answered "Chair/Head" or "Other", please explain how merit evaluation scores from the faculty peer evaluation group are used in your process(es).

Subjective evaluation depending on teaching, research and service contributions.

8. Does the available pool (not the source) of dollars available for annual faculty merit distribution vary depending on how a faculty member's appointment is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

Yes No

If you answered "yes", please explain what occurs.

9. Are the faculty aware of the available pool of money to be allocated to merit salary increases in this department? [e.g. dollars as a % of current pay, gross dollars, etc.]

Yes No

If you answered "no", please explain what they are told about available \$.

10. Does the presence of a research grant containing salary dollars influence what might be available for awarding to individual faculty at annual merit distribution deliberations? [e.g. 3% average increase suggested by central administration, but grant contains 2% or 4% increase on that portion of the involved individual's salary]

Yes No

If you answered "yes", please explain what occurs.

Research monies enhance merit pay or provide bonuses.

11. Does the presence of a practice plan influence what might be available for awarding to individual faculty at annual merit distribution deliberations? [e.g. Is the % of an individual's appointment that is assigned to clinical practice/service treated similarly to what has been suggested by central administration (? 3%) or are practice dollars awarded strictly on the basis of income generation?]

Yes No

If you answered "yes", please explain what occurs.

12. Do monies generated from clinical practice endeavors go into the academic department and potentially into a merit pool involving those faculty not engaged in clinical practice?

Yes No

If you answered "yes", please explain what occurs.

13. Do the faculty in the department get a report on how available merit pool dollars were distributed (obviously not specifically to whom, but in the anonymous sense "how many faculty got what % raise)?

Yes No

If you answered "no", please explain what occurs.

14. Is the goal to award an "average" of the annually specified percent (as determined by Central Administration) to an individual's total faculty salary

[e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) + (? % practice plan\$) = 100% merit increase]?

Yes No

If you answered "no", please explain your process(es).

Yes, in the past this has been somewhat true, but in the future I hear this may change.

15. Do you have any "incentive pay" or annual productivity bonuses that are awarded to faculty?

Yes No

If you answered "yes", please explain how these work.

Faculty who bring in research or other money receive bonuses or larger amounts of merit pay.

16. Are you aware of the Faculty Compensation Policy and what it says about how annual merit evaluations and salary determinations are to be conducted?

Yes No

17. Do you as Department Chair/Head meet with your faculty individually to explicitly discuss their merit evaluation and to agree upon mutual expectations for the following academic year?

Yes No

If you answered "no", please explain how merit scores are explained and how expectations, workloads, etc. are agreed-upon in your department.

18. Do you as Department Chair/Head use a criteria-based formula to calculate merit scores for individual faculty?

_____ Yes No

a. If you answered "yes", please indicate the scoring system and explain whether or not it is weighted by % effort in specific areas (e.g. teaching, research, service, outreach, administration...).

b. If you answered "yes", please indicate whether the scoring system is weighted by faculty rank (e.g. merit points are worth proportionally more at higher ranks).

c. If you answered "no", please indicate how you handle merit scores.

A subjective evaluation of performance in teaching, scholarly activity and service is done by the department head. Expectations for each faculty member were discussed with the individual at the beginning of the academic year. Accomplishments with respect to goals are reviewed by the department head and faculty member, with a general agreement on performance with respect to goals. This is then discussed with the dean who then makes the final decision. If the decision does not appear appropriate, the department head may continue discussions with the dean to rectify the inequity.

19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. dollars from the available pool regardless of annual salary), some combination of % and raw \$, or some other method other?

% of salary _____ raw \$ from pool _____ raw & % _____ Other

Please explain your process(es).

20. When and how do you communicate the faculty member s annual salary incremental increase (or the lack thereof) to individual faculty in your department?

Meeting with the faculty member and explaining discussion with the dean.

21. When did the merit salary increases for your tenured and tenure-track faculty become effective in your department this year? (e.g. When did your faculty see the difference in their gross pay?)

Specify month and year the raises for 1999-2000 FY became effective.

July 1, 1999 (11 month appt.) and September 1, 1999 (9 month appt.)

22. Are there any problems with the Faculty Compensation Policy that you feel should be addressed by the Senate Committee on Faculty Affairs and/or the Faculty Senate?

It would be great if everyone felt they got a fair deal. However, I must conclude that this will never happen. How to deal with merit value of teaching verses research. Some faculty spend 80% of their time in education (teaching), 10% time in scholarly activity, and 10% time in service. Others spend 90% time at scholarly activity (research, etc.), and 5% or less at service to the academic unit or the community. With the great diversity in activities and the various quality of the contributions, it is difficult to obtain a legitimate merit increase for the individual. However, those that enjoy their work are usually satisfied, but maybe disappointed, while those who cannot wait to retire are unhappy. Also, faculty have great differences of opinion as to what must be the highest priority for their specific area in the University. Some feel we must meet our teaching obligations and excel in this area, while others believe that research obligations are only necessary. Sometimes this divides the faculty. I believe we need both, but probably need a new organizational approach to achieve excellence in teaching and research. A more colligate atmosphere is needed in which there is understanding and acceptance of the diverse role the University of Minnesota must play in society.

Arlen R. Severson, Ph.D.
Professor and Chairman
Department of Anatomy and Cell Biology
University of Minnesota, Duluth
School of Medicine
Duluth, Minnesota 55812

Telephone: 218-726-7903 (7901)
FAX: 218-726-6235
e-mail: aseverso@d.umn.edu

From: "Lester R. Drewes" <ldrewes@d.umn.edu>
Date: Wed, 05 Jan 2000 15:04:20 -0600
To: University Senate <senate@mailbox.mail.umn.edu>
Subject: Re: Cover letter + survey

--On Wed, Jan 5, 2000 11:41 AM -0600 University Senate
<senate@mailbox.mail.umn.edu> wrote:

>
> January 5, 2000
>
> TO: Department Chairs/Heads, University of Minnesota Academic
> Health Center
>
> FROM: Academic Health Center Finance and Planning Committee:
> Timothy Church, Kathryn Dusenbery, Daniel Feeney (Chair),
> Katherine Johnston (ex officio), Michael Speidel, Patricia
> Tomlinson, and Carol Wells
>
> RE: Questionnaire about annual merit salary determination
> processes in your department
>
>
> In an effort to determine how merit salary awards are calculated
> across the individual departments in the Academic Health Center
> (AHC), the AHC Finance & Planning Committee are asking for your
> cooperation. We have designed a questionnaire that we hope addresses
> the issues brought to us by the faculty. Concerns have been raised
> about how salary increase dollars are distributed including things
> described as inequities, delays, favoritism, incomplete information,
> and obfuscation. To avoid undue speculation, there is no substitute
> for the facts. It is in the interest of obtaining data that this
> questionnaire was developed and is being sent to you.
>
> To respond electronically, complete the questionnaire and press the
> "reply" key to (senate@mailbox.mail.umn.edu). If you prefer to
> respond via US/campus mail, forward the questionnaire to:
>
> Ms. Vickie Courtney
> University Senate
> 427 Morrill Hall,
> 100 Church Street, SE
> Minneapolis, MN 55455
>
> We're asking that the questionnaire be returned before January 31,
> 2000. The information received will be collated and the results
> will be published in the "Academic Health Center Newsletter". If no
> response is received, you will be contacted ONCE to be sure there
> has been no unintentional oversight. All AHC Departments will be
> listed with their responses to each of the enclosed questions
> displayed. For those chairs/heads who do not respond, a "no
> response" will be placed next to that question for that department
> in the published materials. There is great interest in this data by
> Senior Vice President Frank Cerra and Associate Vice President
> Katherine Johnston and this effort has their support. Dr. Cerra sent
> a letter to the AHC Deans on 10/21/99 informing them this process
> was occurring.
>
> Thank you for your cooperation.
>
>
> *****
> AHC MERIT PROCESS QUESTIONNAIRE
> from the Academic Health Center Finance and Planning Committee

>
>
> This questionnaire is an inquiry regarding the processes involved
> with merit evaluation and annual salary determination across the
> Academic Health Center (AHC). Concerns about 1) the processes of
> individual faculty merit evaluations 2) the determination of annual
> faculty merit salary awards, and 3) the timeliness of implementation
> of faculty raises have been brought to the attention of the AHC
> Finance & Planning Committee. Questions below are grouped by
> related issues and are intended to assess the status of compensation
> policy compliance within the AHC.

>
> 1. Does your department use an elected, peer evaluation group to
> conduct the faculty merit evaluations? _____ Yes
> XX No If you answered "no", please explain your process(es).
> each faculty member prepares an annual report with accomplishments
> and future goals. This is reviewed with the department head and then
> the head reviews all dept. members with the dean and makes
> recommendations.

>
>
>
>
> 2. Does the department chair/head participate in the deliberations of
> the elected, peer evaluation group during faculty merit evaluations?
> NA Yes _____ No
> If you answered "no", please explain your process(es).

>
>
>
>
> 3. Does the department chair/head collate scores from the elected,
> peer evaluation group during the faculty merit evaluations?
> NA Yes _____ No
> If you answered "no", please explain your process(es).

>
>
>
>
> 4. Does the department chair/head render an evaluation during the
> faculty merit evaluations?
> NA Yes _____ No
> If you answered "no", please explain your process(es).
> If you answered "yes", please explain the relative weighting of the
> chair s/head s score to that of the faculty peer review
> committee.

>
>
>
>
> 5. Does the department have a formal compensation/merit evaluation
> policy? _____ Yes X No
> If you answered "no", please explain your process(es).
> The dept. head articulates a simple policy for academic expectations
> that mirrors the promotions and tenure code.

>
>
>
>
> 6. Does your department annually vote on the process(es) and criteria
> for faculty merit evaluations?
> _____ Yes X No
> If you answered "no", please explain what you do.

> The dept. faculty have a discussion at least once per year with this as the subject.

>
>
>
>
> 7. Who makes the final decision on the actual amount of merit pay awarded in faculty merit evaluations?

> _____ Faculty peer _____ Chair/Head ___X the Dean__ Other
> Merit Committee (please define)
> If you answered "Chair/Head" or "Other", please explain how merit evaluation scores from the faculty peer evaluation group are used in your process(es).

>
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>
>
> 8. Does the available pool (not the source) of dollars available for annual faculty merit distribution vary depending on how a faculty member's appointment is funded? [e.g. state \$, grant \$, clinic income \$, other \$] _____ Yes ___X___ No
> If you answered "yes", please explain what occurs.

>
>
>
>
> 9. Are the faculty aware of the available pool of money to be allocated to merit salary increases in this department? [e.g. dollars as a % of current pay, gross dollars, etc.]
> ___X___ Yes _____ No
> If you answered "no", please explain what they are told about available \$.

>
>
>
>
> 10. Does the presence of a research grant containing salary dollars influence what might be available for awarding to individual faculty at annual merit distribution deliberations? [e.g. 3% average increase suggested by central administration, but grant contains 2% or 4% increase on that portion of the involved individual's salary]
> _____ Yes ___X___ No
> If you answered "yes", please explain what occurs.

>
>
>
>
> 11. Does the presence of a practice plan influence what might be available for awarding to individual faculty at annual merit distribution deliberations? [e.g. Is the % of an individual's appointment that is assigned to clinical practice/service treated similarly to what has been suggested by central administration (? 3%) or are practice dollars awarded strictly on the basis of income generation?]
> _____ Yes ___X___ No
> If you answered "yes", please explain what occurs.

>
> 12. Do monies generated from clinical practice endeavors go into the
> academic department and potentially into a merit pool involving
> those faculty not engaged in clinical practice?
> _____ Yes No
> If you answered "yes", please explain what occurs.
>
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>
> 13. Do the faculty in the department get a report on how available
> merit pool dollars were distributed (obviously not specifically to
> whom, but in the anonymous sense "how many faculty got what %
> raise)? Yes _____ No
> If you answered "no", please explain what occurs.
>
>
>
>
> 14. Is the goal to award an "average" of the annually specified
> percent (as determined by Central Administration) to an
> individual's total faculty salary [e.g. (? % state \$) + (? % grant
> salary \$) + (? % contract \$) + (? % practice plan\$) = 100% merit
> increase]?
> _____ Yes No
> If you answered "no", please explain your process(es).
>
> Unclear question. Some people get more than average and some get less
> than average.
>
>
>
> 15. Do you have any "incentive pay" or annual productivity bonuses
> that are awarded to faculty?
> _____ Yes No
> If you answered "yes", please explain how these work.
>
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>
> 16. Are you aware of the Faculty Compensation Policy and what it says
> about how annual merit evaluations and salary determinations are to
> be conducted? _____ Yes No
>
>
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>
> 17. Do you as Department Chair/Head meet with your faculty
> individually to explicitly discuss their merit evaluation and to
> agree upon mutual expectations for the following academic year?
> Yes, this includes a written statement that is cosigned
> (accepted) by the faculty member. _____ No
> If you answered "no", please explain how merit scores are
> explained and how expectations, workloads, etc. are agreed-upon in
> your department.
>
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>
> 18. Do you as Department Chair/Head use a criteria-based formula to
> calculate merit scores for individual faculty?
> _____ Yes X No
>
> a. If you answered "yes", please indicate the scoring system and
> explain whether or not it is weighted by % effort in specific
> areas (e.g. teaching, research, service, outreach,
> administration...).

>
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>
>
> b. If you answered "yes", please indicate whether the scoring system
> is weighted by faculty rank (e.g. merit points are worth
> proportionally more at higher ranks).

>
>
>
>
> c. If you answered "no", please indicate how you handle merit scores.
> It is weighted by % effort in specific areas, but no formulae is
> used. The quality of performance is based on what faculty document to
> me about what they did, how well they met their goals set the previous
> year, and my subjective observations. The dean awards some one time
> bonus money for especially meritorious contributions.
>
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>

> 19. Are merit \$ awarded on a % of salary basis, a raw dollar basis
> (e.g. dollars from the available pool regardless of annual salary),
> some combination of % and raw \$, or some other method other?
> X % of _____ raw \$ _____ raw & % _____
> Other salary from pool

> Please explain your process(es). ??
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> 20. When and how do you communicate the faculty member s annual
> salary incremental increase (or the lack thereof) to individual
> faculty in your department?
>
> After the dean has made the final determination, he tells me and I
> immediately send a formal memo to each person with the amount,
> percentage, and new base salary.
>
>
>
>

> 21. When did the merit salary increases for your tenured and
> tenure-track faculty become effective in your department this year?
> (e.g. When did your faculty see the difference in their gross pay?)
>
> Specify month and year the raises for 1999-2000 FY became effective.

>
> It was effective July 1, 1999 and it appeared on paychecks in late
> August.
>
>
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>
>
> 22. Are there any problems with the Faculty Compensation Policy that
> you feel should be addressed by the Senate Committee on Faculty
> Affairs and/or the Faculty Senate?
>
> Not as I understand it. I believe that implementation has been slow
> and is taking some administrators (heads) time to adjust. This is
> inexcusable. I feel that a similar process should exist for heads and
> deans and there should be some info publicly (to faculty) available.
>
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>
> Thank you for your cooperation!
>
> Please return this questionnaire to:
>
> senate@mailbox.mail.umn.edu
>
> or
>
> Ms. Vickie Courtney
> 427 Morrill Hall,
> 100 Church Street SE
> Minneapolis, MN 55455
>
> By 1/31/00
>
> cc: AHC Deans
>
>
>
>
> *****
> University Senate Phone: 612-625-9369
> 427 Morrill Hall Fax: 612-626-1609
> 100 Church St SE E-mail: senate@mailbox.mail.umn.edu
> Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate

Lester R. Drewes, Ph.D.
Professor and Head
Biochemistry and Molecular Biology
University of Minnesota School of Medicine, Rm 252
10 University Drive
Duluth, MN 55812
(218)-726-7925 (Office)
(218)-726-8014 (FAX)
<http://www.d.umn.edu/medweb/biochem/faculty/ldrewes.html>

From: Cynthia R Gross <cgross002@maroon.tc.umn.edu>
Date: Tue, 09 May 2000 13:37:03 -0500
To: "University Senate" <senate@mailbox.mail.umn.edu>
Subject: Re: Cover letter + survey From CR Gross, ECP/COP

*Experimental
& Clinical Pharm.
entered
5/22*

At 09:24 AM 5/9/00 -0500, you wrote:

>
>The following memo and questionnaire was sent to AHC Department
>Heads/Chairs early January.
>
>AHC MERIT PROCESS QUESTIONNAIRE
>from the Academic Health Center Finance and Planning Committee
>This questionnaire is an inquiry regarding the processes involved with
>merit evaluation and annual salary determination across the Academic Health
>Center (AHC). Concerns about 1) the processes of individual faculty merit
>evaluations 2) the determination of annual faculty merit salary awards,
>and 3)
>the timeliness of implementation of faculty raises have been brought to the
>attention of the AHC Finance & Planning Committee. Questions below are
>grouped by related issues and are intended to assess the status of
>compensation
>policy compliance within the AHC.

>
>1. Does your department use an elected, peer evaluation group to conduct
>the faculty merit evaluations?
> _____ Yes No

>If you answered "no", please explain your process(es).
Faculty merit evaluation is based on an annual report and 'merit grid'
which awards points for particular activities - courses taught, papers
published, committees chaired, etc.

>
>2. Does the department chair/head participate in the deliberations of the
>elected, peer evaluation group during faculty merit evaluations?

>
> _____ Yes _____ No

>If you answered "no", please explain your process(es).

>
>3. Does the department chair/head collate scores from the elected, peer
>evaluation group during the faculty merit evaluations?

> _____ Yes NA _____ No

>If you answered "no", please explain your process(es).

>
>4. Does the department chair/head render an evaluation during the faculty
>merit evaluations?

>
> _____ Yes _____ No

>If you answered "no", please explain your process(es).
>If you answered "yes", please explain the relative weighting of
>the chair's/ head's score to that of the faculty peer review committee.

the head meets with each faculty member to give feedback on their annual
report and progress toward goals/promotion/tenure, etc.

>5. Does the department have a formal compensation/merit evaluation policy?

>
> _____ Yes _____ No

>If you answered "no", please explain your process(es).

>
>6. Does your department annually vote on the process(es) and criteria for
>faculty merit evaluations?

>
> _____ Yes _____ No

>If you answered "no", please explain what you do.
At our may 3rd department meeting the faculty agreed to continue using the
process outlined in question 1.

>7. Who makes the final decision on the actual amount of merit pay awarded
>in faculty merit evaluations?

>
> _____ Faculty peer ___X___ Chair/Head ___X___ Other DEAN
> Merit Committee (please define)

>If you answered "Chair/Head" or "Other", please explain how merit

>evaluation scores from the faculty peer evaluation group are used in your
>process(es).

The merit grid "work load" /accomplishments scores, with "quality points"
for particularly meritorious events - newly awarded grant, teacher of the
semester award, paper cited by organization as paper of the year, etc. are
grouped into 2-3 logic groups (high/med/low)and the amount of available
merits funds are pro-rated by group as low=1/med=1.3/high=1.5. Additional
items impact the final salary:

If there is a very low scoring individual who, upon review, is not meeting
expectations of their rank, they do not receive any merit increase. For
high achievers, their final salaries are augmented by "bonus-able" events
such as being "teacher of the year" which are not 'recurring' raises.
Finally, on a college-wide basis, a pool of funds is available for equity
adjustments to address financial misalignments created by good and poor
univerity raise years across faculty who otherwise should be at
approximately the same level. These are market based adjustments using the
median salaries of peer colleges of pharmacy.

>
>8. Does the available pool (not the source) of dollars available for
>annual faculty merit distribution vary depending on how a faculty member's
>appointment is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

> _____ Yes ___X___ No
>If you answered "yes", please explain what occurs.

Not that I am aware of

>
>
>9. Are the faculty aware of the available pool of money to be allocated to
>merit salary increases in this department? [e.g. dollars as a % of
current pay,
>gross dollars, etc.]

> X___ Yes _____ No
>If you answered "no", please explain what they are told about available \$.

>
>10. Does the presence of a research grant containing salary dollars
>influence what might be available for awarding to individual faculty at
annual
>merit distribution deliberations? [e.g. 3% average increase suggested by
central
>administration, but grant contains 2% or 4% increase on that portion of the
>involved individual's salary]

Not as a general policy - there are some 'grandfathered' in arrangements
but I do not know the details.>

> _____ Yes _____ No
>If you answered "yes", please explain what occurs.

>
>11. Does the presence of a practice plan influence what might be available
>for awarding to individual faculty at annual merit distribution
deliberations?
>[e.g. Is the % of an individual's appointment that is assigned to clinical

>practice/service treated similarly to what has been suggested by central
>administration (? 3%) or are practice dollars awarded strictly on the
>basis of income generation?]

> _____ Yes _____X___ No

>If you answered "yes", please explain what occurs.

>
>12. Do monies generated from clinical practice endeavors go into the
>academic department and potentially into a merit pool involving those
>faculty

>not engaged in clinical practice?

> _____ Yes _____X___ No

>If you answered "yes", please explain what occurs.

>
>13. Do the faculty in the department get a report on how available merit
>pool dollars were distributed (obviously not specifically to whom, but in the
>anonymous sense "how many faculty got what % raise)?

> _____X___ Yes _____ No

One member of the faculty routinely distributes a list of U salaries for
the college>

>If you answered "no", please explain what occurs.

>14. Is the goal to award an "average" of the annually specified percent (as
>determined by Central Administration) to an individual's total faculty
>salary

>[e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$)

>(? % practice plan\$) = 100% merit increase]?

> _____ Yes _____ No

>If you answered "no", please explain your process(es).

>
>15. Do you have any "incentive pay" or annual productivity bonuses that are
>awarded to faculty?

> _____ Yes _____X___ No

>If you answered "yes", please explain how these work.

the college is trying to create an xyz incentive plan

>16. Are you aware of the Faculty Compensation Policy and what it says
>about how annual merit evaluations and salary determinations are to be
>conducted?

>> _____ Yes _____X___ No But I will check now.>

>17. Do you as Department Chair/Head meet with your faculty individually to
>explicitly discuss their merit evaluation and to agree upon mutual
>expectations for the following academic year?

> _____X___ Yes _____ No

>If you answered "no", please explain how merit scores are explained and
>how expectations, workloads, etc. are agreed-upon in your department.

>
>18. Do you as Department Chair/Head use a criteria-based formula to
>calculate merit scores for individual faculty?

> _____X___ Yes _____ No

>
>a. If you answered "yes", please indicate the scoring system and
>explain whether or not it is weighted by % effort in specific areas (e.g.
>teaching, research, service, outreach, administration...).

Our merit grid awards a max. of '75 points' to any category - teaching
research service and practice.

>
>b. If you answered "yes", please indicate whether the scoring
>system is weighted by faculty rank (e.g. merit points are worth
>proportionally
>more at higher ranks).

No, but probationary faculty are rated as meeting or not meeting

expectations, and if they are meeting expectations they automatically get the average raise.

>
>c. If you answered "no", please indicate how you handle merit scores.

>
>19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. >dollars from the available pool regardless of annual salary), some combination >of % and raw \$, or some other method other?

>
> X % of raw \$ raw & % Other
> salary from pool

Merit increases are %; bonuses and market adjustments are raw.

>
>Please explain your process(es).

>
>20. When and how do you communicate the faculty member's annual salary >incremental increase (or the lack thereof) to individual faculty in your >department?

>
Dean's letter comes out in June

>21. When did the merit salary increases for your tenured and tenure-track >faculty become effective in your department this year? (e.g. When did your >faculty see the difference in their gross pay?)

>
>Specify month and year the raises for 1999-2000 FY became effective.

unsure

>
>22. Are there any problems with the Faculty Compensation Policy that you >feel should be addressed by the Senate Committee on Faculty Affairs and/or the >Faculty Senate?

>
>Thank you for your cooperation!

>
>Please return this questionnaire to:

>
>senate@mailbox.mail.umn.edu

>
>or

>
>Ms. Vickie Courtney
>427 Morrill Hall
>100 Church Street SE
>Minneapolis, MN 55455

>
>By 2/22/00

>
>*****
>University Senate Phone: 612-625-9369
>427 Morrill Hall Fax: 612-626-1609
>100 Church St SE E-mail: senate@mailbox.mail.umn.edu
>Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate

>
>
>
>----- Forwarded Message ends here -----

>
>*****
>University Senate Phone: 612-625-9369
>427 Morrill Hall Fax: 612-626-1609

From: ~~Abul-hajj~~ Abul-hajj <abulh001@maroon.tc.umn.edu>
Date: Thu, 4 May 2000 11:29:33 -0500
To: senate@mailbox.mail.umn.edu
Subject: AHC Merit Evaluations

Medicinal Chem
entire
5/22

To: Department Chairs/Heads, College of Pharmacy

The following memo and questionnaire was sent to AHC Department Heads/Chairs early January. The College of Pharmacy was inadvertently excluded in the electronic mailing. I apologize for the oversight. Please complete the questionnaire and return by hitting the "reply" key by no later than February 22. Thank you.

AHC MERIT PROCESS QUESTIONNAIRE

from the Academic Health Center Finance and Planning Committee
This questionnaire is an inquiry regarding the processes involved with merit evaluation and annual salary determination across the Academic Health Center (AHC). Concerns about 1) the processes of individual faculty merit evaluations 2) the determination of annual faculty merit salary awards, and 3) the timeliness of implementation of faculty raises have been brought to the attention of the AHC Finance & Planning Committee. Questions below are grouped by related issues and are intended to assess the status of compensation policy compliance within the AHC.

1. Does your department use an elected, peer evaluation group to conduct the faculty merit evaluations?

_____ Yes No

If you answered "no", please explain your process(es).

The faculty established the criteria and gave the responsibility to the Head to do the evaluation

2. Does the department chair/head participate in the deliberations of the elected, peer evaluation group during faculty merit evaluations?

_____ Yes No

If you answered "no", please explain your process(es).

See response to Q. 1

3. Does the department chair/head collate scores from the elected, peer evaluation group during the faculty merit evaluations?

_____ Yes No

If you answered "no", please explain your process(es).

See response to Q. 1

4. Does the department chair/head render an evaluation during the faculty merit evaluations?

Yes _____ No

If you answered "no", please explain your process(es).

If you answered "yes", please explain the relative weighting of the chair's/ head's score to that of the faculty peer review committee.

There is no faculty peer review committee

5. Does the department have a formal compensation/merit evaluation policy?

Yes _____ No

If you answered "no", please explain your process(es).

6. Does your department annually vote on the process(es) and criteria for faculty merit evaluations?

Yes No

If you answered "no", please explain what you do.

7. Who makes the final decision on the actual amount of merit pay awarded in faculty merit evaluations?

Faculty peer Merit Committee Chair/Head Other (please define)

If you answered "Chair/Head" or "Other", please explain how merit

evaluation scores from the faculty peer evaluation group are used in your process(es).

Evaluations are carried out by the Head and salary recommendations are made to the Dean.

8. Does the available pool (not the source) of dollars available for annual faculty merit distribution vary depending on how a faculty member's appointment is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

Yes No

If you answered "yes", please explain what occurs.

9. Are the faculty aware of the available pool of money to be allocated to merit salary increases in this department? [e.g. dollars as a % of current pay, gross dollars, etc.]

Yes No

If you answered "no", please explain what they are told about available \$.

10. Does the presence of a research grant containing salary dollars influence what might be available for awarding to individual faculty at annual merit distribution deliberations? [e.g. 3% average increase suggested by central administration, but grant contains 2% or 4% increase on that portion of the involved individual's salary]

Yes No

If you answered "yes", please explain what occurs.

11. Does the presence of a practice plan influence what might be available for awarding to individual faculty at annual merit distribution deliberations? [e.g. Is the % of an individual's appointment that is assigned to clinical practice/service treated similarly to what has been suggested by central administration (? 3%) or are practice dollars awarded strictly on the basis of income generation?]

Yes No Not applicable

If you answered "yes", please explain what occurs.

12. Do monies generated from clinical practice endeavors go into the academic department and potentially into a merit pool involving those faculty not engaged in clinical practice?

Yes No Not applicable

If you answered "yes", please explain what occurs.

13. Do the faculty in the department get a report on how available merit pool dollars were distributed (obviously not specifically to whom, but in the anonymous sense "how many faculty got what % raise)?

Yes No

If you answered "no", please explain what occurs.

14. Is the goal to award an "average" of the annually specified percent (as determined by Central Administration) to an individual's total faculty salary

[e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) + (? % practice plan\$) = 100% merit increase]?

_____ Yes _____x_____ No

If you answered "no", please explain your process(es).

Evaluations are carried out irrespective of the source of funding for each of the areas in teaching, research and service

15. Do you have any "incentive pay" or annual productivity bonuses that are awarded to faculty?

_____ Yes _____x_____ No

If you answered "yes", please explain how these work.

16. Are you aware of the Faculty Compensation Policy and what it says about how annual merit evaluations and salary determinations are to be conducted?

_____x_____ Yes _____ No

17. Do you as Department Chair/Head meet with your faculty individually to explicitly discuss their merit evaluation and to agree upon mutual expectations for the following academic year?

_____x_____ Yes _____ No

If you answered "no", please explain how merit scores are explained and how expectations, workloads, etc. are agreed-upon in your department.

18. Do you as Department Chair/Head use a criteria-based formula to calculate merit scores for individual faculty?

_____x_____ Yes _____ No

a. If you answered "yes", please indicate the scoring system and explain whether or not it is weighted by % effort in specific areas (e.g. teaching, research, service, outreach, administration...).

The scoring is based on a quantitative component which is self determined using the criteria developed by the department faculty, and a qualitative score determined by the department Head. Most faculty are evaluated on a 40/40/20 workload in the areas of teaching/research/service, respectively.

b. If you answered "yes", please indicate whether the scoring system is weighted by faculty rank (e.g. merit points are worth proportionally more at higher ranks).

The scoring system is not weighted by rank

c. If you answered "no", please indicate how you handle merit scores.

19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. dollars from the available pool regardless of annual salary), some combination of % and raw \$, or some other method other?

_____ % of _____ raw \$ _____x_____ raw & % _____ Other
salary from pool

Please explain your process(es).

The process is set annually by the college executive committee as to what fraction will be used as a direct % of salary and what is to be given based on raw score and market adjustment.

20. When and how do you communicate the faculty member's annual salary incremental increase (or the lack thereof) to individual faculty in your department?

Discussions of Evaluations are carried out immediately following submission of the annual report. Once that is out of the way, salary determinations based on the amount received from the college will be distributed to faculty based on merit evaluations. Faculty are informed about the salary increase prior to submitting the recommendations to the Dean

21. When did the merit salary increases for your tenured and tenure-track faculty become effective in your department this year? (e.g. When did your faculty see the difference in their gross pay?)

Specify month and year the raises for 1999-2000 FY became effective.

August 1999

22. Are there any problems with the Faculty Compensation Policy that you feel should be addressed by the Senate Committee on Faculty Affairs and/or the Faculty Senate?

I can't think of anything at this time. Within our college the evaluations between departments are carried out differently and this was the wish of the faculty in each of the departments which is consistent with the tenure code.

Thank you for your cooperation!

Please return this questionnaire to:

senate@mailbox.mail.umn.edu

or

Ms. Vickie Courtney
427 Morrill Hall
100 Church Street SE
Minneapolis, MN 55455

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*The phone numbers listed in parentheses beside the division/department names are the "main office" phone numbers for those divisions/departments; the phone numbers listed beside the "Ph:" designation are the direct-dial numbers to that person's office.

Cynthia Singleton
College of Pharmacy
5-130 Weaver-Densford Hall
Phone: 612-624-5137
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entered by JC

From: Ronald Siegel <siege017@tc.umn.edu>
Date: Thu, 17 Feb 2000 08:13:43 -0600
To: "University Senate" <senate@mailbox.mail.umn.edu>
Subject: Re: Cover letter + AHC survey

>To: Department Chairs/Heads, College of Pharmacy

>
>The following memo and questionnaire was sent to AHC Department
>Heads/Chairs early January. The College of Pharmacy was inadvertently
>excluded in the electronic mailing. I apologize for the oversight. Please
>complete the questionnaire and return by hitting the "reply" key by no
>later than February 22. Thank you.

>AHC MERIT PROCESS QUESTIONNAIRE

>from the Academic Health Center Finance and Planning Committee
>This questionnaire is an inquiry regarding the processes involved with
>merit evaluation and annual salary determination across the Academic Health
>Center (AHC). Concerns about 1) the processes of individual faculty merit
>evaluations 2) the determination of annual faculty merit salary awards,
>and 3)
>the timeliness of implementation of faculty raises have been brought to the
>attention of the AHC Finance & Planning Committee. Questions below are
>grouped by related issues and are intended to assess the status of
>compensation
>policy compliance within the AHC.

>
>1. Does your department use an elected, peer evaluation group to conduct
>the faculty merit evaluations?
> Yes No
>If you answered "no", please explain your process(es).

These are done by the Department as a committee of the whole, which makes
recommenations to the Dept. Head who makes the final decisions.

>
>2. Does the department chair/head participate in the deliberations of the=
>elected, peer evaluation group during faculty merit evaluations?
>
> Yes No
>If you answered "no", please explain your process(es).

>
>3. Does the department chair/head collate scores from the elected, peer
>evaluation group during the faculty merit evaluations?
> Yes No
>If you answered "no", please explain your process(es).

>
>4. Does the department chair/head render an evaluation during the faculty
>merit evaluations?
>
> Yes No
>If you answered "no", please explain your process(es).
>If you answered "yes", please explain the relative weighting of
>the chair's/ head's score to that of the faculty peer review committee.

>
>5. Does the department have a formal compensation/merit evaluation policy?
>
> Yes No
>If you answered "no", please explain your process(es).

>
>6. Does your department annually vote on the process(es) and criteria for
>faculty merit evaluations?
>
> Yes No
>If you answered "no", please explain what you do.

Processes are written into Policies and Procedures which are changed only when a demand to do so by the majority of the faculty is presented.

>
>7. Who makes the final decision on the actual amount of merit pay awarded
>in faculty merit evaluations?

>
> _____ Faculty peer X Chair/Head _____ Other
> Merit Committee (please define)

>
>If you answered "Chair/Head" or "Other", please explain how merit
>evaluation scores from the faculty peer evaluation group are used in your
>process(es).

>
Summaries of deliberations are generated by the Dept. Head at the annual meeting in which peer evaluation occurs.

>8. Does the available pool (not the source) of dollars available for
>annual faculty merit distribution vary depending on how a faculty member's
>appointment is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

>
> _____ Yes X No
>If you answered "yes", please explain what occurs.

>
>9. Are the faculty aware of the available pool of money to be allocated to
>merit salary increases in this department? [e.g. dollars as a % of
>current pay,
>gross dollars, etc.]

> X Yes _____ No
>If you answered "no", please explain what they are told about available \$.

>
>10. Does the presence of a research grant containing salary dollars
>influence what might be available for awarding to individual faculty at
>annual
>merit distribution deliberations? [e.g. 3% average increase suggested by
>central
>administration, but grant contains 2% or 4% increase on that portion of the
>involved individual's salary]

>
> _____ Yes X No
>If you answered "yes", please explain what occurs.

>
>11. Does the presence of a practice plan influence what might be available
>for awarding to individual faculty at annual merit distribution deliberations?
>[e.g. Is the % of an individual's appointment that is assigned to clinical
>practice/service treated similarly to what has been suggested by central
>administration (? 3%) or are practice dollars awarded strictly on the
>basis of income generation?]

>
> _____ Yes X No
>If you answered "yes", please explain what occurs.

>
>12. Do monies generated from clinical practice endeavors go into the
>academic department and potentially into a merit pool involving those faculty
>not engaged in clinical practice?

> _____ Yes X No
>If you answered "yes", please explain what occurs.

>
>13. Do the faculty in the department get a report on how available merit
>pool dollars were distributed (obviously not specifically to whom, but in the
>anonymous sense "how many faculty got what % raise)?

>
> _____ Yes X No
>

>If you answered "no", please explain what occurs.

>

Individual faculty are notified regarding their own merit increases.

>14. Is the goal to award an "average" of the annually specified percent (as
>determined by Central Administration) to an individual's total faculty
>salary

>[e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$)

>(? % practice plan\$) = 100% merit increase]?

> _____ Yes _____X_____ No

>If you answered "no", please explain your process(es).

>

Merit increase money is distributed to departments from College of Pharmacy based on available funds.

>15. Do you have any "incentive pay" or annual productivity bonuses that are
>awarded to faculty?

> _____ Yes _____X_____ No

>If you answered "yes", please explain how these work.

>

>16. Are you aware of the Faculty Compensation Policy and what it says
>about how annual merit evaluations and salary determinations are to be
>conducted?

>

> _____ Yes _____X_____ No

>

>

>17. Do you as Department Chair/Head meet with your faculty individually to
>explicitly discuss their merit evaluation and to agree upon mutual
>expectations for the following academic year?

> _____X_____ Yes _____ No

>If you answered "no", please explain how merit scores are explained and
>how expectations, workloads, etc. are agreed-upon in your department.

>

>18. Do you as Department Chair/Head use a criteria-based formula to
>calculate merit scores for individual faculty?

> _____ Yes _____X_____ No

>

>a. If you answered "yes", please indicate the scoring system and
>explain whether or not it is weighted by % effort in specific areas (e.g.
>teaching, research, service, outreach, administration...).

>

>b. If you answered "yes", please indicate whether the scoring
>system is weighted by faculty rank (e.g. merit points are worth
>proportionally

>more at higher ranks).

>

>c. If you answered "no", please indicate how you handle merit scores.

>

Scores are received on score sheets from all Department members except the member being evaluated, and serve as a basis for merit decisions made by the Dept. Head.

>19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g.
>dollars from the available pool regardless of annual salary), some
>combination

>of % and raw \$, or some other method other?

>

> _____ % of _____ raw \$ _____X_____ raw & % _____ Other
> salary from pool

>

>Please explain your process(es).

>

Department is allotted a certain amount from College of Pharmacy which is distributed depending on relative degree to which increases are deserved. No formula is used.

>20. When and how do you communicate the faculty member's annual salary
>incremental increase (or the lack thereof) to individual faculty in your
>department?
>

Shortly (e.g. within a week) after decisions are made.

>21. When did the merit salary increases for your tenured and tenure-track
>faculty become effective in your department this year? (e.g. When did your
>faculty see the difference in their gross pay?)
>
>Specify month and year the raises for 1999-2000 FY became effective.
>

July '99

>22. Are there any problems with the Faculty Compensation Policy that you
>feel should be addressed by the Senate Committee on Faculty Affairs and/or the
>Faculty Senate?
>

>Thank you for your cooperation!
>

>Please return this questionnaire to:
>

>senate@mailbox.mail.umn.edu
>

>or
>

>Ms. Vickie Courtney
>427 Morrill Hall
>100 Church Street SE
>Minneapolis, MN 55455
>

>By 2/22/00
>
>

>*****

>University Senate Phone: 612-625-9369
>427 Morrill Hall Fax: 612-626-1609
>100 Church St SE E-mail: senate@mailbox.mail.umn.edu
>Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate

Ronald A. Siegel Sc.D.
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(612) 624-6164
(612) 626-2125

entered by VC

From: [redacted]@tweedie@biostat.umn.edu>
Date: Mon, 10 Jan 2000 09:45:08 -0600 (CST)
To: senate@mailbox.mail.umn.edu
Subject: Re: Cover letter + survey

Ms. Vickie Courtney
University Senate
427 Morrill Hall,
100 Church Street, SE
Minneapolis, MN 55455

AHC MERIT PROCESS QUESTIONNAIRE
from the Academic Health Center Finance and Planning Committee

This questionnaire is an inquiry regarding the processes involved with merit evaluation and annual salary determination across the Academic Health Center (AHC). Concerns about 1) the processes of individual faculty merit evaluations 2) the determination of annual faculty merit salary awards, and 3) the timeliness of implementation of faculty raises have been brought to the attention of the AHC Finance & Planning Committee. Questions below are grouped by related issues and are intended to assess the status of compensation policy compliance within the AHC.

1. Does your department use an elected, peer evaluation group to conduct the faculty merit evaluations? _____ Yes ___X___ No
If you answered "no", please explain your process(es).

Faculty merit evaluations are carried out by the Chair based on information supplied by faculty members in one-on-one reviews. There has been consistent opposition to having an elected committee participate in this process.

2. Does the department chair/head participate in the deliberations of the elected, peer evaluation group during faculty merit evaluations?
_____ Yes _____ No
If you answered "no", please explain your process(es).

N/A

3. Does the department chair/head collate scores from the elected, peer evaluation group during the faculty merit evaluations?
_____ Yes _____ No
If you answered "no", please explain your process(es).

N/A

4. Does the department chair/head render an evaluation during the faculty merit evaluations?
_____ Yes _____ No
If you answered "no", please explain your process(es).
If you answered "yes", please explain the relative weighting of the chair's/head's score to that of the faculty peer review committee.

N/A

5. Does the department have a formal compensation/merit evaluation policy?

Yes No

If you answered "no", please explain your process(es).

See 1 above

6. Does your department annually vote on the process(es) and criteria for faculty merit evaluations?

Yes No

If you answered "no", please explain what you do.

See 1 above

7. Who makes the final decision on the actual amount of merit pay awarded in

faculty merit evaluations?

Faculty peer Chair/Head Other (please define)

If you answered "Chair/Head" or "Other", please explain how merit evaluation scores from the faculty peer evaluation group are used in your process(es).

Not relevant see 1 above

8. Does the available pool (not the source) of dollars available for annual faculty merit distribution vary depending on how a faculty member's appointment

is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

Yes No

If you answered "yes", please explain what occurs.

9. Are the faculty aware of the available pool of money to be allocated to merit

salary increases in this department? [e.g. dollars as a % of current pay, gross

dollars, etc.]

Yes No

If you answered "no", please explain what they are told about available \$.

that the peer group will meet with chair to decide on merit raise

10. Does the presence of a research grant containing salary dollars influence

what might be available for awarding to individual faculty at annual merit distribution deliberations? [e.g. 3% average increase suggested by central administration, but grant contains 2% or 4% increase on that portion of the involved individual's salary]

Yes No

If you answered "yes", please explain what occurs.

11. Does the presence of a practice plan influence what might be available for awarding to individual faculty at annual merit distribution deliberations?

[e.g. Is the % of an individual's appointment that is assigned to clinical practice/service treated similarly to what has been suggested by central administration (? 3%) or are practice dollars awarded strictly on the basis of income generation?]

_____ Yes No

If you answered "yes", please explain what occurs.

12. Do monies generated from clinical practice endeavors go into the academic department and potentially into a merit pool involving those faculty not engaged in clinical practice?

_____ Yes No

If you answered "yes", please explain what occurs.

13. Do the faculty in the department get a report on how available merit pool dollars were distributed (obviously not specifically to whom, but in the anonymous sense "how many faculty got what % raise)?

_____ Yes No

If you answered "no", please explain what occurs.

Individuals are apprised of their own increases.

14. Is the goal to award an "average" of the annually specified percent (as determined by Central Administration) to an individual's total faculty salary

[e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) + (? % practice plan\$) = 100% merit increase]?

_____ Yes No

If you answered "no", please explain your process(es).

The goal is to reward performance within the overall \$ constraints

15. Do you have any "incentive pay" or annual productivity bonuses that are awarded to faculty?

Yes _____ No

If you answered "yes", please explain how these work.

On rare occasions this has occurred. The Head awards these and the amounts are announced, together with the basis for the bonus.

16. Are you aware of the Faculty Compensation Policy and what it says about how annual merit evaluations and salary determinations are to be conducted?

Yes No

17. Do you as Department Chair/Head meet with your faculty individually to explicitly discuss their merit evaluation and to agree upon mutual expectations

for the following academic year?

Yes No

If you answered "no", please explain how merit scores are explained and how expectations, workloads, etc. are agreed-upon in your department.

18. Do you as Department Chair/Head use a criteria-based formula to calculate

merit scores for individual faculty?

Yes No

a. If you answered "yes", please indicate the scoring system and explain whether or not it is weighted by % effort in specific areas (e.g. teaching, research, service, outreach, administration...).

Since this is my first year in the University this is not yet in place. Previous systems did give % weights in all areas depending on job description

b. If you answered "yes", please indicate whether the scoring system is weighted by faculty rank (e.g. merit points are worth proportionally more at higher ranks).

Scores are weighted by salary, obviously.

c. If you answered "no", please indicate how you handle merit scores.

19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. dollars from the available pool regardless of annual salary), some combination

of % and raw \$, or some other method other?

% of salary raw \$ from pool raw & % Other

Please explain your process(es).

20. When and how do you communicate the faculty member's annual salary incremental increase (or the lack thereof) to individual faculty in your

department?

Prior to first updated pay

21. When did the merit salary increases for your tenured and tenure-track faculty become effective in your department this year? (e.g. When did your faculty see the difference in their gross pay?)

Specify month and year the raises for 1999-2000 FY became effective.

June 21 1999

22. Are there any problems with the Faculty Compensation Policy that you feel should be addressed by the Senate Committee on Faculty Affairs and/or the Faculty Senate?

No

Thank you for your cooperation!

Please return this questionnaire to:

senate@mailbox.mail.umn.edu

or

Ms. Vickie Courtney
427 Morrill Hall,
100 Church Street SE
Minneapolis, MN 55455

By 1/31/00

cc: AHC Deans

University Senate Phone: 612-625-9369
427 Morrill Hall Fax: 612-626-1609
100 Church St SE E-mail: senate@mailbox.mail.umn.edu
Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate

entered by VC

From: Don Vesley <dvesley@cccs.umn.edu>
Date: Wed, 5 Jan 2000 14:52:53 -0600
To: University Senate <senate@mailbox.mail.umn.edu>
Subject: Re: Cover letter + survey

>January 5, 2000

>
>TO: Department Chairs/Heads, University of Minnesota Academic
> Health Center

>
>FROM: Academic Health Center Finance and Planning Committee:
> Timothy Church, Kathryn Dusenbery, Daniel Feeney (Chair),
> Katherine Johnston (ex officio), Michael Speidel, Patricia
> Tomlinson, and Carol Wells

>
>RE: Questionnaire about annual merit salary determination
> processes in your department

>
>In an effort to determine how merit salary awards are calculated across the
>individual departments in the Academic Health Center (AHC), the AHC Finance &
>Planning Committee are asking for your cooperation. We have designed a
>questionnaire that we hope addresses the issues brought to us by the
>faculty.

>Concerns have been raised about how salary increase dollars are distributed
>including things described as inequities, delays, favoritism, incomplete
>information, and obfuscation. To avoid undue speculation, there is no
>substitute
>for the facts. It is in the interest of obtaining data that this
>questionnaire
>was developed and is being sent to you.

>
>To respond electronically, complete the questionnaire and press the
>"reply" key
>to (senate@mailbox.mail.umn.edu). If you prefer to respond via US/campus
>mail,
>forward the questionnaire to:

>
>Ms. Vickie Courtney
>University Senate
>427 Morrill Hall,
>100 Church Street, SE
>Minneapolis, MN 55455

>
>We're asking that the questionnaire be returned before January 31, 2000.
>The information received will be collated and the results will be published
>in the "Academic Health Center Newsletter". If no response is received,
>you will be contacted ONCE to be sure there has been no unintentional
>oversight. All AHC Departments will be listed with their responses to each
>of the enclosed questions displayed. For those chairs/heads who do not
>respond, a "no response" will be placed next to that question for that
>department in the published materials. There is great interest in this
>data by Senior Vice President Frank Cerra and Associate Vice President
>Katherine Johnston and this effort has their support. Dr. Cerra sent a
>letter to the AHC Deans on 10/21/99 informing them this process was
>occurring.

>
>Thank you for your cooperation.

>
>
>*****
>AHC MERIT PROCESS QUESTIONNAIRE
>from the Academic Health Center Finance and Planning Committee

>
>

>This questionnaire is an inquiry regarding the processes involved with merit
>evaluation and annual salary determination across the Academic Health Center
>(AHC). Concerns about 1) the processes of individual faculty merit
>evaluations
>2) the determination of annual faculty merit salary awards, and 3) the
>timeliness of implementation of faculty raises have been brought to the
>attention of the AHC Finance & Planning Committee. Questions below are
>grouped
>by related issues and are intended to assess the status of compensation
>policy
>compliance within the AHC.

>
>1. Does your department use an elected, peer evaluation group to conduct
>the
>faculty merit evaluations? _____ Yes

> No

> If you answered "no", please explain your process(es).

>A committee sets numerical criteria. Div. Head interprets criteria and assigns
raises

>
>
>
>

>2. Does the department chair/head participate in the deliberations of the
>elected, peer evaluation group during faculty merit evaluations?

>

> _____ Yes _____ No

> If you answered "no", please explain your process(es).

>
>
>
>
>

>3. Does the department chair/head collate scores from the elected, peer
>evaluation group during the faculty merit evaluations?

> _____ Yes _____ No

> If you answered "no", please explain your process(es).

>
>
>
>

>4. Does the department chair/head render an evaluation during the faculty
>merit
>evaluations?

> _____ Yes _____ No

> If you answered "no", please explain your process(es).

> If you answered "yes", please explain the relative

>weighting of the

> chair's/head's score to that of the faculty peer review committee.

>
>
>
>
>

>5. Does the department have a formal compensation/merit evaluation policy?

>

> Yes

> _____ No

> If you answered "no", please explain your process(es).

>
>
>
>
>

>6. Does your department annually vote on the process(es) and criteria for

>faculty merit evaluations?

> Yes

> No

> If you answered "no", please explain what you do.

>
>
>
>
>
>
>

>7. Who makes the final decision on the actual amount of merit pay awarded in
>faculty merit evaluations?

> Faculty peer Chair/Head

> Other

> Merit Committee

> (please define)

> If you answered "Chair/Head" or "Other", please explain how

>merit

>evaluation scores from the faculty peer evaluation group are used in your
>process(es).

>

>Criteria agreed upon are interpreted by the Chair

>
>
>

>8. Does the available pool (not the source) of dollars available for annual
>faculty merit distribution vary depending on how a faculty member's
>appointment

>is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

> Yes

> No

> If you answered "yes", please explain what occurs.

>
>
>
>
>

>9. Are the faculty aware of the available pool of money to be allocated to
>merit

>salary increases in this department? [e.g. dollars as a % of current pay,
>gross

>dollars, etc.]

> Yes No

> If you answered "no", please explain what they are told
>about available \$.

>
>
>
>
>
>

>10. Does the presence of a research grant containing salary dollars influence
>what might be available for awarding to individual faculty at annual merit
>distribution deliberations? [e.g. 3% average increase suggested by central
>administration, but grant contains 2% or 4% increase on that portion of the
>involved individual's salary]

> Yes

> No

> If you answered "yes", please explain what occurs.

>
>
>
>
>

>11. Does the presence of a practice plan influence what might be available
>for

>awarding to individual faculty at annual merit distribution deliberations?
>[e.g. Is the % of an individual's appointment that is assigned to clinical
>
>practice/service treated similarly to what has been suggested by central
>
>administration (? 3%) or are practice dollars awarded strictly on the
>basis of
>income generation?]

> Yes

> No

> If you answered "yes", please explain what occurs.

>
>
>
>
>
>

>12. Do monies generated from clinical practice endeavors go into the
>academic
>department and potentially into a merit pool involving those faculty not
>engaged
>in clinical practice?

> Yes

> No

> If you answered "yes", please explain what occurs.

>
>
>
>
>
>
>

>13. Do the faculty in the department get a report on how available merit pool
>dollars were distributed (obviously not specifically to whom, but in the
>anonymous sense "how many faculty got what % raise)?

> Yes

> No

> If you answered "no", please explain what occurs.

>
>
>
>
>
>

>14. Is the goal to award an "average" of the annually specified percent (as
>determined by Central Administration) to an individual's total faculty
>salary

> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +

> (? % practice plan\$) = 100% merit increase]?

> Yes

> No

> If you answered "no", please explain your process(es).

>
>
>
>
>
>

>15. Do you have any "incentive pay" or annual productivity bonuses that are
>awarded to faculty?

> Yes

> No

> If you answered "yes", please explain how these work.

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>16. Are you aware of the Faculty Compensation Policy and what it says

>
>
>17. Do you as Department Chair/Head meet with your faculty individually to
>explicitly discuss their merit evaluation and to agree upon mutual
>expectations
>for the following academic year?

> Yes
> No

> If you answered "no", please explain how merit scores
>are explained and how
>expectations, workloads, etc. are agreed-upon in your department.

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>18. Do you as Department Chair/Head use a criteria-based formula to calculate
>merit scores for individual faculty?

> Yes
> No

>
> a. If you answered "yes", please indicate the scoring system and
>explain
>whether or not it is weighted by % effort in specific areas (e.g.
>teaching,
>research, service, outreach, administration...).

>
>To be determined for July, 2000 raises

>
>
> b. If you answered "yes", please indicate whether the scoring
>system is
>weighted by faculty rank (e.g. merit points are worth proportionally more
>at
>higher ranks).No

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> c. If you answered "no", please indicate how you handle merit scores.

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>19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g.
>dollars
>from the available pool regardless of annual salary), some combination of
>% and
>raw \$, or some other method other?

> % of raw \$ raw & %
> Other
> salary from pool

>

> Please explain your process(es).

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>20. When and how do you communicate the faculty member's annual salary
>
>incremental increase (or the lack thereof) to individual faculty in your
>
>department?

>
>Individual letter from Division Head

>
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>

>21. When did the merit salary increases for your tenured and tenure-track
>faculty become effective in your department this year? (e.g. When did your
>faculty see the difference in their gross pay?)

>
> Specify month and year the raises for 1999-2000 FY became
>effective.
>July, 1999

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>22. Are there any problems with the Faculty Compensation Policy that you feel
>should be addressed by the Senate Committee on Faculty Affairs and/or the
>Faculty Senate?

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>No

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>Thank you for your cooperation!

>
>Please return this questionnaire to:

>
>senate@mailbox.mail.umn.edu

>
>or

>
>Ms. Vickie Courtney
>427 Morrill Hall,
>100 Church Street SE
>Minneapolis, MN 55455

>
>By 1/31/00

>

>cc: AHC Deans

>

>

>

>

>*****

>University Senate Phone: 612-625-9369
>427 Morrill Hall Fax: 612-626-1609
>100 Church St SE E-mail: senate@mailbox.mail.umn.edu
>Minneapolis, MN 55455 Web: <http://www1.umn.edu/userate>

entered by jc

From: Russell Luepker <luepker@epi.umn.edu>
Date: Wed, 05 Jan 2000 14:46:36 -0600 (CST)
To: senate@mailbox.mail.umn.edu
Subject: Re: Cover letter + survey

Responding to the message of <002077senate@mailbox.mail.umn.edu>
from University Senate <senate@mailbox.mail.umn.edu>:

> We're asking that the questionnaire be returned before January 31, 2000. =20
> The information received will be collated and the results will be published=
> =20
> in the "Academic Health Center Newsletter". If no response is received,=20
> you will be contacted ONCE to be sure there has been no unintentional=20
> oversight. All AHC Departments will be listed with their responses to each =
>
> of the enclosed questions displayed. For those chairs/heads who do not=20
> respond, a "no response" will be placed next to that question for that=20
> department in the published materials. There is great interest in this=20
> data by Senior Vice President Frank Cerra and Associate Vice President=20
> Katherine Johnston and this effort has their support. Dr. Cerra sent a=20
> letter to the AHC Deans on 10/21/99 informing them this process was=20
> occurring.

> Thank you for your cooperation.

> *****
> AHC MERIT PROCESS QUESTIONNAIRE
> from the Academic Health Center Finance and Planning Committee

> This questionnaire is an inquiry regarding the processes involved with meri=
> t=20
> evaluation and annual salary determination across the Academic Health Cente=
> r=20
> (AHC). Concerns about 1) the processes of individual faculty merit evaluat=
> ions=20
> 2) the determination of annual faculty merit salary awards, and 3) the=20
> timeliness of implementation of faculty raises have been brought to the=20
> attention of the AHC Finance & Planning Committee. Questions below are gro=
> uped=20
> by related issues and are intended to assess the status of compensation pol=
> icy=20
> compliance within the AHC.

> 1. Does your department use an elected, peer evaluation group to conduct th=
> e =20
> faculty merit evaluations? _____ Yes ___X___ No

> If you answered "no", please explain your process(es).
The chair does all the evaluations and presents them to a faculty committee
which reviews (and sometimes changes) the rankings. That committee contains
both elected and appointed (by virtue of their position) faculty.

> 2. Does the department chair/head participate in the deliberations of the=20
> elected, peer evaluation group during faculty merit evaluations? =09
> ___X___ Yes _____ No

> If you answered "no", please explain your process(es).

> See above.

>
>
> 3. Does the department chair/head collate scores from the elected, peer =
> =09
> evaluation group during the faculty merit evaluations? =09
> _____ Yes No
> If you answered "no", please explain your process(es).
The chair presents the individual rankings that he has performed and the
rationale for the ranking. All documentation is available for the discussion.
>
>
>
> 4. Does the department chair/head render an evaluation during the faculty m=
> erit=20
> evaluations? =09
> Yes _____ No
> If you answered "no", please explain your process(es).
> If you answered "yes", please explain the relative weighting of the =
> =20
> chair=D5s/head=D5s score to that of the faculty peer review committee.
90%
>
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>
> 5. Does the department have a formal compensation/merit evaluation policy? =
> =20
> Yes _____ No
> If you answered "no", please explain your process(es).
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> 6. Does your department annually vote on the process(es) and criteria for =
>
> faculty merit evaluations? =20
> _____ Yes No
> If you answered "no", please explain what you do.
The evaluation criteria are discussed at faculty meetings and modifications are
made at regular intervals.
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> 7. Who makes the final decision on the actual amount of merit pay awarded i=
> n=20
> faculty merit evaluations? =09
> _____ Faculty peer Chair/Head _____ Other
> Merit Committee (please define)
> If you answered "Chair/Head" or "Other", please explain how merit =09
> evaluation scores from the faculty peer evaluation group are used in your=20
> process(es).
The faculty are ranked on six criteria: Publications, Research Grants, Teaching,
Service, Administration & Citizenship.
A summary evaluation is ranked in 5 categories from outstanding to failure to
perform adequately.
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> 8. Does the available pool (not the source) of dollars available for annual=

> =20
> faculty merit distribution vary depending on how a faculty member=D5s appoi=
> ntment=20
> is funded? [e.g. state \$, grant \$, clinic income \$, other \$] =20
> _____ Yes ___X___ No
> If you answered "yes", please explain what occurs.
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> 9. Are the faculty aware of the available pool of money to be allocated to =
> merit
> salary increases in this department? [e.g. dollars as a % of current pay, =
> gross
> dollars, etc.] =20
> ___X___ Yes _____ No
> If you answered "no", please explain what they are told about available \$=
> ..
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> 10. Does the presence of a research grant containing salary dollars influen=
> ce=20
> what might be available for awarding to individual faculty at annual merit =
>
> distribution deliberations? [e.g. 3% average increase suggested by central =
>
> administration, but grant contains 2% or 4% increase on that portion of the=
> =20
> involved individual=D5s salary] =09
> _____ Yes ___X___ No
> If you answered "yes", please explain what occurs.
> Didn't think that it was legal to do this.
>
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> 11. Does the presence of a practice plan influence what might be available =
> for =09
> awarding to individual faculty at annual merit distribution deliberations? =
> =20
> [e.g. Is the % of an individual=D5s appointment that is assigned to clinica=
> l =09
> practice/service treated similarly to what has been suggested by central =
> =09
> administration (? 3%) or are practice dollars awarded strictly on the basis=
> of =09
> income generation?]
> _____ Yes ___X___ No
> If you answered "yes", please explain what occurs.
> Who wrote your questions? This is confusing. We have no practice income any
> more.
>
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> 12. Do monies generated from clinical practice endeavors go into the academ=
> ic =09
> department and potentially into a merit pool involving those faculty not en=
> gaged

> in clinical practice? =09
> _____ Yes ___X___ No
> If you answered "yes", please explain what occurs.
>
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> 13. Do the faculty in the department get a report on how available merit po=
> ol=20
> dollars were distributed (obviously not specifically to whom, but in the=20
> anonymous sense "how many faculty got what % raise)? =09
> _____ Yes ___X___ No
> If you answered "no", please explain what occurs.
The information isn't shared although one could figure it out with little
effort, attached to names.
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> 14. Is the goal to award an "average" of the annually specified percent (as=
> =20
> determined by Central Administration) to an individual=D5s total faculty s=
> alary=20
> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +=20
> (? % practice plan\$) =3D 100% merit increase]? =09
> ___X___ Yes _____ No
> If you answered "no", please explain your process(es).
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> 15. Do you have any "incentive pay" or annual productivity bonuses that are=
> =20
> awarded to faculty?
> ___X___ Yes _____ No
> If you answered "yes", please explain how these work.
Because of the poor salary increases in recent years, a bonus system was
developed by a faculty committee. It has been occasionally used.
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> 16. Are you aware of the Faculty Compensation Policy and what it says about=
> how=20
> annual merit evaluations and salary determinations are to be conducted? =
> =09
> ___X___ Yes _____ No
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> 17. Do you as Department Chair/Head meet with your faculty individually to =
>
> explicitly discuss their merit evaluation and to agree upon mutual expectat=
> ions=20
> for the following academic year?
> ___X___ Yes _____ No
> If you answered "no ", please explain how merit scores are explained and =

> how=20
> expectations, workloads, etc. are agreed-upon in your department.
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>
> 18. Do you as Department Chair/Head use a criteria-based formula to calculate merit scores for individual faculty? =20
> Yes No
>
> a. If you answered "yes", please indicate the scoring system and explain whether or not it is weighted by % effort in specific areas (e.g. teaching, research, service, outreach, administration...). =20
Publications 20%, Research Grants 20%, Teaching 20%, Service 10%, Administration 10%, Citizenship 20%.
Effort in various areas is taken into account but faculty are evaluated in all 6 areas.
>
> b. If you answered "yes", please indicate whether the scoring system is weighted by faculty rank (e.g. merit points are worth proportionally more at higher ranks). =20
Rank is taken into account with expectations lowest for the most junior faculty and highest for the most senior.
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> c. If you answered "no", please indicate how you handle merit scores.
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> 19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. dollars from the available pool regardless of annual salary), some combination of % and raw \$, or some other method other? =20
> % of salary raw \$ from pool raw & % Other
>
> Please explain your process(es).
I am responding to the Dean's directive on how the money is to be divided.
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> 20. When and how do you communicate the faculty member's annual salary incremental increase (or the lack thereof) to individual faculty in your department? =09

> =09
> department?
By written memo.
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> 21. When did the merit salary increases for your tenured and tenure-track=
> faculty become effective in your department this year? (e.g. When did your =
>
> faculty see the difference in their gross pay?)
> =09
> Specify month and year the raises for 1999-2000 FY became effective.
July, 1999
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> 22. Are there any problems with the Faculty Compensation Policy that you fe=
> el=20
> should be addressed by the Senate Committee on Faculty Affairs and/or the=20
> Faculty Senate?

On one hand, I believe that merit evaluation should be as open and fair as possible. I believe we have a good system that is fair. However, I do not believe that merit evaluation should be the role a committee because of confidentiality issues and the tendency toward mediocrity when that system is used. Colleagues can't evaluate peers in a rigorous manner in my experience and are just as biased as any individual.

One added comment, the quantitative performance on 17 criteria for all faculty is 'published' each year by rank which sets the standards or norms.

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> Thank you for your cooperation!
>
> Please return this questionnaire to:
>
> senate@mailbox.mail.umn.edu
>
> or
>
> Ms. Vickie Courtney=20
> 427 Morrill Hall,=20
> 100 Church Street SE
> Minneapolis, MN 55455
>
> By 1/31/00
>
> cc: AHC Deans
>

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>
>
> *****
> University Senate Phone: 612-625-9369
> 427 Morrill Hall Fax: 612-626-1609
> 100 Church St SE E-mail: senate@mailbox.mail.umn.edu
> Minneapolis, MN 55455 Web: http://www1.umn.edu/usenate
>
> --?:2000010511413800?====_782.+?
> Content-Type: text/plain;charset=us-ascii
> Content-Transfer-Encoding: Quoted-printable
>
> RFC-822-headers:
> Return-path: senate@mailbox.mail.umn.edu
> Received: from CONVERSION-DAEMON by epivax.epi.umn.edu (PMDF V5.2-31 #36330=
>)
> id <01JKCEJYV0609JD2RF@epivax.epi.umn.edu> for luepker@A1.EPI.UMN.EDU
> (ORCPT rfc822;luepker@epi.umn.edu); Wed, 5 Jan 2000 11:41:21 CST
> Received: from mhub2.tc.umn.edu (mhub2.tc.umn.edu [128.101.131.42])
> by epivax.epi.umn.edu (PMDF V5.2-31 #36330)
> with ESMTP id <01JKCEJXGD9I9JD3DH@epivax.epi.umn.edu> for
> luepker@A1.EPI.UMN.EDU (ORCPT rfc822;luepker@epi.umn.edu); Wed,
> 05 Jan 2000 11:41:19 -0600 (CST)
> Received: from mailbox.mail.umn.edu by mhub2.tc.umn.edu with ESMTP; Wed,
> 05 Jan 2000 11:41:41 -0600
> Received: from [134.84.237.146] (x84-237-146.ejack.umn.edu [134.84.237.146])=
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> by mailbox.mail.umn.edu (8.9.3/8.9.3) with SMTP id LAA27782; Wed,
> 05 Jan 2000 11:41:38 -0600 (CST)
> X-Mailer: POPmail 2.3b8
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Russell V. Luepker, MD, MS
Professor & Head
Division of Epidemiology
School of Public Health
University of Minnesota
612-624-6362 (office)
612-624-0315 (fax)

January 12, 2000

TO: Academic Health Center Finance and Planning Committee

FROM: James R. Holtan, Chair
Department of Restorative Sciences, School of Dentistry

To respond to your e-mail dated January 5, 2000

AHC MERIT PROCESS QUESTIONNAIRE
from the Academic Health Center Finance and Planning Committee

1. Does your department use an elected, peer evaluation group to conduct the faculty merit evaluations?

No.

At the present time, there is no provision for an elected peer evaluation group in the faculty compensation policy of the Department of Restorative Sciences (enclosure #1). This policy (last revised in March of 1997), is based on the faculty compensation policy adopted by the University of Minnesota Faculty Senate on February 18, 1993 and recommendations / approval from the faculty of the Department of Restorative Sciences. The just referenced policy applies to all full time Faculty (94xx), Academic Professional (97xx), and Academic Administrative (93xx) staff of the Department of Restorative Sciences.

A complete description of the calculation of faculty salary compensation (i.e., its mathematical derivation), used to determine any individual departmental faculties actual salary increase is included in enclosure #1. Any increase is based on the following criteria:

1. Effort distributions for teaching, research and service.
2. Student evaluation of teaching.
3. Peer evaluation by division directors and / or department chair.
4. Progress on goals and objectives.

2. Does the department chair/head participate in the deliberations of the elected, peer evaluation group during faculty merit evaluations?

No.

As mentioned above, there is currently no provision for an elected peer evaluation group in the faculty compensation policy of the Department of Restorative Sciences (enclosure #1). Under this policy, the chair of the Department annually evaluates each individual faculty member using the criteria referenced in question #1.

3. Does the department chair/head collate scores from the elected, peer evaluation group during the faculty merit evaluations?

No.

As mentioned above, there is no provision for an elected peer evaluation group in the faculty compensation policy of the Department of Restorative Sciences (enclosure #1). The chair does however, collate the results of his own evaluation of the faculty member in question and the results from the individual faculty member's evaluation provided by his /her division director. He also collates any other information that person may have provided as required by the department policy.

4. Does the department chair/head render an evaluation during the faculty merit evaluations?

Yes.

As mentioned above, there is no provision for an elected peer evaluation group in the faculty compensation policy of the Department of Restorative Sciences (enclosure #1). As a result, there is no relative weighting of the chairs evaluation as compared to that which might be offered by an elected faculty peer review committee.

5. Does the department have a formal compensation/merit evaluation policy?

Yes.

Please see the faculty compensation policy of the Department of Restorative Sciences (enclosure #1).

6. Does your department annually vote on the process(es) and criteria for faculty merit evaluations?

No.

Please see the faculty compensation policy of the Department of Restorative Sciences (enclosure #1). As previously mentioned, this policy is based on the faculty compensation policy adopted by the University of Minnesota Faculty Senate on February 18, 1993 and recommendations / approval from the faculty of the Department of Restorative Sciences. If any individual departmental faculty member should desire to discuss the policy as currently written and / or a majority of the faculty members making up the Department of Restorative Sciences elected to change this policy, discussion / proposed changes could occur / be made at any time.

7. Who makes the final decision on the actual amount of merit pay awarded in faculty merit evaluations?

Other.

The Dean .

As mentioned above, there is no provision for an elected peer evaluation group in the faculty compensation policy of the Department of Restorative Sciences (enclosure #1). The dean's final decision is based on input he receives from the chair of the Department of Restorative Sciences. This input includes a comparison of each individual departmental faculty members performance to his / her peers and a recommended dollar amount for any proposed merit salary increase.

8. Does the available pool (not the source) of dollars available for annual faculty merit distribution vary depending on how a faculty member's appointment is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

No.

Not in this department.

9. Are the faculty aware of the available pool of money to be allocated to merit salary increases in this department? [e.g. dollars as a % of current pay, gross dollars, etc.]

No.

This amount is determined by the Dean and the actual figure is generally not known until some time after all faculty reviews are completed by the Chair.

Should any faculty member desire to know what the actual total dollar amount of the pool was, they would certainly be so informed.

10. Does the presence of a research grant containing salary dollars influence what might be available for awarding to individual faculty at annual merit distribution deliberations? [e/g/ 3% average increase suggested by central administration, but grant contains 2% or 4% increase on that portion of the involved individual 's salary]

No.

Not in this department.

11. Does the presence of a practice plan influence what might be available for awarding to individual faculty at annual merit distribution deliberations? [e.g. Is the % of an individual's appointment that is assigned to clinical practice/service treated similarly to what has been suggested by central administration (? 3%) or are practice dollars awarded strictly on the basis of income generation?]

No.

Not in this department.

12. Do moneys generated from clinical practice endeavors go into the academic department and potentially into a merit pool involving those faculty not engaged in clinical practice?

No.

Not in this department.

13. Do the faculty in the department get a report on how available merit pool dollars were distributed (obviously not specifically to who, but in the anonymous sense "how many faculty got what % raise")?

No.

Not ordinarily. Each individual faculty member receives a letter from the chair stating the dollar amount of his / her salary increase. However, if a majority of departmental members were to request such information on an annual basis (to date, this has not occurred), the chair would provide that as well.

14. Is the goal to award an "average" of the annually specified percent (as determined by Central Administration) to an individual's total faculty salary [e.g. {? % state \$) + {? % grant salary \$) + {? % contract \$) + (? % practice plan \$) = 100% merit increase]?

Yes.

The average faculty salary increase is based on the school's faculty salary plan as approved by the University.

15. Do you have any "incentive pay" or annual productivity bonuses that are awarded to faculty?

Yes.

A separate pool of money (referred to as "Market money" in the school's faculty salary plan), is set aside by the Dean and he determines what amount, if any, an individual faculty member might receive from that pool.

16. Are you aware of the Faculty Compensation Policy and what it says about how annual merit evaluations and salary determinations are to be conducted?

Yes.

17. Do you as Department Chair/Head meet with your faculty individually to explicitly discuss their merit evaluation and to agree upon mutual expectations for the following academic year?

Yes.

18. Do you as Department Chair/Head use a criteria-based formula to calculate merit scores for individual faculty?

Yes.

a. The calculation of faculty salary compensation (the mathematical basis for the calculation used to determine any departmental faculties actual merit salary increase is described in enclosure #1), for this department is based on:

1. Effort distributions for teaching, research, and service;
2. Student evaluation of teaching;
3. Peer evaluation by division directors or department chair; and
4. Progress on goals and objectives

The policy as established provides particular weight to each of the above items.

b. No.

The policy as established, does not provide for any special weighting by faculty rank.

19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. dollars from the available pool regardless of annual salary), some combination of % and raw \$, or some other method other?

Merit dollars are awarded on a raw dollar basis from the pool.

20. When and how do you communicate the faculty member's annual salary incremental increase (or the lack thereof) to individual faculty in your department?

By letter from the chair following final approval of the school's salary plan.

21. When did the merit salary increases for your tenured and tenure-track faculty become effective in your department this year? (e.g. When did your faculty see the difference in their gross pay?)

October 6, 1999, retroactive to June 21, 1999.

22. Are there any problems with the Faculty Compensation Policy that you feel should be addressed by the Senate Committee on Faculty Affairs and/or the Faculty Senate?

No.

entered by VC

From: "ander018@maroon.tc.umn.edu" <ander018@maroon.tc.umn.edu>
Date: Tue, 25 Jan 2000 15:16:24 -0600
To: University Senate <senate@mailbox.mail.umn.edu>
Subject: Re: Cover letter + survey

University Senate wrote:

> January 5, 2000

> TO: Department Chairs/Heads, University of Minnesota Academic
> Health Center

> FROM: Academic Health Center Finance and Planning Committee:
> Timothy Church, Kathryn Dusenbery, Daniel Feeney (Chair),
> Katherine Johnston (ex officio), Michael Speidel, Patricia
> Tomlinson, and Carol Wells

> RE: Questionnaire about annual merit salary determination
> processes in your department

> In an effort to determine how merit salary awards are calculated across the
> individual departments in the Academic Health Center (AHC), the AHC Finance &
> Planning Committee are asking for your cooperation. We have designed a
> questionnaire that we hope addresses the issues brought to us by the faculty.
> Concerns have been raised about how salary increase dollars are distributed
> including things described as inequities, delays, favoritism, incomplete
> information, and obfuscation. To avoid undue speculation, there is no
substitute
> for the facts. It is in the interest of obtaining data that this questionnaire
> was developed and is being sent to you.

> To respond electronically, complete the questionnaire and press the "reply"
key
> to (senate@mailbox.mail.umn.edu). If you prefer to respond via US/campus mail,
> forward the questionnaire to:

> Ms. Vickie Courtney
> University Senate
> 427 Morrill Hall,
> 100 Church Street, SE
> Minneapolis, MN 55455

> We're asking that the questionnaire be returned before January 31, 2000.
> The information received will be collated and the results will be published
> in the "Academic Health Center Newsletter". If no response is received,
> you will be contacted ONCE to be sure there has been no unintentional
> oversight. All AHC Departments will be listed with their responses to each
> of the enclosed questions displayed. For those chairs/heads who do not
> respond, a "no response" will be placed next to that question for that
> department in the published materials. There is great interest in this
> data by Senior Vice President Frank Cerra and Associate Vice President
> Katherine Johnston and this effort has their support. Dr. Cerra sent a
> letter to the AHC Deans on 10/21/99 informing them this process was
> occurring.

> Thank you for your cooperation.

> *****

> AHC MERIT PROCESS QUESTIONNAIRE
> from the Academic Health Center Finance and Planning Committee

> This questionnaire is an inquiry regarding the processes involved with merit
> evaluation and annual salary determination across the Academic Health Center
> (AHC). Concerns about 1) the processes of individual faculty merit

evaluations

> 2) the determination of annual faculty merit salary awards, and 3) the
> timeliness of implementation of faculty raises have been brought to the
> attention of the AHC Finance & Planning Committee. Questions below are
> grouped
> by related issues and are intended to assess the status of compensation policy
> compliance within the AHC.

> 1. Does your department use an elected, peer evaluation group to conduct the
> faculty merit evaluations? _____ Yes

x No

> If you answered "no", please explain your process(es).

The department evaluation is a composite of evaluation by the individual faculty member (10%), the departmental committee comprised of 4 division heads in the department (50%) and the department chair (40%). Although the division heads are chosen by faculty consensus, the committee is not a body elected specifically for the task of peer evaluation.

> 2. Does the department chair/head participate in the deliberations of the
> elected, peer evaluation group during faculty merit evaluations?

> x Yes _____ No

> If you answered "no", please explain your process(es).

The department chair facilitates the department committee discussion but has no vote.

> 3. Does the department chair/head collate scores from the elected, peer
> evaluation group during the faculty merit evaluations?

> x Yes _____ No

> If you answered "no", please explain your process(es).

> 4. Does the department chair/head render an evaluation during the faculty
> merit
> evaluations?

> x Yes _____ No

> If you answered "no", please explain your process(es).

> If you answered "yes", please explain the relative weighting
> of the
> chair's/head's score to that of the faculty peer review committee.

As above, the chairmans evaluation is weighted as 40% of the total evaluation.

> 5. Does the department have a formal compensation/merit evaluation policy?

> x Yes _____

No
> If you answered "no", please explain your process(es).

> 6. Does your department annually vote on the process(es) and criteria for
> faculty merit evaluations?

> _____ Yes x

No
> If you answered "no", please explain what you do.

The faculty in the department voted to accept the current process July 13, 1993. There is general understanding that a change in the process could be voted on at the beginning of the merit period (calendar year). No change has been proposed since the installation of the current process. Since taking the position as departmental chair, two merit evaluations ago, I have received no complaints regarding the current system and

>
> 12. Do monies generated from clinical practice endeavors go into the academic
> department and potentially into a merit pool involving those faculty not
> engaged
> in clinical practice?

> _____ Yes x

No
> If you answered "yes", please explain what occurs.

>
> 13. Do the faculty in the department get a report on how available merit pool
> dollars were distributed (obviously not specifically to whom, but in the
> anonymous sense "how many faculty got what % raise)?

> x Yes _____

No
> If you answered "no", please explain what occurs.

>
> 14. Is the goal to award an "average" of the annually specified percent (as
> determined by Central Administration) to an individual's total faculty
> salary

> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +

> (? % practice plan\$) = 100% merit increase]?

> x Yes _____

No
> If you answered "no", please explain your process(es).

>
> 15. Do you have any "incentive pay" or annual productivity bonuses that are
> awarded to faculty?

> x Yes _____ No

> If you answered "yes", please explain how these work.

The School of Dentistry sets aside a special merit pool for disbursement by the Dean. This is done on the recommendations of the departmental chairs, pleading the cases of faculty who have made school wide contributions which may not have been rewarded adequately by the departmental processes. The faculty has been receptive and appreciative of this special merit process.

>
> 16. Are you aware of the Faculty Compensation Policy and what it says about
> how
> annual merit evaluations and salary determinations are to be conducted?

> x Yes _____

No
>
> 17. Do you as Department Chair/Head meet with your faculty individually to
> explicitly discuss their merit evaluation and to agree upon mutual
> expectations
> for the following academic year?

> x Yes _____

No
> If you answered "no", please explain how merit scores are
> explained and how
> expectations, workloads, etc. are agreed-upon in your department.

>
> 18. Do you as Department Chair/Head use a criteria-based formula to calculate
> merit scores for individual faculty?

> x Yes _____

No
>
> a. If you answered "yes", please indicate the scoring system and
> explain
> whether or not it is weighted by % effort in specific areas (e.g. teaching,
> research, service, outreach, administration...).

At the beginning of each calendar year, the faculty member agrees with the division head and department chair, upon an effort allocation distributed across research, service and teaching activities. The merit process involves assigning a score from 1-5 for each area of effort. The merit formula uses the score in each area and weights it based upon the mutually agreed upon allocation of effort.

> b. If you answered "yes", please indicate whether the scoring system is weighted by faculty rank (e.g. merit points are worth proportionally more at higher ranks).

No.

> c. If you answered "no", please indicate how you handle merit scores. Merit points are weighted the same at all faculty ranks.

> 19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. dollars from the available pool regardless of annual salary), some combination of % and raw \$, or some other method other?
> _____ % of _____ raw \$ _____ raw & % x
Other
> salary from pool
> Please explain your process(es)

> Half of the merit pool distribution is based on percentage of current salary base, favoring the more senior faculty with higher salaries. The other half of the distribution is based on straight dollars, favoring the more productive faculty in a given year.

> 20. When and how do you communicate the faculty member's annual salary incremental increase (or the lack thereof) to individual faculty in your department?

Faculty receive notice by letter from the department chair subsequent to the department receiving information from the administration regarding its merit pool. This is done within one week.

> 21. When did the merit salary increases for your tenured and tenure-track faculty become effective in your department this year? (e.g. When did your faculty see the difference in their gross pay?)

This is entirely dependent on the central administration disbursement of the funds.

> Specify month and year the raises for 1999-2000 FY became effective.

The difference was first realized September 22, 1999, retroactive to 6/21/99.

> 22. Are there any problems with the Faculty Compensation Policy that you feel should be addressed by the Senate Committee on Faculty Affairs and/or the Faculty Senate?

Not from my perspective.

>

> Thank you for your cooperation!
>
> Please return this questionnaire to:
>
> senate@mailbox.mail.umn.edu
>
> or
>
> Ms. Vickie Courtney
> 427 Morrill Hall,
> 100 Church Street SE
> Minneapolis, MN 55455
>
> By 1/31/00
>
> cc: AHC Deans
>
> *****
> University Senate Phone: 612-625-9369
> 427 Morrill Hall Fax: 612-626-1609
> 100 Church St SE E-mail: senate@mailbox.mail.umn.edu
> Minneapolis, MN 55455 Web: <http://www1.umn.edu/usenate>

entered by VC

From: [redacted] <marte001@tc.umn.edu>
Date: Mon, 31 Jan 2000 14:05:20 -0600
To: senate@mailbox.mail.umn.edu
Subject: Survey Draft

1/31/2000
Subject: SURVEY/AHC FCC

1. Does your department use an elected, peer evaluation group to conduct the faculty merit evaluations? _____ Yes X No
Peer evaluation included, but group not elected

If you answered "no", please explain your process(es).

Current policy has evolved from that adopted by the faculty in 1988/89 when reorganization occurred. Discussions regarding policy/process changes have continually been a component item of the agenda for the eight member Preventive Sciences Administrative Committee. The Committee is aware of recently articulated guidelines and policies; the concept of an annually elected peer group separate from the existing peer group will be presented to the faculty for a vote this year. At the same time, we feel that our current system/process has served us well; we believe it is, and for the most part is perceived as fair, useful, and that it meets the spirit, if not the letter of the new guidelines.

Several questions below ask for specifics of the process. Please refer to them. Also, be aware that hard copy of policy descriptions can be made available.

2. Does the department chair/head participate in the deliberations of the elected, peer evaluation group during faculty merit evaluations?
_____ Yes _____ No

If you answered "no", please explain your process(es).

NA...not elected

3. Does the department chair/head collate scores from the elected, peer evaluation group during the faculty merit evaluations?
_____ Yes _____ No

If you answered "no", please explain your process(es).

NA

4. Does the department chair/head render an evaluation during the faculty merit evaluations?
_____ Yes _____ No

If you answered "no", please explain your process(es).

If you answered "yes", please explain the relative weighting of the chair's/head's score to that of the faculty peer review committee.

See responses below.

5. Does the department have a formal compensation/merit evaluation policy?
 X Yes _____ No

If you answered "no", please explain your process(es).

6. Does your department annually vote on the process(es) and criteria for faculty merit evaluations?
 X Yes _____ No

If you answered "no", please explain what you do.

Process is reviewed/revised annually by Dept Administrative Committee, usually at its first meeting in January. Committee consists of Division director and another faculty representative of each of four divisions. This year, we intend to use the same format/process as in the past*, with very minor modifications. Annual review is done by calendar year-is always done whether salary increase \$ are available/not available

*This yrs notification to faculty re annual review

it is not too soon to remind continuing faculty in your divisions of annual review. Most likely, review materials will be due in Department Office on or about March 7. At our last meeting, we decided to go with the same format as last year-

- a) CV's updated through December 99
- b) faculty self reviews/checklist and comprehensive statement of activities
- c) directors meet with faculty re last yrs and new goals
- d) report of and request for outside consulting activities
(awaiting clarification to see if this will be implemented online)
- e) division directors rate faculty-meet with Chair

At the same time, it is our goal to finalize a Dept plan to implement post-tenure review by the end of the calendar year.

7. Who makes the final decision on the actual amount of merit pay awarded in faculty merit evaluations?

Faculty peer Chair/Head Other
 Merit Committee (please define)

If you answered "Chair/Head" or "Other", please explain how merit evaluation scores from the faculty peer evaluation group are used in your process(es).

*****On, or before March 1*****

Faculty evaluate themselves, (and record ratings) with respect to their achievement of goals, their activity and performance of several duties/responsibilities/assignments/expectations under the three broad categories identified in the Dept 7.12 Tenure Statement-ie Teaching, Scholarly Activity and Research, Service. They rate their own merit performance as Outstanding, More than Adequate, Adequate, Inadequate. Peer evaluations from colleagues may also be submitted-they are no longer solicited. Faculty meet with division director re previous yr and new goals/objectives.

*****Between March 1-31*****

After review of self-ratings and other documentation (including student/peer evaluations of teaching/courses), Division Director recommends merit category (0,1,2,3, and may recommend Additional Special Merit) Director fwds materials to Chair-Chair independently reviews self evaluations, updated CV's, detailed faculty activity report and then discusses with Director-a merit score is assigned and joint recommendations to the Dean are formulated.

When the % of increase is known, the formula constant is applied according to the 0/1/2/3 rating above. (On occasion a member may be rated between two merit categories, ie 1.5 2.5) Those members that have exceeded substantially expectations and made highly significant contributions to the School, and/or the AHC and/or the University, may be recommended for additional special merit, usually awarded in raw \$ amounts, 1000, 1500. etc.

Definitions

I = Inadequate Does not meet assigned/expected standard
 A = Adequate Meets assigned/expected standard
 M = More than Adequate Exceeds " "
 O = Outstanding Substantially exceeds " "

Proportion of
 Avg Allotted

 No less than

Merit 0	Adequate performance meets, but does not exceed in any categories	.00
Merit 1	Exceeds standard in one category adequate in others	.75
Merit 2	Clearly exceeds standard in at least two of three categories of assigned work or Outstanding on one area with no Inadequate ratings	.95

Merit 3 Outstanding in all categories/or in two for
Clinical Track

1.05

Special Merit Merit 3 faculty also considered for raw \$ award

Final Decision.....Director>>>>>>>Chair>>>>>>>Dir & Chr>>>>>>>Chr & Dean

8. Does the available pool (not the source) of dollars available for annual faculty merit distribution vary depending on how a faculty member's appointment is funded? [e.g. state \$, grant \$, clinic income \$, other \$]

_____ Yes No

If you answered "yes", please explain what occurs.

9. Are the faculty aware of the available pool of money to be allocated to merit salary increases in this department? [e.g. dollars as a % of current pay, gross dollars, etc.]

Yes _____ No

If you answered "no", please explain what they are told about available \$.

Average percent to be distributed in Dept and Dean's pool is communicated as soon as it is known.

In the past few years, a larger portion of the allocation goes to the Dept for merit. A Dean's pool set aside is available to address merit/marketplace issues, as well as "Special" Merit-over and above the Dept merit Award.

10. Does the presence of a research grant containing salary dollars influence what might be available for awarding to individual faculty at annual merit distribution deliberations? [e.g. 3% average increase suggested by central administration, but grant contains 2% or 4% increase on that portion of the involved individual's salary]

_____ Yes No

If you answered "yes", please explain what occurs.

with exception of one or two temporary Research Assts Assoc. fully funded by a grant

11. Does the presence of a practice plan influence what might be available for awarding to individual faculty at annual merit distribution deliberations? [e.g. Is the % of an individual's appointment that is assigned to clinical practice/service treated similarly to what has been suggested by central administration (? 3%) or are practice dollars awarded strictly on the basis of income generation?]

_____ Yes No

If you answered "yes", please explain what occurs.

12. Do monies generated from clinical practice endeavors go into the academic department and potentially into a merit pool involving those faculty not engaged in clinical practice?

_____ Yes No

If you answered "yes", please explain what occurs.

13. Do the faculty in the department get a report on how available merit pool dollars were distributed (obviously not specifically to whom, but in the anonymous sense "how many faculty got what % raise)?

_____ Yes No

If you answered "no", please explain what occurs.

They do not get a formal report on the specific question you state; it may or may not be discussed after annual reviews. See #7 above

14. Is the goal to award an "average" of the annually specified percent (as determined by Central Administration) to an individual's total faculty salary [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) + (? % practice plan\$) = 100% merit increase]?

_____ Yes _____ No

If you answered "no", please explain your process(es).

Need clarification on the question

15. Do you have any "incentive pay" or annual productivity bonuses that are awarded to faculty?

_____ Yes No
If you answered "yes", please explain how these work.

16. Are you aware of the Faculty Compensation Policy and what it says about how annual merit evaluations and salary determinations are to be conducted?

_____ Yes _____ No

17. Do you as Department Chair/Head meet with your faculty individually to explicitly discuss their merit evaluation and to agree upon mutual expectations for the following academic year?

Yes No

If you answered "no", please explain how merit scores are explained and how expectations, workloads, etc. are agreed-upon in your department.

At annual review, faculty meet with their division director to a) review the past years' activity and performance, especially that related to the goals that were previously established for the year, and b) to mutually establish new goals and expectations for the coming year.

These are reviewed in the Director/Chair meeting(s). Rarely are there misunderstandings about workload/expectations..if so Faculty Director and Chair meet.

18. Do you as Department Chair/Head use a criteria-based formula to calculate merit scores for individual faculty?

Yes _____ No

a. If you answered "yes", please indicate the scoring system and explain whether or not it is weighted by % effort in specific areas (e.g. teaching, research, service, outreach, administration...).

See above

b. If you answered "yes", please indicate whether the scoring system is weighted by faculty rank (e.g. merit points are worth proportionally more at higher ranks).

Not weighted by faculty rank

c. If you answered "no", please indicate how you handle merit scores.

19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. dollars from the available pool regardless of annual salary), some combination of % and raw \$, or some other method other?

_____ % of _____ raw \$ _____X_____ raw & % _____X_____ Other
salary from pool

Please explain your process(es).

Annual Merit Awarded on a % basis (see 7 above)

If, after all \$ assigned by % there are any funds left, they may be divided among those in the higher merit categories.

Mktplace " \$ (lump)

Special Merit " "

20. When and how do you communicate the faculty member's annual salary incremental increase (or the lack thereof) to individual faculty in your department?

When-Usually after meeting with the Dean on each persons review, he signs off on

all recommendations. On occasion, and when appropriate, a faculty member is met with in advance of the Chair's meeting with the Dean-and is informed of the recommendations to be made.

How- send an email to each individual, thanking them for their contributions and detailing information about their merit increase as well as any marketplace and special merit awards-usually within 24 to 48 hours of receiving clearance to do so. Also send a composite of information to each division director noting data for each individual in their unit. Always meet with those whose performance is Inadequate or marginal. Follow up with informal visits to others Encourage further discussion.

21. When did the merit salary increases for your tenured and tenure-track faculty become effective in your department this year? (e.g. When did your faculty see the difference in their gross pay?)

Specify month and year the raises for 1999-2000 FY became effective.

received retroactive pay to July 1 in October

22. Are there any problems with the Faculty Compensation Policy that you feel should be addressed by the Senate Committee on Faculty Affairs and/or the Faculty Senate?

Entered by VC

..... This message includes attached files.
..... Use the Save button to extract them.

From: Oral Science <frisc001@maroon.tc.umn.edu>
Date: Fri, 28 Jan 2000 10:12:00 -0600
To: senate@mailbox.mail.umn.edu
Subject: Questionnaire

This is from [REDACTED] Interim Chair, Department of Oral Science, School of Dentistry. If you have any questions, please feel free to call him at 5-9636 or e-mail him at dougl001@tc.umn.edu. Thank you.

January 5, 2000

>
> TO: Department Chairs/Heads, University of Minnesota Academic
> Health Center

>
> FROM: Academic Health Center Finance and Planning Committee:
> Timothy Church, Kathryn Dusenbery, Daniel Feeney (Chair),
> Katherine Johnston (ex officio), Michael Speidel, Patricia
> Tomlinson, and Carol Wells

>
> RE: Questionnaire about annual merit salary determination
> processes in your department

>
> In an effort to determine how merit salary awards are calculated across the
> individual departments in the Academic Health Center (AHC), the AHC Finance &
> Planning Committee are asking for your cooperation. We have designed a
> questionnaire that we hope addresses the issues brought to us by the faculty.
> Concerns have been raised about how salary increase dollars are distributed
> including things described as inequities, delays, favoritism, incomplete
> information, and obfuscation. To avoid undue speculation, there is no
> substitute
> for the facts. It is in the interest of obtaining data that this questionnaire
> was developed and is being sent to you.

>
> To respond electronically, complete the questionnaire and press the "reply"
> key
> (senate@mailbox.mail.umn.edu). If you prefer to respond via US/campus mail,
> forward the questionnaire to:

>
> Ms. Vickie Courtney
> University Senate
> 427 Morrill Hall,
> 100 Church Street, SE
> Minneapolis, MN 55455

>
> We're asking that the questionnaire be returned before January 31, 2000.
> The information received will be collated and the results will be published
> in the "Academic Health Center Newsletter". If no response is received,
> you will be contacted ONCE to be sure there has been no unintentional
> oversight. All AHC Departments will be listed with their responses to each
> of the enclosed questions displayed. For those chairs/heads who do not
> respond, a "no response" will be placed next to that question for that
> department in the published materials. There is great interest in this
> data by Senior Vice President Frank Cerra and Associate Vice President
> Katherine Johnston and this effort has their support. Dr. Cerra sent a
> letter to the AHC Deans on 10/21/99 informing them this process was
> occurring.

> Thank you for your cooperation.

> *****

> AHC MERIT PROCESS QUESTIONNAIRE

> from the Academic Health Center Finance and Planning Committee

>

>

> This questionnaire is an inquiry regarding the processes involved with merit
> evaluation and annual salary determination across the Academic Health Center
> (AHC). Concerns about 1) the processes of individual faculty merit
evaluations

> 2) the determination of annual faculty merit salary awards, and 3) the
> timeliness of implementation of faculty raises have been brought to the
> attention of the AHC Finance & Planning Committee. Questions below are
grouped

> by related issues and are intended to assess the status of compensation policy
> compliance within the AHC.

>

> 1. Does your department use an elected, peer evaluation group to conduct
the faculty merit evaluations? _____ Yes X No

> If you answered "no", please explain your process(es).

>

>FACULTY ON SEVERAL OCCASIONS OVER 10 YEARS DECLINED TO BE INVOLVED IN
EVALUATIONS AND DEFERRED TOTAL RESPONSIBILITY TO THE CHAIRMAN.

>

> 2. Does the department chair/head participate in the deliberations of the
> elected, peer evaluation group during faculty merit evaluations?

> _____ Yes _____ No

> If you answered "no", please explain your process(es).

>

>NOT APPLICABLE (SEE #1)

>

> 3. Does the department chair/head collate scores from the elected, peer
> evaluation group during the faculty merit evaluations?

> _____ Yes _____ No

> If you answered "no", please explain your process(es).

>

>NOT APPLICABLE (SEE #1)

>

>

> 4. Does the department chair/head render an evaluation during the faculty
merit evaluations?

> X Yes _____ No

> If you answered "no", please explain your process(es).

> If you answered "yes", please explain the relative weighting of the
> chair's/head's score to that of the faculty peer review committee.

>

>100% CHAIR

>

>

>

> 5. Does the department have a formal compensation/merit evaluation policy?

> X Yes _____ No

> If you answered "no", please explain your process(es).

>

>POINT SYSTEM: TEACHING, RESEARCH (INCLUDES GRANTS AND PUBLICATIONS), SERVICE
AND CLINICAL

>

>

>

> 6. Does your department annually vote on the process(es) and criteria for
> faculty merit evaluations?

> _____ Yes X No

> If you answered "no", please explain what you do.

>
>EACH FACULTY MEMBER IS INDIVIDUALLY INTERVIEWED.
>
>
>
> 7. Who makes the final decision on the actual amount of merit pay awarded in
> faculty merit evaluations?
> _____ Faculty peer _____ Chair/Head X Other
> _____ Merit Committee _____ (please define)
> If you answered "Chair/Head" or "Other", please explain how merit
> evaluation scores from the faculty peer evaluation group are used in your
> process(es).
>
>CHAIR IN CONSULTATION WITH THE DEAN OF THE SCHOOL OF DENTISTRY.
>
>
>
> 8. Does the available pool (not the source) of dollars available for
annual faculty merit distribution vary depending on how a faculty
member's
appointment is funded? [e.g. state \$, grant \$, clinic income \$, other \$]
> _____ Yes X No
> If you answered "yes", please explain what occurs.
>
>
> 9. Are the faculty aware of the available pool of money to be allocated to
merit salary increases in this department? [e.g. dollars as a % of
current pay,
gross dollars, etc.]
> X Yes _____ No
> If you answered "no", please explain what they are told about available \$.
>
>
> 10. Does the presence of a research grant containing salary dollars
influence what might be available for awarding to individual faculty at
annual merit
distribution deliberations? [e.g. 3% average increase suggested by
central
administration, but grant contains 2% or 4% increase on that portion of
the involved individual's salary]
> _____ Yes X No
> If you answered "yes", please explain what occurs.
>
>
> 11. Does the presence of a practice plan influence what might be available for
> awarding to individual faculty at annual merit distribution deliberations?
> [e.g. Is the % of an individual's appointment that is assigned to clinical
> practice/service treated similarly to what has been suggested by central
> administration (? 3%) or are practice dollars awarded strictly on the basis of
> income generation?]
> _____ Yes X No
> If you answered "yes", please explain what occurs.
>
>
> 12. Do monies generated from clinical practice endeavors go into the academic
> department and potentially into a merit pool involving those faculty not
engaged
> in clinical practice?
> _____ Yes X No
> If you answered "yes", please explain what occurs.
>

> 13. Do the faculty in the department get a report on how available merit pool
> dollars were distributed (obviously not specifically to whom, but in the
> anonymous sense "how many faculty got what % raise)?
> Yes No
> If you answered "no", please explain what occurs.
>
>
>
> 14. Is the goal to award an "average" of the annually specified percent (as
> determined by Central Administration) to an individual's total faculty salary
> [e.g. (? % state \$) + (? % grant salary \$) + (? % contract \$) +
> (? % practice plan\$) = 100% merit increase]?
> Yes No
> If you answered "no", please explain your process(es).
>
>AWARD IS BASED ON ACTIVITY - OVER 1988 TO 1999 DEPARTMENT AWARD RANGE VARIED UP
TO 20-FOLD.
>
>
>
> 15. Do you have any "incentive pay" or annual productivity bonuses that are
> awarded to faculty?
> Yes No
> If you answered "yes", please explain how these work.
>
>RECIPIENTS OF DENTAL CLASS TEACHING AWARDS AUTOMATICALLY RECEIVE \$1,000
>
>
>
> 16. Are you aware of the Faculty Compensation Policy and what it says about
how
> annual merit evaluations and salary determinations are to be conducted?
> Yes No
>
>
>
> 17. Do you as Department Chair/Head meet with your faculty individually to
> explicitly discuss their merit evaluation and to agree upon mutual
expectations
> for the following academic year?
> Yes No
> If you answered "no", please explain how merit scores are explained and how
> expectations, workloads, etc. are agreed-upon in your department.
>
>
>
> 18. Do you as Department Chair/Head use a criteria-based formula to calculate
> merit scores for individual faculty?
> Yes No
>
> a. If you answered "yes", please indicate the scoring system and explain
> whether or not it is weighted by % effort in specific areas (e.g. teaching,
> research, service, outreach, administration...).
>
>IT IS WEIGHTED BY % EFFORT IN VARIOUS AREAS.
>
>
> b. If you answered "yes", please indicate whether the scoring system is
> weighted by faculty rank (e.g. merit points are worth proportionally more at
higher ranks).
>
>NOT WEIGHTED BY RANK - SEE (a) ABOVE.
>
>
> c. If you answered "no", please indicate how you handle merit scores.

>
>

> 19. Are merit \$ awarded on a % of salary basis, a raw dollar basis (e.g. dollars from the available pool regardless of annual salary), some combination of % and raw \$, or some other method other?

> _____ % of _____ raw \$ _____ raw & % _____ Other
> salary from pool

> Please explain your process(es).

>POINTS ARE CORRELATED TO THE TOTAL NUMBER OF DOLLARS

> 20. When and how do you communicate the faculty member's annual salary incremental increase (or the lack thereof) to individual faculty in your department?

>BY A WRITTEN NOTICE CONTAINING PERSONAL DATA PLUS AGGREGATE DEPARTMENTAL DATA (ANONYMOUS)

> 21. When did the merit salary increases for your tenured and tenure-track faculty become effective in your department this year? (e.g. When did your faculty see the difference in their gross pay?)

> Specify month and year the raises for 1999-2000 FY became effective.

>SEPTEMBER 1999

> 22. Are there any problems with the Faculty Compensation Policy that you feel should be addressed by the Senate Committee on Faculty Affairs and/or the Faculty Senate?

>A GENERALLY AGREED APPROACH TO COMPENSATION WOULD BE USEFUL

> Thank you for your cooperation!

> Please return this questionnaire to:

> senate@mailbox.mail.umn.edu

> or

> Ms. Vickie Courtney
> 427 Morrill Hal,
> 100 Church Street SE
> Minneapolis, MN 55455

> By 1/31/00

> cc: AHC Deans

>
>
>
>
>
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>
>
>
>

> *****

> University Senate Phone: 612-625-9369
> 427 Morrill Hall Fax: 612-626-1609
> 100 Church St SE E-mail: senate@mailbox.mail.umn.edu
> Minneapolis, MN 55455 Web: <http://www1.umn.edu/usenate>

>
>

UNIVERSITY OF MINNESOTA

University Senate

427 Morrill Hall
100 Church Street S.E.
Minneapolis, MN 55455-0110
612-625-9369
Fax: 612-626-1609
E-mail: senate@mailbox.mail.umn.edu

January 14, 2000

Associate Professor James R. Holtan, Chair
Department of Restorative Sciences, School of Dentistry
9-176 Malcolm Moos Health Sciences Tower
East Bank

Dear Professor Holtan:

On behalf of the AHC Finance and Planning Committee, thank you for completing the questionnaire regarding the annual merit salary determination processes. The information received will be compiled and published after the January 31 deadline.

Sincerely,

Vickie Courtney, *Coordinator*
U Senate +
AHC Finance & Planning Committee

Reply sent via campus mail on 1/14/00.

ANNUAL REVIEW

UMD SCHOOL OF MEDICINE

Purposes:

The Annual Review of each faculty member of the UMD-School of Medicine (UMD-SOM) has three purposes: 1) to examine activities and accomplishments with respect to the UMD-SOM's tripartite mission - education, scholarly activity, and service; 2) to plan for professional development; and 3) to make annual compensation decisions. This process is intended to continually improve the UMD-SOM's contributions and accomplishments in mission-related areas and to assist the faculty in attaining the attributes, experience, and skills necessary for professional development and fulfillment. Expectations of individual faculty are described in Section 7.12 of the Tenure Code (Departmental Schedule and Indices for Promotion and Tenure) used by the School of Medicine for promotion and tenure decisions. An individual faculty member's contributions to the three mission-related areas may vary from year to year, but should be consistent with the professional development of the faculty member and may involve changing career patterns.

Procedure:

The procedure employs two documents: an annual plan and an annual report. Early in the fall of each academic year, each faculty member will prepare an annual plan concerning that year's mission-related activities. This proposed plan is discussed with the department head (Dean if the faculty member is a department head) and a mutually agreeable plan is submitted to the Dean. This plan forms an important component of the Annual Review. In the late spring or early summer of each academic year, each faculty member will prepare an annual report containing the year's activities and accomplishments. This document will be submitted to the department head (Dean for department heads) for his/her review with particular respect to the previous annual plan. Following discussion with the faculty member, a signed copy will be forwarded to the Dean for his/her review. The department head and Dean will meet to discuss each faculty member's performance and progress. The department head will comment from a departmental perspective and the Dean from a school-wide perspective. The Dean may consult with the Post-Tenure Review Committee on a department head's performance. When performance is determined to be substantially below expectations, the post-tenure review process may be initiated. The discussions between the department head and the Dean will conclude with a compensation decision. The department head will relate a summary of the annual review discussions with the Dean and the compensation decision to each faculty member.

POST-TENURE REVIEW UMD SCHOOL OF MEDICINE

Goals and Expectations

The purpose of the Post-Tenure Review is to review annually a faculty person's accomplishments in order to maintain and improve performance in teaching, scholarly productivity, and service. The goals and expectations of individual faculty will follow guidelines established by Section 7.12 of the Tenure Code (Departmental Standards and Indices for Promotion & Tenure) in effect and used by the UMD School of Medicine for its decisions on granting tenure and/or promotion. Specific details of the annual expectations will be part of the agreed upon annual report developed between faculty, department heads, and the Dean; or between department heads and the Dean. It is recognized that within the three areas, teaching, scholarly productivity, and service, there can be much variability with regard to distribution of effort. It is further recognized that variability may occur due to differences in professional development and missions within divisions of the UMD School of Medicine. There should be flexibility of emphasis recognizing these changing career patterns, although over time there must be some balance of both teaching and scholarly productivity to maintain academic competence. Examples of teaching, scholarly, and service expectations can be found in our approved 7.12 statement.

Procedure:

Each faculty member will prepare an annual report using the UMD School of Medicine approved format. This document will be submitted to the department head by a specified date. A signed copy will be submitted to the Dean after discussion between department head and faculty member. The Dean will also review the annual report and return a signed copy back to the faculty member with comments. The annual report will serve as the major document for the annual performance review and compensation review. Thus, the Dean, in consultation with the department head, will provide the first level of Post-Tenure Review annually. Where review of performance is determined to be substantially below expectations by the department head or Dean, a faculty member's case will be referred to the Post-Tenure Review Committee (PTRC) for their consideration. The PTRC of the UMD School of Medicine will follow "Rules and Procedures for Post-Tenure Review" established and approved by the University of Minnesota. Department heads will also prepare an individual annual report using the UMD School of Medicine approved format. This will be submitted to the Dean. The Dean may consult the PTRC for their evaluation of a department head's performance.

The composition of the PTRC will be three elected members of the UMD School of Medicine faculty and an alternate. The members will be regular tenured faculty who do not hold administrative appointments as deans or department heads. No one will serve on the committee for two consecutive terms. Initially, the three members will be elected for three-, two-, and one-year terms so that only one new member and the alternate will be elected annually in the spring prior to the completion of the annual reports. The PTRC will not function unless the department head and/or dean consult with the committee regarding possible substandard performance. Should a member of the PTRC be referred to the committee by the dean or a department head that member would be replaced by the alternate for review of the case.

ANNUAL PLAN 1999-2000

Due Date: Thursday, October 15, 1999

Name: _____ **Date:** _____

Department: _____

I. Educational Activities: % Effort _____

II. Research/Scholarly Activities: % Effort _____

III. Service/Clinical/Outreach Activities: % Effort _____

IV. Leadership/Mentoring Activities: % Effort _____

V. Other: % Effort _____

VI. Department Head's Comments:

Administrator
Annual Plan 99-00

Due Date – October 15, 1999

I. Describe or list your goals and priorities for your area of responsibility/department:

II. Comment on your administrative personal goals:

III. Indicate how the Dean's Office can better support your administrative efforts and responsibilities:

IV. What percentage of your time is devoted to administrative matters?

ANNUAL REPORT 1998-1999
Individual

Due Date: Friday, June 18, 1999

Name: _____ **Date:** _____

Department: _____

I. Educational Activities:

A. Courses taught during academic year (please indicate what is new for 1998-1999):

<u>Title</u>	<u>Total Lecture Hours</u>	<u>Total Lab Hours</u>
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Medical School:

Graduate School:

Undergraduate:

Other:

Totals: _____

B. Honors:

C. Professional meetings attended and presentations given:

II. Research Activities:

A. Grants current (title, total award period, total award amount):

B. Grants submitted (title, award period, amount requested):

C. Grants awarded/renewed during 1998-1999 (title, award period, total award amount):

D. Invited presentations and honors:

E. Professional meetings attended and presentations given:

III. Scholarly Activity:

A. Manuscripts (in print in 1998-1999 or accepted for publication during 1998-1999):

B. Abstracts:

C. Books/Book Chapters:

D. Other (letters to editor, computer programs, etc.):

E. Publications submitted for publication in 1998-1999, but which are still under review:

IV. Service/clinical/outreach activities (School of Medicine and University committees, community service, etc.):

A. 1998-1999 activities:

V. Leadership/Mentoring activities (School of Medicine faculty and graduate students, Academic Health Center faculty, etc.):

A. 1998-1999 activities:

VI. Other accomplishments not listed above:

VIII. Department head's evaluation of 1998-1999 academic year's performance of this faculty member. Please describe with respect to meeting, not meeting or exceeding goals and objectives of past year.

I have read the departmental head's comments and evaluation.

Faculty member's signature

Date

Department head's signature

Date

**College of Pharmacy
Review Procedures
Fall 1999**

University of Minnesota

College of Pharmacy

Promotion and Tenure

Post-Tenure Review

Annual Review

Faculty Affairs Committee (FAC) Report

College of Pharmacy Proposed Promotion and Tenure 2nd Level Collegiate Review Guidelines adopted by College of Pharmacy Executive Faculty October 1, 1999

1. P&T 2nd Level Collegiate Review Committee Membership.

The FAC proposes that a subcommittee of the FAC assume responsibility for 2nd level review of promotion and tenure nominations. The P&T subcommittee will consist of one tenured FAC member from each of the Departments.

In order to ensure balanced and fair review, the following guidelines will apply:

- If a Department has two representatives on the FAC, the Department will designate which representative will serve on the P&T 2nd Level Collegiate Review Committee.
- If a Department does not have a full Professor on the FAC, within one month following spring committee elections, the Department will designate a tenured full Professor to serve, if necessary, on the P&T 2nd Level Collegiate Review Committee for that year. The designated full Professor will need to serve if there are any candidates for full professorship from any Department during that year as only full professors may participate in deliberations for promotions to the rank of professor.
- All members of the P&T 2nd Level Collegiate Review Committee will participate in deliberations on candidates from all Departments.
- The members of the P&T 2nd Level Collegiate Review Committee not from the candidate's Department will vote by secret ballot on the following questions:
 1. Do the candidate's qualifications as outlined in his/her dossier meet the criteria cited in the Department's 7.12 statement?
 2. Did the Department follow the review process outlined in its 7.12 statement?

2. Role of the P&T 2nd Level Collegiate Review Committee.

FAC proposes that its role as a 2nd level review committee should be:

1. Ensure that the candidate's dossier is complete.
2. Examine the review process used by the Department to ensure that the Department's 7.12 statement procedures were followed.
3. Review the candidate's dossier in the context of her/his Department's 7.12 statement and determine if candidate has met the cited criteria.

3. **Standardization of the Promotion and Tenure Dossiers.**

The FAC proposes that the format of promotion and tenure dossiers be standardized across all Departments. The committee thinks standardization will make the review process more efficient. Dossiers should follow the format outlined below, which is based on a model dossier distributed by the Academic Health Center.

	Dossier Section	
The Dean adds these sections.	I.	Candidate's Statement of Concurrence.
		Dean's Letter to the Senior Vice President for Health Sciences of the Academic Health Center.
The 2 nd Level Collegiate Review Committee adds this section.	II.	Review Committee Letter to the Dean outlining the committee's deliberations.
The Department adds these sections.	Appendix III	Department Head provides copy of Departmental 7.12 statement.
	III.	Department Head Recommendation Letter – includes Department vote and summary of the discussion with majority and minority view; statement that the Department faculty have followed the required procedures.
	IV.	Copies of the annual Appraisals for Probationary Faculty (President's Form 12) – for tenure dossiers only.
	VII.	External Review and Evaluation – includes list of external reviewers, their positions and areas of expertise; sample letter to reviewers; letters received from reviewers.
Document submitted by the candidate to the Department contains these sections.	V.	Candidate's Nomination Cover Letter to the Department Head.
	VI.	Curriculum Vitae.
		List of potential external reviewers and any individuals who should be excluded.
	VIII.	Research and Scholarship – include a narrative summary; listing of peer-reviewed publications, non-peer reviewed publications, books and book chapters, presentations and abstracts, grant and contract support, persons trained, and other evidence of research and scholarship.
	IX.	Teaching – include a narrative summary; teaching experience; and a summary of teaching effectiveness.
	X.	Service – include discipline-related, professional service; University/College/Department service; and other such as community service. Also include an estimate of the percentage of time spent in service effort.
	XI.	Practice – if applicable.
	Appendix I	Selected Reprints – include three (3) research/scholarly publications
	Appendix II	Teaching Evaluations – include Measurement Services or other formal measurement tools, letters regarding teaching effectiveness, etc.

**University of Minnesota
College of Pharmacy
College's Statement Required by Section 7.12
of
Regulations Concerning Faculty Tenure**

I. Introductory Statement

This document describes with more specificity the indices and standards which will be used to evaluate whether candidates meet the general criteria in section 7.11 of the Regulations. For a complete perspective, the reader is advised to review Section 7 in its entirety.

II. College's Mission Statement

The College of Pharmacy is responsible for the education of pharmacy practitioners who will meet the health needs of the people of Minnesota and society and deliver essential pharmaceutical services. The College is committed to the improvement of human health through the creation and dissemination of knowledge leading to the development of new drugs and new drug delivery systems, the optimization of drug use and the improvement of pharmaceutical services. It is committed as well to the development of pharmaceutical technology to strengthen the economy of the State of Minnesota.

III. Granting of Indefinite Tenure

- A. Criteria for Tenure: General (Abridged from section 7.11 of the Regulations Concerning Faculty Tenure, July 1, 1985).

The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research and service over the course of the faculty member's academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research. The relative importance of the criteria may vary in different academic units, but each of the criteria must be considered in every decision. Service, whether professional service or University and public service, may be taken into consideration, but is not in itself a basis for awarding tenure.

1. Teaching:

The requisites for effectiveness of a teacher include intellectual competence, integrity, independence, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, an ability to effectively transmit knowledge to students, to arouse curiosity in beginning students and to stimulate advanced students to creative work. Evaluation of effectiveness of teaching will include classroom performance, curriculum materials, educational development activities, and externship/clerkship student evaluation. The evaluation of effectiveness of teaching will be based on:

- a. The candidate's overall teaching ability as perceived by students and documented by their responses on periodic student opinion surveys in a course in which the candidate is the major instructor.
- b. The candidate's teaching competence as determined by teaching evaluation by peers and/or comments of other instructors of higher rank, in team taught courses.
- c. The candidate's contributions to pharmacy education as demonstrated by any of the following:
 - i. Developing a new course or rotation, or revising an existing course.
 - ii. Receiving an educational development grant or directing an experimental educational program.
 - iii. Publishing a review article of technical nature in a professional journal.
 - iv. Authoring or co-authoring a chapter in pharmacy or medicine textbook.
 - v. Participating as an invited contributor in a national symposium or workshop on some aspect of pharmacy education.
 - vi. Publishing an article on subjects relating to pharmacy education.
 - vii. Developing and presenting a continuing education program(s).
 - viii. Receiving a recognized teaching award.

Any of the candidate's contributions listed above must be judged by peer review as scholarly and of high quality and significance.

- d. Probationary faculty who are required to provide students of the College with experiential education opportunities (clerkships and externships) will be evaluated on their ability to establish and maintain a clinical practice setting to serve as a vehicle for their teaching activities. The candidate must demonstrate distinction and special competence in a specific field of pharmacy practice. The candidate's professional activities should be scrutinized for evidence of achievement, leadership and the development or utilization of new approaches and techniques for the solution of professional problems or other creative activities.

Evaluation of the clinical competence of the candidate should be made by clinical practitioners. This evaluation should include the candidate's contributions in the following areas:

- i. Innovative pharmacy practice.
- ii. Clinical competence in the detection, assessment, and resolution of drug therapy problems.
- iii. Provision of quality patient care services.
- iv. Other documentary evidence of achievement of a professional nature as provided by the candidate.

2. Research:

The purpose of this evaluation is to determine whether or not the candidate is an independent researcher who is capable of conducting research of high quality. The candidate will be evaluated to determine if she/he has achieved the following standards.

a. Publications:

The candidate is the primary author of original research published in peer-reviewed journals. Primary authorship is defined as the author that is primarily responsible for initiating, conducting and reporting the research. Research publications in which the candidate is an

author but not the primary author and other publications such as case reports, drug review or therapeutic review, published in peer-reviewed journals will be considered but will not be the basis for awarding tenure. Publications resulting from work as a student or a post-doctoral fellow and Letters to the Editor will not normally be considered in evaluating the candidate's research productivity, unless they meet the criteria for primary authorship as defined above.

In multi-authored articles, the contribution of the candidate should be specifically described and evaluated.

b. Research Funding:

The candidate has secured funding from sources outside the University to support his/her independent research efforts. The candidate should also demonstrate the ability to obtain research funding from federal agencies, foundations, or private sources by competition at a national level.

c. Training of Advanced Degree Professionals:

The candidate has demonstrated the ability to train advanced degree professionals as evidenced by an ongoing post-doctoral research training program and/or advising of graduate students.

d. Peer Recognition:

The candidate has demonstrated that she/he is recognized by peers as making significant contributions to the field. Examples of such evidence include invited presentations in national scientific and professional meetings, receiving recognition awards (e.g., career development, young investigator), serving on national review committees and editorial boards and election to prestigious national organizations that recognize excellence in the discipline.

e. Quality of Work and Potential for Advancement:

A review of three of the candidate's publications and other research efforts by at least three tenured members of the faculty who outrank the candidate and at least three academic peers with expertise in the same area at other universities must conclude that the work is scholarly, creative, original, and of high quality and significance.

3. Service:

Recognition should be given to scholars who make significant service contributions to student welfare through service on student organizations, to health professions, the community, the state and the nation in their special capacities as scholars.

Service, while compensating for reduced contributions in teaching and research, should in no way replace either, or be required in itself for the award of indefinite tenure. However, a strong record of service will strengthen the recommendation for tenure.

B. Procedures

The College complies with the Procedures for Reviewing the Performance of Probationary Faculty as provided by Sections 16.3, 7.4, and 7.61 of the Regulations Concerning Faculty Tenure and distributed annually by the Vice President for Academic Affairs.

1. Initiation of Recommendations for Tenure

Recommendations for tenure may be initiated by any member of the College faculty for himself/herself or for other members of the College faculty. Any faculty member may request the Committee to remove his/her name from consideration. It is strongly recommended that a faculty member who believes she/he should be considered for tenure discuss these possibilities with the department head and obtain, if at all possible, the support of the head for consideration. Members of the department who hold indefinite tenure will be polled by secret ballot on the recommendation to nominate the candidate for consideration by the Promotion and Tenure Committee for the granting of tenure. The Promotion and Tenure Committee will consider all candidates in accordance with its "Guidelines of Operation." The Committee's recommendation will be considered in a special faculty meeting attended only by faculty eligible to vote. Voting will be by secret ballot of all faculty who hold indefinite tenure in the College of Pharmacy, regardless of rank, on the recommendation to grant indefinite tenure.

2. The continuation of appointment of probationary faculty (N appointment) shall be made only after the Promotion and Tenure Committee has reviewed the documentation prepared by the department head. The documentation prepared by the departmental head shall include copies of annual evaluation and the vote of the members of the department who hold indefinite tenure in the College of Pharmacy and the candidate's curriculum vitae. The Promotion and Tenure Committee will conduct this review annually to assess the candidate's progress and will make recommendations to the tenured faculty concerning continuation of appointment. members of the College faculty who hold indefinite tenure in the College will vote, by secret ballot, on the recommendation for continuation of appointment.

3. Tenured Appointments (P Appointments):

- a. Tenured appointments will be granted only to probationary (N) faculty or to faculty who have been recruited for a specific tenured (P) position. College faculty with "nonregular" appointments are eligible to apply for available "regular" positions through participation in the search process.
- b. A tenured (P) appointment shall be made only after the Promotion and Tenure Committee and the faculty who hold indefinite tenure have voted on the recommendation for tenure.
- c. The vote to grant tenure shall be separate from, precede, and be in addition to, the vote for promotion to a specific rank.

IV. Promotion

A. Criteria

Excellence in teaching, research, and service are meaningful parameters for academic promotion. Although a balance among these functions is obviously desirable, it is recognized that the best use of professional talent may often dictate that a faculty member's contribution in one area will predominate. Service, while compensating for reduced contributions in teaching and research, should not be a primary criterion for promotion considerations.

1. Assessment of Academic Activities

a. Teaching:

The requisites for effectiveness of a teacher include intellectual competence, integrity, independence, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, an ability to effectively transmit knowledge to students, to arouse curiosity in beginning students and to stimulate advanced students to creative work. Evaluation of the professional, graduate, and continuing education teaching skills should include appraisals by the members of the instructional units and critical evaluation of student impressions of the candidate's performance as a teacher. In judging teaching competence, special consideration should be given to formal evaluation of the candidate's teaching by college faculty teaching review procedures. Review articles, contributions to textbooks, and investigation of teaching techniques should be given consideration in evaluating teaching ability.

b. Research:

The requisites for evaluating the quality of a candidate's research should include the following:

- i. A critical review of three scientific publications that reflect the candidate's most significant accomplishments by at least three members of the faculty who outrank the candidate.
- ii. A critical review by the faculty who outrank the candidate.
- iii. An appraisal of the candidate's research potential by academic peers with expertise in the same areas at other universities.
- iv. Other evidence of acceptance by peers.

c. Service:

- i. **Professional Service:** A demonstrated distinction in the special competencies and activities of a specific field of professional practice should be recognized as a criterion for promotion. The candidate's professional activities should be scrutinized for evidence of achievement, leadership and the development or utilization of new approaches and techniques for the solution of professional problems or other creative activities.
- ii. **University and Public Service:** Recognition should be given to scholars who make significant service contributions to student welfare through service on student organizations, to health professions, the community, the state and the nation in their special capacities as scholars.

2. Specific Standards for Various Ranks

a. Assistant Professor:

Promotion to Assistant Professor requires that a candidate has demonstrated a capacity for teaching and independent research and, where appropriate, innovative pharmacy practice. This rank may also be accorded a person who has completed only the educational program characteristic of this discipline when that person has given evidence of superior potential for professional growth and productivity. A demonstrated capacity for university and public service, or for superior professional activity may be used as a parameter for promotion to this rank. The candidate should have the ability to participate in the training of research investigators or advanced degree professionals.

b. Associate Professor:

Promotion to the rank of Associate Professor requires clear and demonstrable evidence that the candidate, by independent effort, has developed a program of original research, teaching, and service. The candidate should have demonstrated the ability to supervise the training of research investigators and advanced degree professionals.

c. Professor:

Promotion to the rank of Professor implies advanced academic maturity and requires evidence that the candidate has achieved recognition as a national authority in his/her discipline through the development of an original program of research, teaching, and service. If research is the major aspect of the candidate's activities, he/she should have demonstrated accomplishments and ongoing potential. If teaching is the primary criterion for promotion, the candidate should be clearly superior in the activity and there should be evidence of excellent performance by students whom he/she has prepared for careers in teaching, scholarship and service. If professional service or university and public service represent a significant aspect of the candidate's activities, he/she should have obtained national recognition for his/her papers and activities in professional organizations and in public service.

B. Procedures

1. Initiation of Recommendations for Promotion

Recommendations for promotion may be initiated by any member of the College faculty for himself/herself or for other members of the College faculty. Any faculty member may request the Committee to remove his/her name from consideration. It is strongly recommended that a faculty member who believes he/she should be considered for promotion, discuss these possibilities with the department head and obtain, if at all possible, the support of the head for consideration. Members of the regular faculty (tenured and tenure-track) of the department who hold a higher rank than the candidate will be polled by secret ballot on the recommendation to nominate the candidate for consideration by the Promotion and Tenure Committee for promotion. The Promotion and Tenure Committee will consider all candidates in accordance with its "Guidelines of Operation." The Committee's recommendation will be considered in a special faculty meeting attended only by faculty eligible to vote. Voting will be by secret ballot of all regular (tenured and tenure-track) faculty who hold an academic rank equal to or higher than the rank for which a nominee is being considered for recommendation for promotion.

V. Documentation

It is the responsibility of each faculty member to keep a record of his/her teaching, scholarly activity and service. It is the responsibility of the department head to request each faculty member to update by September 1 each year this documentation of the faculty member's professional performance for the previous fiscal year (July 1 - June 30).

It is also the responsibility of the department head to review the performance of each department faculty member annually and enter a summary of this review as part of the documentation. The written annual appraisal shall be made available to, and be discussed with, the candidate.

Materials to be submitted:

1. Letter of Nomination
2. A Summary Appraisal of the candidate's qualifications by the department head including the vote of the eligible department faculty. In the case of a joint appointment, a similar appraisal and recommendation is made by the secondary department.
3. A Curriculum Vitae which shall indicate the candidate's degrees, honors, professional work experience (academic and otherwise), professional affiliations, committees, consultantships, etc.
4. A description of the candidate's teaching activities shall include, where applicable:
 - a. Current teaching responsibilities -- course titles, credits and description; current teaching activities in clinical areas.
 - b. Teaching responsibilities during the full period of his/her service on the faculty to include those in professional, graduate and continuing education courses with corresponding titles, numbers, credits and descriptions.
 - c. The number of graduate students and post-doctoral fellows currently supervised by the candidate, with their degree objectives.
 - d. The number of masters and doctors degrees awarded graduate students supervised by the candidate.
 - e. The candidate's faculty status with the Graduate School.
5. Evaluations of the candidate's teaching ability at all levels of professional, graduate and continuing professional instruction offered by the unit and graduate programs, including student evaluations of the candidate's teaching ability.
6. A description of the candidate's research activities which shall include:
 - a. A statement by the candidate of the nature and significance of the candidate's research.
 - b. A summary of all grant support for the last five years and any evidence of potential for additional or continued support.
 - c. A complete bibliography in which the candidate identifies those publications for which he/she is the primary author.
 - d. A description of the candidate's responsibilities and/or contributions in multi-authored publications and grants.
 - e. Five copies of three recent publications for which the candidate is primary author, selected by the candidate.
7. Teaching or research awards, invited participation in symposium, lectures, contributions to textbooks, etc. Any special professional honor or recognition.
8. Names of 4-6 persons from outside the College who are at equal or higher rank and who would be in a position to evaluate the candidate's professional standing. No more than 2 of these persons may be from the University of Minnesota and affiliated institutions. The candidate may request the identity of the outside reviewers so that

he/she may solicit additional letters of support from other reviewers. However, candidates will not be encouraged to obtain such letters.

9. A description of the candidate's professional practice activities which shall include: a statement by the candidate describing his/her practice including innovations or improvements in drug therapy or patient care services which he/she has developed or instituted, a statement by clinical practitioners from the candidate's area of practice evaluating the clinical competence and contributions of the candidate.
10. Service to the Department, College and University.
11. Service to community groups, professional associations, or other professional assistance to public or private agencies.
12. Service in Health Care Delivery Systems.
13. Other materials which the candidate wishes to submit.

The Promotion and Tenure Committee chairperson shall inform members of the faculty of their right under Minnesota law to examine or obtain copies of filed data of which they are the subjects and to have the meaning of it explained to them.

Adopted by College of Pharmacy Faculty
February 20, 1987
Revised May 8, 1987
Revised July 7, 1987
Revised September 4, 1987
Retyped on the Macintosh June 4, 1991

Section V Documentation was revised to reflect the September 1 rather than December 1 date for promotion and tenure documentation update. (Annual Reports of Activities, which are separate and distinct from promotion and tenure documentation, are due May 1 of each year.)

University of Minnesota

College of Pharmacy

**Department of
Experimental and Clinical
Pharmacology (ECP)**

Promotion and Tenure

Post-Tenure Review

Annual Review

2. Academic Ranks

a. Professor, Associate Professor and Assistant Professor

Promotion to the rank of full professor, associate professor or assistant professor, shall be made only after the Promotion and Tenure Committee and the College faculty eligible to vote have voted on the recommendation in accordance with established procedures. Promotion of a probationary appointee to the rank of Associate Professor or Professor must be accompanied by an appointment with indefinite tenure. Initial appointment to the rank of full professor, associate professor or assistant professor will be made by the Dean based on the recommendation of the department head in which the candidate will have an appointment. The departmental recommendation shall include the search committee's report and the vote of the regular (tenured and tenure-track) faculty of the department who hold an equal or higher rank than the candidate.

b. Joint Appointments

Initial appointments, or promotion of faculty with a primary appointment in the College of Pharmacy and a secondary appointment elsewhere in the University, shall be reviewed in the same manner as a full-time primary appointment in the College of Pharmacy with additional provision that for promotions or appointment to tenured positions, the recommendation shall include relevant information on qualifications and performance from the head of the department in which the secondary appointment is held. It is recognized that the school and/or department in which the secondary appointment is held may conduct its own independent academic review.

Department of Experimental Clinical Pharmacology
College of Pharmacy
University of Minnesota
Promotion and Tenure Dossiers & Procedures
1999-2000 (version date October 13, 1999)

Promotion and Tenure Dossier (10 Sections)

1. Statement of Concurrence

Form to be signed by candidate when dossier complete, prior to submission to the Academic Health Center. The statement of concurrence will indicate that the candidate has had a chance to review the entire dossier and that they have been given a chance to add any additional materials or comments that they wish to be included in the review process

2. Candidate's Letter and List of Potential Outside Reviewers

Letter should be addressed to the Chair, of the Appointments, Promotion, and Tenure Committee with a copy being sent to the Department Head. The process to initiate the candidate's promotion \pm tenure can be done by the Department Head, another faculty member or the candidate themselves.

The candidate's letter should state his/her intention to pursue promotion to the rank of Associate Professor or Professor. Generally, the request to be promoted to associate professor should be accompanied with a request for tenure. There are however situations where the candidate because of a clinical appointment is not eligible for tenure or where the candidate may have been appointed at an advance rank without tenure where the request may be for tenure only.

This letter should provide an overview of his/her academic record addressing specifically major contributions to research, service, and teaching. This letter should also provide a history of the candidate's academic training and his/her academic appointments within the University of Minnesota or elsewhere. The candidate should identify any major honors, awards, or achievements. The letter should highlight the focus of his/her research interests and provide a statement as to why the candidate believes they have satisfied the Department's criteria for promotion \pm tenure using the Department's 7.12 statement:

The candidate should attach to this letter a listing of six potential outside reviewers. The candidate at this time should also identify any potential reviewer where they believe a conflict might exist in receiving a fair evaluation. The Department's Appointments, Promotion and Tenure Committee will select four outside reviewers with at least two of the reviewers being selected from the candidate's list. Generally, selected outside reviewers must now hold or have held an academic appointment at a major College or University and be in a field of study analogous to that of the candidate. The proposed reviewer should hold or have held an academic rank equal to or greater than the academic rank sought by the candidate. Usually, reviewers should come from outside or have distant ties to the University of Minnesota.

However, the Appointments, Promotion and Tenure Committee is given the discretion of deciding whether a proposed reviewer will be acceptable to the Department's review process. Faculty are strongly discouraged from making contact with proposed outside reviewers regarding the promotion &/or tenure process.

3. Recommendation Letters from Department (Not to be Prepared by Candidate)

Three letters (Department Head, Appointments, Promotion, and Tenure Committee, and the Dean's Letter) are required in this attachment to the candidate's dossier. Section 3 is prepared by the Dean and the Department Head.

Department Head Letter

This section should include a letter from the Department Head indicating the Department faculty vote including a discussion of the majority and minority viewpoints. This letter should also state that the process used in evaluating the candidate for promotion &/or tenure conformed to the University's policies and procedures (Procedures for Reviewing Performance of Probationary Faculty, June 1996) and the Department's 7.12 statement.

Appointments, Promotion, and Tenure Committee Chair Letter

A letter from the Department's Appointments, Promotion, and Tenure Committee summarizing the Department faculty vote for promotion and as a separate matter, tenure (if applicable). This letter should indicate for both promotion and if applicable the tenure, the total eligible voting members of the Department faculty, those voting yes, those voting no, those abstaining, total ballots returned, and the number of ballots not returned. This letter should also summarize comments received from the voting faculty regarding the candidate's promotion and/or tenure.

Should the Department Head not be able to fulfill their stated responsibilities in this section, the Chair of the Department's Appointments, Promotion, and Tenure Committee will also assume the responsibility for the Department Head's letter.

Dean's Letter

Lastly, a letter from the Dean stating his/her support as to the promotion and/or tenure of the candidate and supporting rationale.

4. Annual Appraisals (for probationary faculty)

If applicable, Appraisals for Probationary Faculty (President's Form 12) should be attached for each of the probationary years served by the candidate including the most recent appraisals regarding promotion and/or tenure. Documentation should also be included for approved extension or "stop-the-clock" years. The Department will complete this section.

5. Curriculum Vitae

The candidate should enclose a copy of their most recent curriculum vitae. The curriculum vitae should at minimum include a history of the candidate's educational background, professional experience, and any special awards or honors received by the candidate.

6. External Review and Evaluation (Not to be completed by the candidate)

This section will indicate each of the external reviewers selected by the Department's Appointments, Promotion, and Tenure Committee. This listing will include their title and address.

Sample Letter

A sample letter drafted by the Appointments, Promotion, and Tenure Committee requesting that the selected individual serve as an outside reviewer will also be included in this section. This letter must indicate to the potential outside reviewer that their evaluation cannot be held confidential according to the Minnesota Government Data Practices Act. The letter should request the reviewer to render specific evaluative judgments of the candidate's qualifications for promotion and/or tenure.

Letters from Outside Reviewers

Each of the letters received from the outside reviewers will be included in this section.

7. Research and Scholarship

Publications

In this section, the candidate should separate publications on the basis of original scientific contribution, therapeutic review, case report, letter, or book contribution. The candidate should also list all non-peer-reviewed publications. For each contribution if not the sole or first author, the candidate should identify their role in the publication. Included in this section the candidate should identify their research focus and how they have over the years developed an independent research program.

Grants, Contracts, and Awards

Likewise, the candidate should separate all grants, contracts, and awards indicating where they were the principal, co-principal, co-investigator, or what exact role the candidate assumed in the work. If not obvious, the candidate should indicate whether the grant or award was obtained through a peer review process. Such citations should indicate the grant, contract, or award sponsor, title of the award, the amount, the period of study, and whether the proposal was funded. If industry sponsored, the candidate should identify whether the award was contract work on a pre-established protocol or whether the award was investigator initiated.

Presentations

The candidate should provide a listing of all scientific or professional presentations. The candidate should separate presentations as invited or contributed and indicate whether the presentation was regional, national, or international in scope.

8. Teaching

The candidate should provide a narrative summarizing his/her teaching, advising, and mentoring activities as well as an estimate of time spent in their educational efforts. Candidates should indicate whether his/her educational contributions were directed at the professional or graduate curriculum. The candidate should list these contributions by course title, course number, number of students involved, and quarters or semesters taught. They should also identify professional student advisees.

Graduate school and Post-Doctoral Training Programs

Candidates should also indicate their involvement with the graduate school, post-doctoral residency training, or postdoctoral fellowship training. Candidates should indicate the number of individuals entering the program, the number completing the program, and the number of individuals still in training. The candidate should provide current job titles for each student/post-doctoral candidate having completed their program.

Continuing Education/Outreach

Candidates should also identify continuing education or other educational outreach efforts.

Teaching Effectiveness

Candidates need to document teaching effectiveness. A summary of formal teaching evaluations must be included for courses taught by year. Data provided by the University of Minnesota Office of Measurement Services or other formal measurement tools will satisfy this requirement. The actual forms should be included in appendix b. Candidates may also wish to include informal teaching evaluations, peer assessment letters, and list honors or awards received that identify their teaching effectiveness.

9. Service

The Candidate should provide an overall narrative description of their University, College, Department, Profession or Discipline, and Community service. Any professional practice responsibilities should also be identified. This description should include an estimate of time required on the part of the candidate to fulfill each role.

Discipline Related/Professional Service

The candidate should list all journals for which he/she serves as an editor, serves on the editorial board, or serves as a manuscript reviewer. The candidate should also list any professional consultantships (NIH, CDC, USP, etc.). The candidate should list memberships in professional organizations specifying committee service and/or offices held in these organizations.

University Service

The candidate should identify any University, College, or Department programs/committees where they were asked or volunteered to serve.

Community Service

The candidate should identify their role and the period of time involved.

Professional Practice Responsibilities

The candidate should identify the nature and time commitment associated with these responsibilities.

10. Appendix

a) Selected Reprints

The candidate should provide six copies of at least three different peer reviewed publications.

b) Teaching Evaluations

University of Minnesota Office of Measurement Services Annual Course Evaluations or other formal evaluation instruments

Informal evaluations

Peer letters

Clerkship evaluations

Evaluations of teaching performance at national/international meetings

Description of innovative teaching strategy

Description of College, University, or national teaching awards

Timeline for ECP and College Promotion ± Tenure Events

- 1) **October 4, 1999**
Candidates submit items 2, 5, 7, 8, 9, Appendix A, and Appendix B
Materials should be directed to the APTC Chair
- 2) ***October 11, 1999**
Department APTC meets to determine candidate pool and identify outside reviewers.
Assign internal committee reviewers
- 3) ***November 19, 1999**
Deadline for receiving outside reviewer's letters
- 4) ***November 22, 1999**
APTC meets to review candidate's dossiers and outside letters.
Dossiers made ready for Department Faculty (eligible voting members) review
- 5) ***December 8, 1999-Department Faculty Vote**
- 6) ***December 8-15, 1999**
Meeting between candidate and Department Head (or APTC chair)
Completion of items 3,4, & 6
Dean's letter still outstanding
Statement of Candidate's Concurrence remains unsigned until dossier complete
- 7) ***January 24, 2000**
Collegiate Review
Process yet undetermined
APTC Chair enters letter summarizing 2nd tier review vote of the Faculty Affairs Committee into dossier.
- 8) ***February 7, 2000**
Dean's review completed
Dossier Complete
Statement of Candidate's Concurrence signed

Dossier sent to AHC Human Resource Department

***Approximate Meeting Date**

**Department of Experimental Clinical Pharmacology
College of Pharmacy
University of Minnesota
Department's Statement Required by Section 7.12
September 8, 1999**

Department Mission Statement:

Granting of Indefinite Tenure

The Department complies with the **Procedures for Reviewing the Performance of Probationary Faculty** as provided by Sections 16.3, 7.4, and 7.61 of the **Regulations Concerning Faculty Tenure**.

Criteria for Tenure

The awarding of tenure is based upon the candidate's past performance and the potential of the candidate's future contributions to the mission of the University, College, and Department. The candidate is expected to have made significant contributions in the areas of research, teaching, and service. However, the primary consideration in the awarding of tenure will be that the candidate has established himself or herself as an effective teacher and has established a stable, productive, and independent research program. While service to the University is clearly recognized as an expectation of faculty, service is not one of the primary criteria used by the Department in the awarding of tenure. If teaching or research is considered by the candidate to be their primary justification for the awarding of tenure, then supporting materials in that area must be exemplary.

Teaching

The primary expectation of the candidate is that they have established him/herself as a competent teacher in their assigned area/s of instruction and that they can effectively transmit knowledge to the students. An evaluation of teaching performance will include curriculum development, curriculum materials/syllabus, and the instructor's classroom/clerkship performance. Faculty participating in on-site clerkship/externship will be evaluated primarily based on student evaluations. Faculty are expected to be creative and innovative in the offering of their coursework and in their teaching methods.

Teaching Performance Evaluation

Candidate's for tenure will be evaluated based on the following:

- 1) University of Minnesota Office of Measurement Services Annual Course Evaluations or other formal teaching evaluation instruments.
- 2) Teaching evaluations of the candidate by faculty peers.
- 3) Writing and receiving an educational development grant.
- 4) Recognition by the student body, University, or a professional organization for teaching contributions.
- 5) Student clerkship/Externship evaluations of the instructor.

Teaching Contributions Evaluation

- 1) Developing a new course.
- 2) Revamping an existing course.
- 3) Syllabus materials.
- 4) Course Webpage.
- 5) Incorporation of innovative teaching strategies into course (teaching evaluations should be supportive of the novel strategy).

Professional Teaching Contributions

- 1) Publishing book chapter in major pharmacy or related health science textbook.
- 2) Publishing a therapeutic review article in major peer reviewed journal.
- 3) Publishing a paper of original work in pharmacy education or review in appropriate journal.
- 4) Making invited presentations at national meetings. (Must have supporting evaluations of teaching performance)

Research

The primary expectation of the candidate is that they have established an independent research program. The expectations of the candidate and their research program are as follows:

- 1) The program has a clearly defined focus.
- 2) The program has received sustained research funding (government, industry, or foundation support) where the candidate serves as the principal or co-principal investigator. The expectation here would be that the nature of the funding represents an original idea put forth by the candidate.
- 3) The candidate is able to generate original high quality scientific publications derived from data generated through their research program where the candidate is the sole, first, or senior author. A further expectation is that these data will be published in a peer-reviewed nationally recognized journal appropriate to the field of study.

In manuscripts where there are multiple authors, the candidate will be expected to identify their contribution to each paper.

- 4) Generally, the candidate would be expected to create an appropriate laboratory consistent with the field of study with appropriate staffing and resources.
- 5) Generally, the candidate would be expected to have created a viable graduate school or post-doctoral residency/fellowship program. Evidence should be provided that over the years, students continue to enter and finish the candidate's training program

and that these individuals are able to obtain influential positions in government, industry, or academia.

- 6) With a successful independent research program, it would be expected that the candidate has established peer recognition of their work at a national and/or international level. As such, the candidate would be expected to receive invitations to present at national meetings, receive nationally recognized awards for their scientific contributions, serve in consulting capacities to Federal and/or State agencies (NIH, CDC, etc), they serve as editors or on editorial boards, and that they hold or have held office in appropriate national organizations.

Service

A baseline assumption and expectation regarding appointment, as an Assistant Professor at the University of Minnesota is that the individual will become a contributing member to the University, their College, their Department, the Profession, and their Community. As such, these contributions will not be factored into the awarding of tenure.

Granting of Promotion

Department criteria for the granting of promotion to the rank of Associate Professor or Professor for tenure track, adjunct or clinical faculty is identical.

Criteria for Associate Professor

Promotion to the rank of Associate Professor requires that the candidate has clearly identified a research focus for their field of study and that over the years; the candidate has established an original and independent research program. A sustained record of peer-reviewed publications (where the candidate is the sole, primary, or senior author) and research funding (where the candidate is the principal investigator, co-principal investigator, or where the candidate as co-investigator has made significant and unique contributions to a grant such that the award would not have been made without this contribution) will evidence such recognition.

The candidate must also demonstrate maturity as a teacher and practitioner. The candidate's skills as an educator can be established through awards or other means that recognize the candidate as an outstanding teacher. Recognition of the candidate as an advanced practitioner may come in the form of invitations to present at national meetings, evidence of a viable graduate school or post-doctoral residency/fellowship program, or invitations to make book contributions that address an aspect of the candidate's chosen discipline or field of study.

The candidate is also expected to be an active participant in the governance and daily functions of the University, College, and the Department.

Criteria for Professor

Promotion to the rank of Professor implies advanced academic maturity and that the candidate has achieved recognition as a national/international authority in their chosen field of study maintaining an ongoing program of research, teaching, and service.

There must be clear evidence that the candidate's research program has grown with evidence of an appropriate level of additional research funding since his/her promotion to Associate Professor. An advanced level of scholastic productivity with regards to original peer-reviewed scientific publications (where the candidate is the sole, primary, or senior author) and evidence of ongoing research funding (where the candidate is the principal or co-principal investigator) must be evident. Generally, the candidate's research program is synonymous with a particular finding/s, scientific concept, or field of study.

Another expectation of such a program would be a viable graduate or post doctoral training program led by the candidate which has and is providing for the successful placement of graduate students or post-doctoral candidates into influential positions in academia, government, or industry.

Post - Tenure Review

Department of Experimental and Clinical Pharmacology: Revised 1/6/99

The Department of Experimental and Clinical Pharmacology (ECP) Post Tenure Review (PTR) fully complies with the University "Rules and Procedures for Annual and Special Post-Tenure Review" approved 1/5/98 by the University Senate Tenure Subcommittee. The Goals and Expectations for ECP tenured faculty are described in the College of Pharmacy's Regulations Concerning Faculty Tenure, Section 7.12, and criteria for falling below goals and expectations are listed in section 2 of this document.

Background: The department is the academic unit where PTR will take place in the COP. Within the ECP, the PTR is faculty-driven and implemented by an elected faculty committee. The goal of PTR is to identify tenured faculty who are performing substantially below expectations, and to initiate a process of whereby a low performing individual will regain academic vitality and resume productivity at the level expected by the ECP. The PTR does not replace the annual review for merit or compensation.

Section 1. Post Tenure Review Procedure in ECP

Each year in the Spring, after the annual activity reports are completed, 1/2 of the ECP faculty will be reviewed for PTR by an elected peer committee. If, during the annual merit review process, the ECP department head determines that a tenured faculty member who would otherwise not be reviewed in a given year is a possible candidate for PTR remedial assistance, that person's file will be added to those being reviewed by the elected committee. Between the elected PTR committee and the ECP department head, there will be annual PTR review of all ECP faculty.

The CEP PTR Committee: Two tenured ECP faculty not scheduled to be reviewed by the PTR committee will be elected, in the Fall, by the ECP to conduct the reviews. Reviewers will not be asked to serve more than once every 3 years. Anyone who has been identified as not meeting expectations by the PTR committee in the previous year, anyone receiving PTR remedial assistance or anyone proposed for review by the department head may not serve on this elected committee.

The review will consist of examining a faculty member's last 2 annual reports and determining if the faculty is within the expected range of performance, and above the minimum expectations for all ECP tenured faculty. The minimum Goals and Expectations are listed in Section 2. Each reviewer will independently score the faculty as 1="meeting expectations" or 2="substantially below ECP goals and expectations - to be considered for remedial assistance". Reviewers assigning a "2" must provide specific written comments which will be shared with the person being reviewed and the ECP Department Head. Both the faculty being reviewed and department head will receive the PTR committee's scores and comments.

Action: Any faculty member with 2 ratings of 2 from the elected committee (same year) will be referred to the Department Head for initiation of the PTR process of timely remedying of perceived deficiencies, as outlined in the University Senate "Rules and Procedures for Annual and Special Post-Tenure Review" approved 1/5/98. Any faculty member with one rating of 2 from the elected committee will be automatically re-reviewed the following year; if the next year they

again receive at least one rating of 2, they will be referred to the Department Head for initiation of the PTR process.

Section 2: Minimum Goals and Expectations as per
College of Pharmacy's Statement of Regulations Concerning Faculty Tenure Section 7.12
Approved by majority vote of ECP Executive Faculty dated: _____
Department of Experimental and Clinical Pharmacology

It is expected that tenured faculty in the Department of Experimental and Clinical Pharmacology (ECP) will contribute significantly to the missions of the department, the College of Pharmacy and the University of Minnesota and to its programs of teaching, research and service. The primary criteria for demonstrating this are effectiveness in teaching and professional distinction in research. At a minimum, it is expected that each tenured faculty will exceed expectations in either teaching or research.

Teaching: Consistent with its mission, a goal of the Department of Experimental and Clinical Pharmacology is to provide excellent education. Tenured faculty may be viewed as falling substantially below the goals and expectations of the department if their teaching effectiveness is perceived to be very low, as evidenced by consistently weak or poor student and peer evaluations of classroom teaching or clerkship teaching and the absence of contributions to pharmacy education such as noted in Section III.1.c. (eg. Development of a new course or rotation; publishing a chapter in a textbook). The extent of involvement (or lack thereof) in teaching may be viewed as contributing to a rating of not meeting expectations, but should be viewed in light of assignments and needs within the department and college.

Research: Consistent with its mission, a goal of the Department of Experimental and Clinical Pharmacology is have nationally and internationally recognized scholarly research programs. Tenured faculty may be viewed as falling substantially below the goals and expectations of the department if they are not maintaining an independent research program and conducting research of high quality. This would be documented by the absence of primary authorship in peer-reviewed journals; absence of funding from external agencies and the lack of submission of proposals for funding; or evidence that they do not contribute to the training and education of graduate students or fellows through effective advising.

University and public service and practice activities must be considered along with teaching and service. The relevance of service and practice activities to the missions of the department, the College of Pharmacy and the University of Minnesota and the strength of these activities should be specifically addressed for any faculty member rated as falling substantially below goals and expectations in both teaching and research.

University of Minnesota

College of Pharmacy

**Department of
Pharmaceutical Care and
Health Systems (PCHS)**

Promotion and Tenure

Post-Tenure Review

Annual Review

X-From_: schon001@maroon.tc.umn.edu Tue Oct 5 13:52 CDT 1999
X-Sender: schon001@maroon.tc.umn.edu
X-Mailer: QUALCOMM Windows Eudora Pro Version 3.0.3 (32)
Date: Tue, 05 Oct 1999 13:52:15 -0500
To: Shari Fodness <fodne001@maroon.tc.umn.edu>
From: Stephen W Schondelmeyer <schon001@maroon.tc.umn.edu>
Subject: Re: request

Shari

The Department of Pharmaceutical Care & Health Systems has adopted the previous College 7.12 statement for this year (99-00). The 7.12 statement is currently under revision with changes expected in the spring or summer of 2000.

Criteria and procedures for promotion & tenure, annual review, and post-tenure review are all presented in one document. (see attached)

Let me know if you need something else.

I would appreciate a complete set from all the dept. (both paper and electronic) when you get these compiled.

Thanks

Steve S

At 11:28 AM 10/4/99 -0500, you wrote:

>I have been asked to assemble a handbook of faculty policies including:

- >
- >*Department 7.12 statements
- >*Department procedures for promotion and tenure
- >*Department criteria and procedures for annual review
- >*Department criteria and procedures for post-tenure review
- >

>You may have previously submitted some of this information to the Dean's
>Office but unfortunately the file is missing. Right now the only thing I
>have from the above list is a paper copy of the Med Chem 7.12 statement.
>Please send the information as soon as it is available. I would appreciate
>receiving both electronic and paper copies. Thank you.

>
>
>

>Shari Fodness
>College of Pharmacy
>phone: 612 624-0694
>fax: 612 624-2974
>email: fodne001@tc.umn.edu
>
>

Attachment Converted: "g:\eudora\attach\PCHS Post tenure review.doc"

Attachment Converted: "g:\eudora\attach\PCHS 7.12 statement.doc"

Annual and Post-Tenure Review of Faculty in the Department of Pharmaceutical Care & Health Systems

Approved June 3, 1999

Annual review and post-tenure review procedures and guidelines for faculty in the Department of Pharmaceutical Care & Health Systems (PCHS) are described in this document. The PCHS process for Post-Tenure Review (PTR) is intended to be consistent with the "Rules and Procedures for Annual and Special Post-Tenure Review" approved (1/5/98) by the University Senate Tenure Subcommittee. The Goals and Expectations for PCHS tenured faculty are described in the College of Pharmacy's Regulations Concerning Faculty Tenure, Section 7.12. Criteria for Exceptional Status Post-Tenure Review are described in Section 2 of this document titled "Post-Tenure Review Guidelines for PCHS Faculty."

The purpose of the annual activity review (AAR) is to review each faculty member's activities for consistency with personal, department, college, academic health center (AHC), and University goals and priorities. This annual review for merit and compensation will be conducted in PCHS by a process defined in Section 1. titled "Annual Review Procedure for PCHS Faculty." Each year this AAR will be considered by the department head as the major factor for merit and compensation recommendations to the Dean.

Also, the department is the academic unit where PTR will take place. Within PCHS, PTR is a faculty-driven process that is intended to be complementary to the process of annual activity review for merit or compensation. The goal of PTR is to identify tenured faculty who are performing substantially below expectations, and to initiate a process encouraging low-performing individuals to regain academic vitality and productivity at the level expected within the PCHS department.

Section 1. Annual Review Procedures for PCHS Faculty

An annual activity report will be prepared by every faculty member (both tenure-track and non-tenure-track) in PCHS for review at the department level. These reports will take into account activities related to education, scholarly activity, service, practice and administration. The review will assess each faculty member's activities for consistency with personal, department, college, and University goals and priorities. The initial review of each individual faculty member's annual activity report will be conducted by a committee of faculty peers within the department. The PCHS peer-review committee (PRC) will consist of 2 members to be elected each year by a vote of all faculty members in PCHS. Both tenure-track and non-tenure track faculty with a full-time appointment in PCHS are eligible to serve may serve on this committee, and at least 50% of the elected members must be tenure-track faculty member. No faculty member shall serve on this annual activity review committee more than once every two years. Anyone who has been identified as being in 'exceptional status' by the PCHS PRC in the previous year and anyone receiving PRC remedial assistance may not serve as an elected member of the PCHS PRC. The review shall be conducted as described in Section 2. titled "Annual Review Guidelines for PCHS Faculty." The results of the peer review process shall be provided to the PCHS Department Head for consideration in recommending faculty merit recognition and compensation to the Dean.

Section 2. Annual Review Guidelines for PCHS Faculty

The annual activity report of each faculty member will be reviewed by a faculty peer-review committee. The criteria for election of faculty members is described in Section 1. titled "Annual Review Procedures for PCHS Faculty." The committee members will independently review each faculty member's annual activity report and provide a rating for each area in which the faculty member has been active including education, scholarly activity, service, practice, and administration. All faculty must be rated on education, scholarly activity, and service. For those faculty who are engaged in practice or administration, a rating of these activities will also be provided. For each area of activity to be rated, a rating will be provided on a 3-point scale with 1 being the highest and 3 being the lowest. A rating of '1' will indicate 'exceeds expectations'; a '2' will indicate 'meets expectations'; and a '3' will indicate 'falls below expectations.' Reviewers assigning a rating of '3' (falls below expectations) must provide specific written comments which will be shared with the person being reviewed, the PCHS Department Head, and the Dean of the College of Pharmacy. Each year the ratings and any related comments for each faculty member will be provided by the PRC to the individual faculty member, the PCHS Department Head, and the Dean of the College of Pharmacy.

The rating in each activity area will take into account the stated goals and objectives of the faculty member, as well as the goals of the Department, the College, the AHC, and the University. The annual activity reports and the respective ratings will be provided to the PCHS Department Head for review and evaluation. The PCHS Department Head will also provide a rating on the same 3-point scale. Based on the faculty peer-review ratings and the Department Head ratings, the PCHS Department Head will make recommendations to the Dean of the College of Pharmacy regarding merit and compensation of each faculty member.

Tenured and tenure-track faculty in the Department of Pharmaceutical Care and Health Systems (PCHS) are expected to contribute significantly to the missions of the department, the College of Pharmacy, the Academic Health Center, and the University of Minnesota and to their respective programs of education, scholarly activity, and service. The primary criteria for demonstrating contribution to these goals will be effectiveness in two core activity areas—(1) education, and (2) research and scholarly activity. Each faculty member should meet expectations in all activity areas performed and should exceed expectations in one of the two core activity areas--education or research and scholarly activity.

Education. Consistent with its mission, a goal of the Department of Pharmaceutical Care & Health Systems is to provide excellent professional and graduate education. Tenured faculty may be viewed as 'falls below expectations' if their teaching effectiveness is perceived to be substantially below others as evidenced by: consistently weak or poor student and peer evaluations of classroom teaching; consistently poor exit evaluations by graduate students; and the absence of contributions to professional or graduate pharmacy education such as those noted in Section III.1.c. (e.g. development of a new course or rotation; major revision of a course to meet changing needs; or publishing a chapter in a textbook). The extent of involvement (or lack thereof) in teaching may be viewed as contributing to a rating of 'falls below expectations', but the rating should take into account the faculty member's other assignments which are meeting various needs within the department and the college.

Research and Scholarly Activity. Consistent with its mission, a goal of the Department of Pharmaceutical Care & Health Systems is to maintain a program of nationally and internationally recognized scholarly activity. Tenured faculty may be viewed as 'falls below expectations' if there is substantial evidence that they are not maintaining a consistent program of scholarly activity and conducting scholarly activity or research of high quality. Evidence of not meeting expectations would include: absence of authorship in peer-reviewed journals; absence of funding from external agencies; lack of submission of proposals for funding; or lack of contribution to the training and education of graduate students or fellows through effective advising.

Service, Practice, and Administration. Public service, professional practice, and University administrative activities must also be considered along with education and scholarly activities. For faculty members with substantial effort in this area, the expectation in other areas (education and scholarly activity) will be adjusted to account for the relative proportion of time spent in each area. The relevance of service, practice, and administrative activities to the missions of the department, the College of Pharmacy, the AHC, and the University of Minnesota should be assessed. Evidence of the strength and quality of these activities should be provided by the individual faculty member as a part of the annual review of activities.

Section 3. Post-Tenure Review Procedures for PCHS Faculty

Post-tenure review for tenure-track faculty in PCHS will be a process that is complementary to the annual review process. The goal of PTR is to identify tenured faculty who are performing substantially below expectations, and to initiate a process encouraging low-performing individuals to regain academic vitality and productivity at the level expected within the PCHS department. The ratings performed by the faculty peer-review committee and by the PCHS Department Head will be the basis for identification of tenure-track faculty who need special attention due to prolonged performance below expectations. The criteria for designating a faculty member as being in 'exceptional status' are described in Section 4. Titled "Post-Tenure Review Guidelines for PCHS Faculty." A tenure-track faculty member who has met the criteria for 'exceptional status' review will be notified in writing by the PCHS Department Head. Faculty members who are in 'exceptional status' will prepare a specific plan for remedial assistance to resolve the low level of performance. This plan will be prepared in conjunction with the faculty peer-review committee, the PCHS Department Head, and the Dean of the College of Pharmacy. Procedures for continued review and subsequent related consequences of a faculty member in 'exceptional status' will be as prescribed by College and University guidelines.

Section 4. Post-Tenure Review Guidelines for PCHS Faculty

All tenured faculty will participate in the annual activities review as described in Sections 1. and 2. Additional post-tenure review of a tenured faculty member will be instituted only when a faculty member meets the criteria defined as 'exceptional status.'

The criteria for determining if a faculty member should be placed on 'exceptional status' will be as follows: (1) a rating of '3' by two committee members in a single core area for two years in a row; (2) a rating of '3' by two committee members in two or more areas in a single year with at least one of the two areas being a core area; (3) a rating of '3' by one committee member and by the PCHS Department Head in a single core area for two years in a row; or (4) a rating of '3' by one committee member and by the PCHS Department Head in two or more areas in a single year with at least one of the two areas being a core area.

If a tenured faculty member meets the criteria triggering 'exceptional review status', the PCHS Department Head will notify the faculty member in writing and will also notify the Dean of the College of Pharmacy. Any faculty member meeting the 'exceptional review status' criteria will enter a process for the timely remedying of perceived deficiencies as outlined in the University Senate document titled "Rules and Procedures for Annual and Special Post-Tenure Review" approved 1/5/98.

**University of Minnesota
College of Pharmacy
College's Statement Required by Section 7.12
of
Regulations Concerning Faculty Tenure**

I. Introductory Statement

This document describes with more specificity the indices and standards which will be used to evaluate whether candidates meet the general criteria in section 7.11 of the Regulations. For a complete perspective, the reader is advised to review Section 7 in its entirety.

II. College's Mission Statement

The College of Pharmacy is responsible for the education of pharmacy practitioners who will meet the health needs of the people of Minnesota and society and deliver essential pharmaceutical services. The College is committed to the improvement of human health through the creation and dissemination of knowledge leading to the development of new drugs and new drug delivery systems, the optimization of drug use and the improvement of pharmaceutical services. It is committed as well to the development of pharmaceutical technology to strengthen the economy of the State of Minnesota.

III. Granting of Indefinite Tenure

- A. Criteria for Tenure: General (Abridged from section 7.11 of the Regulations Concerning Faculty Tenure, July 1, 1985).

The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research and service over the course of the faculty member's academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research. The relative importance of the criteria may vary in different academic units, but each of the criteria must be considered in every decision. Service, whether professional service or University and public service, may be taken into consideration, but is not in itself a basis for awarding tenure.

1. Teaching:

The requisites for effectiveness of a teacher include intellectual competence, integrity, independence, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, an ability to effectively transmit knowledge to students, to arouse curiosity in beginning students and to stimulate advanced students to creative work. Evaluation of effectiveness of teaching will include classroom performance, curriculum materials, educational development activities, and externship/clerkship student evaluation. The evaluation of effectiveness of teaching will be based on:

- a. The candidate's overall teaching ability as perceived by students and documented by their responses on periodic student opinion surveys in a course in which the candidate is the major instructor.
- b. The candidate's teaching competence as determined by teaching evaluation by peers and/or comments of other instructors of higher rank, in team taught courses.
- c. The candidate's contributions to pharmacy education as demonstrated by any of the following:
 - i. Developing a new course or rotation, or revising an existing course.
 - ii. Receiving an educational development grant or directing an experimental educational program.
 - iii. Publishing a review article of technical nature in a professional journal.
 - iv. Authoring or co-authoring a chapter in pharmacy or medicine textbook.
 - v. Participating as an invited contributor in a national symposium or workshop on some aspect of pharmacy education.
 - vi. Publishing an article on subjects relating to pharmacy education.
 - vii. Developing and presenting a continuing education program(s).
 - viii. Receiving a recognized teaching award.

Any of the candidate's contributions listed above must be judged by peer review as scholarly and of high quality and significance.

- d. Probationary faculty who are required to provide students of the College with experiential education opportunities (clerkships and externships) will be evaluated on their ability to establish and maintain a clinical practice setting to serve as a vehicle for their teaching activities. The candidate must demonstrate distinction and special competence in a specific field of pharmacy practice. The candidate's professional activities should be scrutinized for evidence of achievement, leadership and the development or utilization of new approaches and techniques for the solution of professional problems or other creative activities.

Evaluation of the clinical competence of the candidate should be made by clinical practitioners. This evaluation should include the candidate's contributions in the following areas:

- i. Innovative pharmacy practice.
- ii. Clinical competence in the detection, assessment, and resolution of drug therapy problems.
- iii. Provision of quality patient care services.
- iv. Other documentary evidence of achievement of a professional nature as provided by the candidate.

2. Research:

The purpose of this evaluation is to determine whether or not the candidate is an independent researcher who is capable of conducting research of high quality. The candidate will be evaluated to determine if she/he has achieved the following standards.

a. Publications:

The candidate is the primary author of original research published in peer-reviewed journals. Primary authorship is defined as the author that is primarily responsible for initiating, conducting and reporting the research. Research publications in which the candidate is an

author but not the primary author and other publications such as case reports, drug review or therapeutic review, published in peer-reviewed journals will be considered but will not be the basis for awarding tenure. Publications resulting from work as a student or a post-doctoral fellow and Letters to the Editor will not normally be considered in evaluating the candidate's research productivity, unless they meet the criteria for primary authorship as defined above.

In multi-authored articles, the contribution of the candidate should be specifically described and evaluated.

b. Research Funding:

The candidate has secured funding from sources outside the University to support his/her independent research efforts. The candidate should also demonstrate the ability to obtain research funding from federal agencies, foundations, or private sources by competition at a national level.

c. Training of Advanced Degree Professionals:

The candidate has demonstrated the ability to train advanced degree professionals as evidenced by an ongoing post-doctoral research training program and/or advising of graduate students.

d. Peer Recognition:

The candidate has demonstrated that she/he is recognized by peers as making significant contributions to the field. Examples of such evidence include invited presentations in national scientific and professional meetings, receiving recognition awards (e.g., career development, young investigator), serving on national review committees and editorial boards and election to prestigious national organizations that recognize excellence in the discipline.

e. Quality of Work and Potential for Advancement:

A review of three of the candidate's publications and other research efforts by at least three tenured members of the faculty who outrank the candidate and at least three academic peers with expertise in the same area at other universities must conclude that the work is scholarly, creative, original, and of high quality and significance.

3. Service:

Recognition should be given to scholars who make significant service contributions to student welfare through service on student organizations, to health professions, the community, the state and the nation in their special capacities as scholars.

Service, while compensating for reduced contributions in teaching and research, should in no way replace either, or be required in itself for the award of indefinite tenure. However, a strong record of service will strengthen the recommendation for tenure.

B. Procedures

The College complies with the Procedures for Reviewing the Performance of Probationary Faculty as provided by Sections 16.3, 7.4, and 7.61 of the Regulations Concerning Faculty Tenure and distributed annually by the Vice President for Academic Affairs.

1. Initiation of Recommendations for Tenure

Recommendations for tenure may be initiated by any member of the College faculty for himself/herself or for other members of the College faculty. Any faculty member may request the Committee to remove his/her name from consideration. It is strongly recommended that a faculty member who believes she/he should be considered for tenure discuss these possibilities with the department head and obtain, if at all possible, the support of the head for consideration. Members of the department who hold indefinite tenure will be polled by secret ballot on the recommendation to nominate the candidate for consideration by the Promotion and Tenure Committee for the granting of tenure. The Promotion and Tenure Committee will consider all candidates in accordance with its "Guidelines of Operation." The Committee's recommendation will be considered in a special faculty meeting attended only by faculty eligible to vote. Voting will be by secret ballot of all faculty who hold indefinite tenure in the College of Pharmacy, regardless of rank, on the recommendation to grant indefinite tenure.

2. The continuation of appointment of probationary faculty (N appointment) shall be made only after the Promotion and Tenure Committee has reviewed the documentation prepared by the department head. The documentation prepared by the departmental head shall include copies of annual evaluation and the vote of the members of the department who hold indefinite tenure in the College of Pharmacy and the candidate's curriculum vitae. The Promotion and Tenure Committee will conduct this review annually to assess the candidate's progress and will make recommendations to the tenured faculty concerning continuation of appointment. members of the College faculty who hold indefinite tenure in the College will vote, by secret ballot, on the recommendation for continuation of appointment.

3. Tenured Appointments (P Appointments):

- a. Tenured appointments will be granted only to probationary (N) faculty or to faculty who have been recruited for a specific tenured (P) position. College faculty with "nonregular" appointments are eligible to apply for available "regular" positions through participation in the search process.
- b. A tenured (P) appointment shall be made only after the Promotion and Tenure Committee and the faculty who hold indefinite tenure have voted on the recommendation for tenure.
- c. The vote to grant tenure shall be separate from, precede, and be in addition to, the vote for promotion to a specific rank.

IV. Promotion

A. Criteria

Excellence in teaching, research, and service are meaningful parameters for academic promotion. Although a balance among these functions is obviously desirable, it is recognized that the best use of professional talent may often dictate that a faculty member's contribution in one area will predominate. Service, while compensating for reduced contributions in teaching and research, should not be a primary criterion for promotion considerations.

1. Assessment of Academic Activities

a. Teaching:

The requisites for effectiveness of a teacher include intellectual competence, integrity, independence, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, an ability to effectively transmit knowledge to students, to arouse curiosity in beginning students and to stimulate advanced students to creative work. Evaluation of the professional, graduate, and continuing education teaching skills should include appraisals by the members of the instructional units and critical evaluation of student impressions of the candidate's performance as a teacher. In judging teaching competence, special consideration should be given to formal evaluation of the candidate's teaching by college faculty teaching review procedures. Review articles, contributions to textbooks, and investigation of teaching techniques should be given consideration in evaluating teaching ability.

b. Research:

The requisites for evaluating the quality of a candidate's research should include the following:

- i. A critical review of three scientific publications that reflect the candidate's most significant accomplishments by at least three members of the faculty who outrank the candidate.
- ii. A critical review by the faculty who outrank the candidate.
- iii. An appraisal of the candidate's research potential by academic peers with expertise in the same areas at other universities.
- iv. Other evidence of acceptance by peers.

c. Service:

- i. **Professional Service:** A demonstrated distinction in the special competencies and activities of a specific field of professional practice should be recognized as a criterion for promotion. The candidate's professional activities should be scrutinized for evidence of achievement, leadership and the development or utilization of new approaches and techniques for the solution of professional problems or other creative activities.
- ii. **University and Public Service:** Recognition should be given to scholars who make significant service contributions to student welfare through service on student organizations, to health professions, the community, the state and the nation in their special capacities as scholars.

2. Specific Standards for Various Ranks

a. Assistant Professor:

Promotion to Assistant Professor requires that a candidate has demonstrated a capacity for teaching and independent research and, where appropriate, innovative pharmacy practice. This rank may also be accorded a person who has completed only the educational program characteristic of this discipline when that person has given evidence of superior potential for professional growth and productivity. A demonstrated capacity for university and public service, or for superior professional activity may be used as a parameter for promotion to this rank. The candidate should have the ability to participate in the training of research investigators or advanced degree professionals.

b. Associate Professor:

Promotion to the rank of Associate Professor requires clear and demonstrable evidence that the candidate, by independent effort, has developed a program of original research, teaching, and service. The candidate should have demonstrated the ability to supervise the training of research investigators and advanced degree professionals.

c. Professor:

Promotion to the rank of Professor implies advanced academic maturity and requires evidence that the candidate has achieved recognition as a national authority in his/her discipline through the development of an original program of research, teaching, and service. If research is the major aspect of the candidate's activities, he/she should have demonstrated accomplishments and ongoing potential. If teaching is the primary criterion for promotion, the candidate should be clearly superior in the activity and there should be evidence of excellent performance by students whom he/she has prepared for careers in teaching, scholarship and service. If professional service or university and public service represent a significant aspect of the candidate's activities, he/she should have obtained national recognition for his/her papers and activities in professional organizations and in public service.

B. Procedures

1. Initiation of Recommendations for Promotion

Recommendations for promotion may be initiated by any member of the College faculty for himself/herself or for other members of the College faculty. Any faculty member may request the Committee to remove his/her name from consideration. It is strongly recommended that a faculty member who believes he/she should be considered for promotion, discuss these possibilities with the department head and obtain, if at all possible, the support of the head for consideration. Members of the regular faculty (tenured and tenure-track) of the department who hold a higher rank than the candidate will be polled by secret ballot on the recommendation to nominate the candidate for consideration by the Promotion and Tenure Committee for promotion. The Promotion and Tenure Committee will consider all candidates in accordance with its "Guidelines of Operation." The Committee's recommendation will be considered in a special faculty meeting attended only by faculty eligible to vote. Voting will be by secret ballot of all regular (tenured and tenure-track) faculty who hold an academic rank equal to or higher than the rank for which a nominee is being considered for recommendation for promotion.

2. Academic Ranks

a. Professor, Associate Professor and Assistant Professor

Promotion to the rank of full professor, associate professor or assistant professor, shall be made only after the Promotion and Tenure Committee and the College faculty eligible to vote have voted on the recommendation in accordance with established procedures. Promotion of a probationary appointee to the rank of Associate Professor or Professor must be accompanied by an appointment with indefinite tenure. Initial appointment to the rank of full professor, associate professor or assistant professor will be made by the Dean based on the recommendation of the department head in which the candidate will have an appointment. The departmental recommendation shall include the search committee's report and the vote of the regular (tenured and tenure-track) faculty of the department who hold an equal or higher rank than the candidate.

b. Joint Appointments

Initial appointments, or promotion of faculty with a primary appointment in the College of Pharmacy and a secondary appointment elsewhere in the University, shall be reviewed in the same manner as a full-time primary appointment in the College of Pharmacy with additional provision that for promotions or appointment to tenured positions, the recommendation shall include relevant information on qualifications and performance from the head of the department in which the secondary appointment is held. It is recognized that the school and/or department in which the secondary appointment is held may conduct its own independent academic review.

V. Documentation

It is the responsibility of each faculty member to keep a record of his/her teaching, scholarly activity and service. It is the responsibility of the department head to request each faculty member to update by September 1 each year this documentation of the faculty member's professional performance for the previous fiscal year (July 1 - June 30).

It is also the responsibility of the department head to review the performance of each department faculty member annually and enter a summary of this review as part of the documentation. The written annual appraisal shall be made available to, and be discussed with, the candidate.

Materials to be submitted:

1. Letter of Nomination
2. A Summary Appraisal of the candidate's qualifications by the department head including the vote of the eligible department faculty. In the case of a joint appointment, a similar appraisal and recommendation is made by the secondary department.
3. A Curriculum Vitae which shall indicate the candidate's degrees, honors, professional work experience (academic and otherwise), professional affiliations, committees, consultantships, etc.
4. A description of the candidate's teaching activities shall include, where applicable:
 - a. Current teaching responsibilities -- course titles, credits and description; current teaching activities in clinical areas.
 - b. Teaching responsibilities during the full period of his/her service on the faculty to include those in professional, graduate and continuing education courses with corresponding titles, numbers, credits and descriptions.
 - c. The number of graduate students and post-doctoral fellows currently supervised by the candidate, with their degree objectives.
 - d. The number of masters and doctors degrees awarded graduate students supervised by the candidate.
 - e. The candidate's faculty status with the Graduate School.
5. Evaluations of the candidate's teaching ability at all levels of professional, graduate and continuing professional instruction offered by the unit and graduate programs, including student evaluations of the candidate's teaching ability.
6. A description of the candidate's research activities which shall include:
 - a. A statement by the candidate of the nature and significance of the candidate's research.
 - b. A summary of all grant support for the last five years and any evidence of potential for additional or continued support.
 - c. A complete bibliography in which the candidate identifies those publications for which he/she is the primary author.
 - d. A description of the candidate's responsibilities and/or contributions in multi-authored publications and grants.
 - e. Five copies of three recent publications for which the candidate is primary author, selected by the candidate.
7. Teaching or research awards, invited participation in symposium, lectures, contributions to textbooks, etc. Any special professional honor or recognition.
8. Names of 4-6 persons from outside the College who are at equal or higher rank and who would be in a position to evaluate the candidate's professional standing. No more than 2 of these persons may be from the University of Minnesota and affiliated institutions. The candidate may request the identity of the outside reviewers so that

he/she may solicit additional letters of support from other reviewers. However, candidates will not be encouraged to obtain such letters.

9. A description of the candidate's professional practice activities which shall include: a statement by the candidate describing his/her practice including innovations or improvements in drug therapy or patient care services which he/she has developed or instituted, a statement by clinical practitioners from the candidate's area of practice evaluating the clinical competence and contributions of the candidate.
10. Service to the Department, College and University.
11. Service to community groups, professional associations, or other professional assistance to public or private agencies.
12. Service in Health Care Delivery Systems.
13. Other materials which the candidate wishes to submit.

The Promotion and Tenure Committee chairperson shall inform members of the faculty of their right under Minnesota law to examine or obtain copies of filed data of which they are the subjects and to have the meaning of it explained to them.

Adopted by College of Pharmacy Faculty
February 20, 1987; Revised May 8, 1987; Revised July 7, 1987; Revised September 4, 1987;
Retyped on the Macintosh June 4, 1991

Section V Documentation was revised to reflect the September 1 rather than December 1 date for promotion and tenure documentation update. (Annual Reports of Activities, which are separate and distinct from promotion and tenure documentation, are due May 1 of each year.)

Adopted by Department of Pharmaceutical Care & Health Systems, June 3, 1999
(Revisions for Spring 2000 are currently under consideration.)

University of Minnesota

College of Pharmacy

**Department of Medicinal
Chemistry (Med Chem)**

Promotion and Tenure

Post-Tenure Review

Annual Review

**University of Minnesota
Department of Medicinal Chemistry
Statement Required by Section 7.12
of
Regulations Concerning Faculty Tenure**

This document describes with more specificity the indices and standards which will be used to evaluate whether candidates meet the general criteria in section 7.11 of the Regulations Concerning Faculty Tenure. For a complete perspective, the reader is advised to review Section 7 in its entirety.

Criteria for Granting of Indefinite Tenure

1. Teaching:

The requisites for effectiveness of a teacher include intellectual competence, integrity, independence, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, an ability to effectively transmit knowledge to students, to arouse curiosity in beginning students and to stimulate advanced students to creative work.

Evaluation of effectiveness of teaching will include classroom performance, effectiveness in course management, curriculum materials, and educational development activities. The evaluation of teaching will be based on:

- a. The candidate's performance in teaching and advising of graduate students and postdoctorals.
- b. The candidate's overall teaching ability as perceived by students and documented by their responses on periodic student opinion surveys in a course in which the candidate is the major instructor.
- c. The candidate's teaching competence as determined by teaching evaluation by peers and/or comments of other instructors of higher rank, in team taught courses.
- d. The candidate's contributions to education as demonstrated by any of the following:
 - i. Developing a new course or revising an existing course.
 - ii. Receiving an educational development grant or directing an experimental educational program.
 - iii. Publishing a review article of technical nature in a professional journal.
 - iv. Authoring or co-authoring a chapter in a textbook.
 - v. Participating as an invited contributor in a national symposium or workshop on some aspect of education.
 - vi. Publishing an article on subjects relating to education.
 - vii. Developing and presenting a continuing education program(s).
 - viii. Receiving a teaching award.

Any of the candidate's contributions listed above (1.d) must be judged by peer review as scholarly and of high quality and significance.

Research:

The purpose of this evaluation is to determine whether or not the candidate is an independent researcher who is capable of conducting research of high quality. The candidate will be evaluated to determine if she/he has achieved the following standards.

a. Publications:

The candidate is the primary author of original research published in peer-reviewed journals. Primary authorship is defined as the author that is primarily responsible for initiating, conducting and reporting the research. Research publications in which the candidate is an author but not the primary author and other publications such as review articles published in peer-reviewed journals will be considered but will not be the basis for awarding tenure. Publications resulting from work as a student or a post-doctoral fellow and Letters to the Editor will not normally be considered in evaluating the candidate's research productivity, unless they meet the criteria for primary authorship as defined above. In multi-authored articles, the contribution of the candidate should be specifically described and evaluated.

b. Research Funding:

The candidate has secured funding from sources outside the University to support his/her independent research efforts. The candidate should also demonstrate the ability to obtain research funding from federal agencies, foundations, or private sources by competition at a national level.

c. Peer Recognition:

The candidate has demonstrated that she/he is recognized by peers as making significant contributions to the field. Examples of such evidence include invited presentations in national scientific and professional meetings, receiving recognition awards (e.g., career development, young investigator), serving on national review committees and editorial boards and election to prestigious national organizations that recognize excellence in the discipline.

d. Quality of Work and Potential for Advancement:

A review of the candidate's publications and other research efforts by the tenured members of the department faculty who outrank the candidate and at least three academic peers with expertise in the same area at other universities must conclude that the work is scholarly, creative, original, and of high quality and significance.

3. Service:

Service, while compensating for reduced contributions in teaching and research, should in no way replace either, or be required in itself for the award of indefinite tenure. However, a strong record of service will strengthen the recommendation for tenure.

Recognition should be given to faculty who make significant service contributions to the Department, the College of Pharmacy, student organizations, the University, government agencies, and scientific and professional organizations

Criteria for Promotion

Excellence in teaching, research, and service are meaningful parameters for academic promotion. Although a balance among these functions is obviously desirable, it is recognized that the best use of professional talent may often dictate that a faculty member's contribution in one area will predominate. Service, while compensating for reduced contributions in teaching and research, should not be a primary criterion for promotion considerations.

1. Assessment of Academic Activities

a. Teaching:

The requisites for effectiveness of a teacher include intellectual competence, integrity, independence, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, an ability to effectively transmit knowledge to students, to arouse curiosity in beginning students and to stimulate advanced students to creative work. Evaluation of the professional, graduate, and continuing education teaching skills should include appraisals by the members of the Department and critical evaluation of student impressions of the candidate's performance as a teacher. Review articles, contributions to textbooks, and investigation of teaching techniques should be given consideration in evaluating teaching ability.

b. Research:

The requisites for evaluating the quality of a candidate's research should include the following:

- i. A critical review of three scientific publications that reflect the candidate's most significant accomplishments by the department faculty who outrank the candidate.
- ii. A critical review by the faculty who outrank the candidate.
- iii. An appraisal of the candidate's research potential by academic peers with expertise in the same areas at other universities.
- iv. Other evidence of acceptance by peers.

c. Service:

Recognition should be given to faculty who make significant service contributions to the Department, the College, the University, government agencies, the state, community and scientific and professional organizations.

2. Specific Standards for Various Ranks

a. Assistant Professor:

Promotion to Assistant Professor requires that a candidate has demonstrated a capacity for teaching and independent research. This rank may also be accorded a person who has completed only the educational program characteristic of this discipline when that person has given evidence of superior potential for professional growth and productivity. The candidate should have the ability to participate in the training of research investigators.

b. Associate Professor:

Promotion to the rank of Associate Professor requires clear and demonstrable evidence that the candidate, by independent effort, has developed a program of original research, teaching, and service. The candidate should have demonstrated the ability to supervise the training of research investigators.

c. Professor:

Promotion to the rank of Professor implies advanced academic maturity and requires evidence that the candidate has achieved recognition as a national authority in his/her discipline through the development of an original program of research, teaching, and service. If research is the major aspect of the candidate's activities, he/she should have demonstrated accomplishments and ongoing potential. If teaching is the primary criterion for promotion, the candidate should be clearly superior in the activity and there should be evidence of excellent performance by students whom he/she has prepared for careers in teaching, scholarship and service. If professional service or university and public service represent a significant aspect of the candidate's activities, he/she should have obtained national recognition for his/her papers and activities in professional organizations and in public service.

Department of Medicinal Chemistry
Statement of Post-Tenure Goals and Expectations

Teaching: The faculty member is expected to participate in teaching Departmental courses at both the professional and graduate levels and supervise the thesis research of predoctoral students and the research of postdoctoral research associates.

Research: The faculty member is expected to maintain a research program that includes publishing peer-reviewed articles and seeking external grants and/or contracts to support the research program.

Service: The faculty member is expected to render service to the Department, School, University, and to participate in appropriate activities of the discipline.

The Department recognizes that the percentage effort in the three areas of activity (teaching, service, and research) will vary depending upon seniority, changing career patterns and the individual's other responsibilities (e.g., administrative) within the University.

University of Minnesota

College of Pharmacy

**Department of
Pharmaceutics**

Promotion and Tenure

Post-Tenure Review

Annual Review

**University of Minnesota
Department of Pharmaceutics
Department's Statement Required by Section 7.12
of Regulations Concerning Faculty Tenure**

I. Introductory Statement

This document describes with more specificity the indices and standards which will be used to evaluate whether candidates meet the general criteria in section 7.11 of the Regulations. For a complete perspective, the reader is advised to review Section 7 in its entirety.

II. Department's Mission Statement

The mission of the Department of Pharmaceutics is to improve human health through the creation and dissemination of knowledge. The research and teaching programs of the faculty focus on elucidation of the kinetics and mechanisms underlying drug absorption and disposition, the development of new drug delivery systems, and the optimization of drug therapy.

III. Granting of Indefinite Tenure

- A. Criteria for Tenure: General (Abridged from section 7.11 of the Regulations Concerning Faculty Tenure, July 1, 1985).

The basis for awarding indefinite tenure is the determination that the achievements of an individual have demonstrated the individual's potential to continue to contribute significantly to the mission of the University and to its programs of teaching, research and service over the course of the faculty member's academic career. The primary criteria for demonstrating this potential are effectiveness in teaching and professional distinction in research. Service, whether professional service or University and public service, may be taken into consideration, but is not in itself a basis for awarding tenure.

1. Teaching:

The requisites for effectiveness of a teacher include intellectual competence, integrity, independence, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, an ability to effectively transmit knowledge to students, to arouse curiosity in beginning students and to stimulate advanced students to creative work. Evaluation of effectiveness of teaching will include classroom performance, curriculum materials, and educational development activities. The evaluation of effectiveness of teaching will be based on:

- a. The candidate's overall teaching ability as perceived by students and documented by their responses on periodic student opinion surveys in a course in which the candidate is the major instructor.
- b. The candidate's teaching competence as determined by teaching evaluation by peers and/or comments of other instructors of higher rank, in team taught courses.
- c. The candidate's contributions to pharmacy education as demonstrated by any of the following:
 - i. Developing new courses or rotations, or revising existing courses.
 - ii. Receiving educational development grants or directing experimental educational programs.
 - iii. Publishing review articles of didactic nature in professional journals.
 - iv. Authoring or co-authoring chapters in pharmacy, medical, or related health science textbooks.

- v. Participating as an invited contributor in national symposia or workshops on aspects of pharmacy education.
- vi. Publishing articles on subjects relating to pharmacy education.
- vii. Developing and presenting within continuing education programs.
- viii. Receiving recognized teaching awards.

Any of the candidate's contributions listed above must be judged by peer review as scholarly and of high quality and significance.

2. Research:

The purpose of this evaluation is to determine whether or not the candidate is an independent researcher who is capable of conducting research of high quality. The candidate will be evaluated to determine if she/he has achieved the following standards.

a. Publications:

The candidate is the primary author of original research published in peer-reviewed journals. Primary authorship is defined as the author that is primarily responsible for initiating, conducting and reporting the research. Research publications in which the candidate is not the primary author will be taken into account but will not be regarded as foundational for awarding tenure. Publications resulting from work as a student or a post-doctoral fellow and Letters to the Editor will not normally be considered in evaluating the candidate's research productivity, unless they meet the criteria for primary authorship as defined above.

In multi-authored articles, the contribution of the candidate should be specifically described and evaluated.

b. Research Funding:

The candidate has secured funding from sources outside the University to support his/her independent research efforts. The candidate should also demonstrate the ability to obtain research funding via peer-reviewed proposals submitted to federal or state agencies, foundations, or private industry.

c. Training of Advanced Degree Professionals:

The candidate has demonstrated the ability to train advanced degree professionals as evidenced by an ongoing post-doctoral research training program and/or mentoring of graduate students.

d. Peer Recognition:

The candidate has demonstrated that she/he is recognized by peers as making significant contributions to the field. Examples of such evidence include invited presentations in national scientific and professional meetings, receiving recognition awards (e.g., career development, young investigator), serving on national review committees or editorial boards, and election as a fellow or officer of prestigious national organizations that recognize excellence in the discipline.

e. Quality of Work and Potential for Advancement:

A review of three of the candidate's publications and other research efforts by at least three tenured members in the Department of Pharmaceutics who outrank the candidate, and by at least three academic peers at other universities with expertise in the same area, must conclude that the work is scholarly, creative, original, and of high quality and significance.

3. Service:

Recognition should be given to scholars who make significant service contributions to student welfare through service on student organizations, to scientific or professional associations, to the community, or to the state and the nation in their special capacities as scholars.

Service, while compensating for reduced contributions in teaching and research, should in no way replace either, or be required in itself for the award of indefinite tenure. However, a strong record of service will strengthen the recommendation for tenure.

B. Procedures

The procedures used by the Department of Pharmaceutics comply with the Procedures for Reviewing the Performance of Probationary Faculty as provided by Sections 16.3, 7.4, and 7.61 of the Regulations Concerning Faculty Tenure and distributed annually by the Vice President for Academic Affairs.

1. Initiation of Recommendations for Tenure

Recommendations for tenure may be initiated by any member of the Department of Pharmaceutics faculty for himself/herself or for other faculty members of the Department. It is strongly recommended that a faculty member who believes he/she should be considered for tenure, discuss these possibilities with the Department Head and obtain, if at all possible, the support of the Head for consideration. Any faculty member may request the Department to remove his/her name from consideration. Tenured members of the regular faculty of the Department will meet and review the documentation identified below (Section V a.) They will vote by secret ballot on the recommendation to award tenure to the candidate. The Department Head will then inform the Second Level of Review Body (SLRB) of this vote, and submit to the SLRB documentation specified in Section Vb.

2. Continuation of appointment

Recommendations concerning continuation of appointment of probationary faculty (N appointment) shall be made in September. The Department of Pharmaceutics faculty shall meet to review and discuss documentation submitted for by the probationary faculty member. Such documentation, which is prepared by all Department of Pharmaceutics faculty for purposes of merit review, summarizes the activities of the faculty member over the previous academic year. The tenured faculty of the Department of Pharmaceutics shall vote, by secret ballot, on 1) whether the probationary faculty member has made satisfactory progress toward tenure, and; 2) whether the faculty member's appointment should be continued. A document prepared by the Department Head shall summarize the evaluation and transmit the results of both votes to the Second Level Review Body (SLRB). Copies of the annual evaluation and the probationary faculty member's curriculum vitae shall also be transmitted to the SLRB.

3. Tenured Appointments (P Appointments):

- a. Tenured appointments will be granted only to probationary (N) faculty or to faculty who have been recruited for a specific tenured (P) position. Department of Pharmaceutics with "nonregular" appointments are eligible to apply for available "regular" positions through the search process.
- b. A tenured (P) appointment shall be made only after tenured Department of Pharmaceutics faculty and members of the SLRB who hold indefinite tenure have voted on the recommendation for tenure.
- c. The vote to grant tenure shall be separate from, precede, and may be in addition to, the vote for promotion to a specific rank.

IV. Promotion

A. Criteria

Excellence in teaching, research, and service are meaningful parameters for academic promotion. Although a balance among these functions is obviously desirable, it is recognized that the best use of professional talent may often dictate that a faculty member's contribution in one area will predominate. Service, while compensating for reduced contributions in teaching and research, should not be a primary criterion for promotion considerations.

1. Assessment of Academic Activities

a. Teaching:

The requisites for effectiveness of a teacher include intellectual competence, integrity, independence, enthusiasm, a spirit of scholarly inquiry, a continuous increase in knowledge of the subject taught, an ability to effectively transmit knowledge to students, to arouse curiosity in beginning students and to stimulate advanced students to creative work. Evaluation of the professional, graduate, and continuing education teaching skills should include appraisals by the members of the instructional units and critical evaluation of student impressions of the candidate's performance as a teacher. In judging teaching competence, special consideration should be given to formal evaluation of the candidate's teaching by college faculty teaching review procedures. Review articles, contributions to textbooks, and investigation of teaching techniques should be given consideration in evaluating teaching ability.

b. Research:

The requisites for evaluating the quality of a candidate's research should include the following:

- i. A critical review of three scientific publications that reflect the candidate's most significant accomplishments by at least three peers at other academic institutions who outrank the candidate.
- ii. A critical review by Department of Pharmaceutics faculty who outrank the candidate.
- iii. An appraisal of the candidate's research contributions by academic peers with expertise in the same areas at other universities.
- iv. Other evidence of acceptance by peers.

c. Service:

- i. University and Public Service: Recognition should be given to scholars who make significant service contributions to scientific associations or societies, to editorial boards or funding agencies, to student welfare through service on student organizations, the community, the state and the nation in their special capacities as scholars.

2. Specific Standards for Various Ranks

a. Assistant Professor:

Promotion to Assistant Professor requires that a candidate has demonstrated a capacity for teaching and independent research. This rank may also be accorded a person who has completed only the educational program characteristic of this discipline when that person has given evidence of superior potential for professional growth and productivity. A demonstrated capacity for university and public service, or for superior professional activity may be used as a parameter for promotion to this rank. The candidate should have the ability to participate in the training of research investigators or advanced degree professionals.

b. Associate Professor:

Promotion to the rank of Associate Professor requires clear and demonstrable evidence that the candidate, by independent effort, has developed a program of original research, teaching, and service.

The candidate should have demonstrated the ability to supervise the training of research investigators and advanced degree professionals.

c. Professor:

Promotion to the rank of Professor implies advanced academic maturity and requires evidence that the candidate has achieved recognition as a national authority in his/her discipline through the development of an original program of research, teaching, and service. If research is the major aspect of the candidate's activities, he/she should have demonstrated accomplishments and ongoing potential. If teaching is the primary criterion for promotion, the candidate should be clearly superior in the activity and there should be evidence of excellent performance by students whom he/she has prepared for careers in teaching, scholarship and service. If professional service or university and public service represent a significant aspect of the candidate's activities, he/she should have obtained national recognition for his/her papers and activities in professional organizations and in public service.

B. Procedures

1. Initiation of Recommendations for Promotion

Recommendations for promotion may be initiated by any member of the Department of Pharmaceutics faculty for himself/herself or for other members of the Department. It is strongly recommended that a faculty member who believes he/she should be considered for promotion, discuss these possibilities with the Department Head and obtain, if at all possible, the support of the Head for consideration. Any faculty member may request the Department to remove his/her name from consideration. Members of the regular faculty (tenured and tenure-track) of the department who hold a higher rank than the candidate will meet and review the documentation identified below (Section Va.) They will vote by secret ballot on the recommendation to promote the candidate, and will inform the Second Level of Review Body (SLRB) of this vote.

The SLRB may be the Faculty Affairs Committee or the College of Pharmacy Faculty who are eligible to vote on promotion. The SLRB will consider all candidates in accordance with its "Guidelines of Operation." Voting by the SLRB will be by secret ballot of all regular (tenured and tenure-track) faculty who hold an academic rank equal to or higher than the rank for which a nominee is being considered for recommendation for promotion.

2. Academic Ranks

a. Professor, Associate Professor and Assistant Professor

Promotion of a probationary appointee to the rank of Associate Professor or Professor must be accompanied by an appointment with indefinite tenure. Initial appointment to the rank of full professor, associate professor or assistant professor will be made by the Dean based on the recommendation of the Head of the Department of Pharmaceutics. The Departmental recommendation shall include the Search Committee's report and the vote of the regular (tenured and tenure-track) faculty of the Department who hold an equal or higher rank than the candidate.

b. Joint Appointments

Initial appointments, or promotion of faculty with a primary appointment in the Department of Pharmaceutics and a secondary appointment elsewhere in the University, shall be reviewed in the same manner as a full-time primary appointment in the Department of Pharmaceutics with additional provision that for promotions or appointment to tenured positions, the recommendation shall include relevant information on qualifications and performance from the head of the department in which the secondary appointment is held. It is recognized that the school and/or department in which the secondary appointment is held may conduct its own independent academic review.

V. Documentation Required for the Promotion and/or Tenure Review

It is the responsibility of each faculty member to keep a record of his/her teaching, scholarly activity and service. It is the responsibility of the Department Head to request each faculty member to update by September 1 each year this documentation of the faculty member's professional performance for the previous fiscal year (July 1 - June 30).

It is also the responsibility of the Department Head to review the performance of each Department faculty member annually and enter a summary of this review as part of the documentation. The written annual appraisal shall be made available to, and be discussed with, the candidate.

In the case of a tenured faculty member in the Department of Pharmaceutics, the review shall be as defined in "Procedures for Post-Tenure Review in the Department of Pharmaceutics".

A. Materials to be submitted by the Candidate to the Department Head:

1. Cover letter which may be a self-nomination for Promotion and/or Tenure by the candidate, or a letter of nomination from a Department of Pharmaceutics faculty member.
2. A Curriculum Vitae which shall indicate the candidate's degrees, honors, professional work experience (academic and otherwise), professional affiliations, committees, consultantships, etc.
3. A description of the candidate's teaching activities shall include, where applicable:
 - Current teaching responsibilities -- course titles, credits and description.
 - Teaching responsibilities during the full period of his/her service on the faculty to include those in professional, graduate and continuing education courses with corresponding titles, numbers, credits and descriptions.
 - The number of graduate students and post-doctoral fellows currently supervised by the candidate, with their degree objectives.
 - The number of masters and doctors degrees awarded graduate students supervised by the candidate.
 - The candidate's faculty status with the Graduate School.
4. Evaluations of the candidate's teaching ability at all levels of professional, graduate and continuing professional instruction offered by the Department and graduate programs, including student evaluations of the candidate's teaching ability.
5. A description of the candidate's research activities which shall include:
 - A statement by the candidate of the nature and significance of the candidate's research.
 - A summary of all grant support for the last five years and any evidence of potential for additional or continued support.
 - A complete bibliography in which the candidate identifies those publications for which he/she is the primary author.
 - A description of the candidate's responsibilities and/or contributions in multi-authored publications and grants.
 - Five copies of three recent publications for which the candidate is primary author, selected by the candidate.
6. Teaching or research awards, invited participation in symposium, lectures, contributions to textbooks, etc. including any special professional honor or recognition.
7. Names of 4-6 persons from outside the College who are at equal or higher rank and who would be in a position to evaluate the candidate's professional standing. None of these persons may be from the University of Minnesota or its affiliated institutions. Candidates will not be encouraged to obtain additional letters of support.
8. Service to the Department, College and University.
9. Service to community groups, to scientific or professional associations, or to public or private agencies.
10. Other materials which the candidate wishes to submit.

The Department Head shall inform the candidate of his/her right under Minnesota law to examine or obtain copies of filed data of which the candidate is the subject, and to have the meaning of these documents explained to him/her. The Department Head shall also inform all individuals who provide written evaluations of the candidate, that the candidate has the right to examine those evaluations. The right to examination may be waived by the candidate without prejudice.

b. Materials to be submitted by the Department Head to the Chairperson of the Second Level of Review Body:

1. All of the documents identified under V a. above.
2. A Summary Appraisal of the candidate's qualifications by the Department Head including the vote of the eligible department faculty. This Summary Appraisal shall have been reviewed and discussed by the Department faculty who participated in the candidate's review. It shall also have been reviewed by the candidate for accuracy and completeness.
3. Any additional materials provided to the Department Head at the candidate's request, or at the request of Department faculty who may have a minority view not expressed in the Summary Appraisal. These materials may include a document from the candidate which supplements or refutes points made in the Summary Appraisal.

Faculty Evaluation Form for Merit Review

Year 1998-1999

Faculty Member: _____

1. Evaluation:

This faculty member's performance during the past year has been (Place an X by your selection.

Outstanding progress _____

Satisfactory Progress _____

Unsatisfactory Progress _____

2. Comments:

3. Bonus Award

Please indicate below if you recommend this faculty member for a bonus for this past year's service. If you do, place an X next to the performance category you have identified which warrants consideration of a bonus award.

1. Teaching excellence: Outstanding classroom/laboratory teaching; may be given for substantial improvement; student recognition; innovation _____

2. Student service: Loyal service to the students: advisor to student groups, present for orientation, graduation, student social events, Rho Chi, etc.

3. Collegiate reputation: Greatest contribution to our national reputation this year.

4. Faculty Leadership/Teamwork: Leadership contributions leading to a team working together well. _____

5. Interdisciplinary/interscholastic programs: Outstanding contributions to our participation in interdisciplinary/interscholastic programs - research, education or service. _____

6. Outstanding committee service. This will recognize individuals with outstanding service contributions, to the College/AHC/University. _____

7. Market/retention. A very modest effort to partially aid retention. _____

Department of Pharmaceutics

Procedure for Post-Tenure / Merit Review

Date Adopted: June 17, 1999

The procedures to be used in annual post-tenure and merit review of faculty in the Department of Pharmaceutics are outlined in this document. Three considerations were brought to bear in formulating this proposal:

1. The process should be made as simple as possible.
2. Numerical data alone on scholarly output are insufficient and can, in some cases, distort judgements of overall quality. Similarly, numerical teaching evaluations may or may not reflect the "whole story".
3. Fairness must be maintained, and the review process for an individual faculty member must be adequately documented, both for the informational benefit of the Department and the individual, and for protection of the Department against grievances.

Procedures:

1. Each faculty member is responsible for submitting an up-to-date Curriculum Vitae which will be submitted, along with other appropriate documentation (e.g., annual report), to the Department Head two weeks before the Departmental meeting in which faculty peer reviews are conducted (item 2). The CV/documentation is to include all material that is deemed relevant by the faculty member for his/her evaluation, and should be made available two weeks prior to the meeting. This will include, among other things, the previous year's record of publications, teaching, grants/contracts received, consultancies, service on campus, professional organizations or editorial boards, refereeing of manuscripts and/or proposals, and supervision/mentoring of postdoctoral fellows, other scientists, and professional/graduate students.

Every year the faculty in the Department will meet to peer-review each others' accomplishments. Each faculty member, including the Department Head, will be reviewed. The individual being reviewed will leave the room and his/her CV/documentation will be circulated. The Department Head will summarize the strengths and weaknesses of the faculty member, followed by open discussions related to merit and post-tenure evaluation.

Merit review. After discussion, a vote by written ballot will be taken, with three possible outcomes: *Outstanding Progress*, *Satisfactory Progress*, *Unsatisfactory Progress*. This vote will be recorded by each reviewer on a ballot with comments as appropriate. The outcome will place the individual in one of three compensation categories (see below) and will be recorded on an evaluation summary form, with a summary of comments prepared by the Department Head. In addition, each faculty member will be considered by the reviewers for a bonus based on his/her annual review. Bonuses will be awarded to those individuals receiving, in rank order, the greatest number of supporting votes in accord with the number of bonuses available to the Department for that year. Categories (criteria) for bonuses will be identified on the evaluation summary form.

Post-tenure review. After discussion, a vote by written ballot will be taken regarding post-tenure review, with the following possible outcomes: *Satisfactory Performance*, or *Performance Substantially Below Expectations*.

For both merit and post-tenure review, the outcome receiving the most votes will be declared the position of the Department, with ties broken by decision of the Department Head.

Academic review of the Department Head will be presided over by an elected faculty member who will be chosen at least two weeks prior to the meeting, and that person will take on all the roles normally fulfilled by the Department Head, as described under *Procedures*, paragraph 2.

3. The Department Head will maintain a written summary of the discussions, which will be made available on request of the concerned faculty member. The summary of discussions pertaining to the Department Head will be prepared by the individual who presides over the Department Head's review. This summary will be provided to the Department Head with copy to the Dean.

Procedures for Post-Tenure Review in the Department of Pharmaceutics

Adopted, January 20, 1999.

This document outlines the procedures to be followed for review of tenured faculty in the Department of Pharmaceutics. Specific criteria related to goals and expectations for purposes of merit and/or post-tenure review are not addressed in this document, but will be proposed, modified and adopted in the Winter quarter 1999.

- **Frequency and time of review**

Post-tenure review of each tenured faculty member in the Department of Pharmaceutics will occur annually in the spring.

- **Relationship between post-tenure review and merit review**

The annual post-tenure and merit review for compensation purposes will be performed separately.

- **Post-Tenure Review Committee**

A Post-Tenure Review Committee (PTRC) composed of all tenured and tenure-track faculty (except the Department Head) will conduct the post-tenure review. Non-tenured faculty will be given the option of not serving on this Committee. Members of this Committee will not review their own dossier, i.e., every tenured faculty member (including the Department Head) will be reviewed by all other members of the Committee.

- **Assessment of performance by the PTRC**

(a) Dossiers for each tenured faculty member, including that of the Department Head, will be provided by the faculty to the PTRC at least 3 weeks prior to the time the reviews are to be completed. The Committee will review the faculty member's accomplishments for the past year, addressing his/her activities and contributions in teaching, research and service.

(b) The fundamental question addressed by the Committee will be whether or not the faculty member's performance is substantially below a level that is commensurate with the goals and expectations established for post-tenure review.

- **Summary Evaluations**

- (a) *A Departmental staff member will record the decisions emanating from the review, and complete a Summary Evaluations (SE) summarizing the Committee's comments/recommendations. The SEs (except for that completed for the Department Head) will be submitted to the Head who will indicate on the SE whether she/he agrees with the PTRC's evaluation. The Department Head will provide additional comments on the SE reflecting her/his evaluation of the faculty member. These SEs will also be provided to and discussed with the reviewed faculty member who may also add comments and indicate whether she/he agrees with the PTRC's evaluation.*
- (b) *The SE for the Department Head will be provided directly to the Dean.*
- (c) *The Summary Evaluation of the faculty member's performance will be included in the faculty member's Departmental File.*

- **Designation of substandard performance**

- (a) *It will be concluded that a faculty member's performance is substantially below the goals and expectations if it is considered to be so by a simple majority of the PTRC, and if the Department Head concurs.*
- (b) *In the annual, post-evaluation meeting of the faculty member and the Department Head, the Department Head will inform the faculty that his/her evaluation is substantially below the goals and expectations established for the Department of Pharmaceutics.*
- (c) *If this substandard performance has occurred for a second consecutive year, that is if the performance is substantially below the goals and expectations agreed upon in the previous year's review, the faculty member's file will be provided to the Dean of the College of Pharmacy who will conduct an independent review. The Dean will then determine if a Special Review of the faculty member is warranted.*

- **Composition of the Post-Tenure Review Committee**

A Post-Tenure Review Committee (PTRC) composed of all tenured and tenure-track faculty (except the Department Head) will conduct the post-tenure review. Tenure-track faculty will be given the option of not serving on this Committee.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

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for Health Sciences*

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Fax: 612-626-2111*

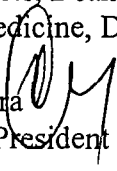
*Offices located at:
410 ChRC
426 Church Street S.E.
Minneapolis, MN 55455-0374*

Date: January 10, 2000

To: Al Michael, Dean
Medical School

Michael Till, Dean,
School of Dentistry

Richard Ziegler, Dean
School of Medicine, Duluth

From: Frank B. Cerna 
Senior Vice President for Health Science

Re: Request for Collegiate Policies and Processes

I am following up on my October 21 memo to you requesting copies of your school's policies on and processes for post-tenure review, annual performance reviews, and annual compensation reviews. I have not yet received copies of your policies and processes.

As I said in my October 21 memo, I am working with the AHC's faculty governance committees to provide the requisite oversight for these policies and processes. A copy of my October 21 memo is attached.

Attachment

C: Muriel Bebeau, Chair, AHC-FCC

From: Timothy Wiedmann <wiedm001@maroon.tc.umn.edu>

Date: Fri, 21 Jan 2000 15:34:36 -0600

To: Robert J Cipolle <cipol001@maroon.tc.umn.edu>,
James C Cloyd III <cloyd001@maroon.tc.umn.edu>,
Courtney V Fletcher <fletc001@maroon.tc.umn.edu>,
David J Grant <grant001@maroon.tc.umn.edu>,
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Joseph T Hanlon <hanlo004@tc.umn.edu>,
Patrick E Hanna <hanna002@maroon.tc.umn.edu>,
Rodney L Johnson <johns022@maroon.tc.umn.edu>,
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John C Rotschafer <rotsc001@maroon.tc.umn.edu>,
W Thomas Shier <shier001@tc.umn.edu>,
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Wendy St Peter <stpet002@maroon.tc.umn.edu>,
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Henry J Mann <mannx002@maroon.tc.umn.edu>

Cc: Frank B Cerra <cerra001@maroon.tc.umn.edu>,
Muriel J Bebeau <bebea001@maroon.tc.umn.edu>,
Judith M Garrard <jgarrard@maroon.tc.umn.edu>,
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Subject:

Dear Colleagues,

Dr. Cerra wishes to have a strategic planning document developed by AHC faculty. The first phase will involve a team leader and a committee from each AHC school address a number of questions (the nature of questions was outlined in his State of AHC Address, <<http://www.ahc.umn.edu/Cerra1099address.html>>). In the second phase, each question will be addressed by a separate committee that will be composed of

the same faculty that made up the schools' committees, but the committees will have representation from each school. The last phase is a drafting of a written document. Martin Dworkin is leading the entire process and will have input from other constituents including the Board of Regents.

Leaders were identified for the schools, but I have stated that it would be better for COP to select its own team leader. Dr Cerra has wholeheartedly agreed and has expressed a desire to have a name forwarded by 1/26/00.

To this end, I will make a motion at the College Assembly on Monday to suspend the rules of the College Assembly that will allow a second motion to be considered. The second motion will call for a slate of nominees for election to be the COP team leader. The motion will also ask that the election take place by email and be completed by Wednesday.

I ask each of you to support this effort. I would also call on faculty to nominate individuals or volunteer for the position of team leader. In closing, I would appreciate any suggestions that you can offer to facilitate this specific process as well as the strategic planning effort.

Respectively,

Timothy Wiedmann, Ph.D.
COP AHC FCC Representative

From: "Vickie Courtney" <courtney@mailbox.mail.umn.edu>

Date: Wed, 1 Dec 1999 10:35:38

To: Muriel J Bebeau <bebea001@maroon.tc.umn.edu>,
courtney@mailbox.mail.umn.edu,
Judith M Garrard <jgarrard@maroon.tc.umn.edu>,
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jboulger@d.umn.edu,
mille008@tc.umn.edu,
cerra001@umn.edu

CC: ander105@umn.edu

Subject: DRAFT Executive Summary - FCC Mtg with SVP Cerra - Nov. 17

DRAFT
AHC FCC MEETING WITH SVP CERRA
Executive Summary
November 17, 1999

PRESENT: Frank Cerra, Muriel Bebeau, Stephanie Valberg, Patricia
Ferrieri, Bob Miller, Judith Garrard

ABSENT: James Boulger, Timothy Wiedmann, Dan Feeney

The main agenda item included a discussion about developing a process to
use for crafting the vision of the AHC. Dr. Cerra outlined a number of key
points relative to the process.

- [Propose to establish a faculty/administrator working group. The goal is
to develop a plan and process to craft a vision for the AHC.
- [The SVP and the Chair of the AHC FCC will initiate this endeavor with the
SVP's Chief of Staff and a senior faculty member (yet to be named) to lead
the effort to actually craft a vision. The intent is to establish a
working group of faculty/administrators
- [Along with this group of faculty and administrators, an ad hoc committee
composed of four Regents will help to develop the plan to create a healthy
AHC.
- [Regents Reed, Larson, Neel and Barga will meet with Terry Bock and Muriel
Bebeau to discuss this and to get a better understanding of the resources
needed to achieve plan; and then to help identify and obtain these
resources.
- [FCC members discussed the criteria to be used in selecting a faculty to
lead the working group. Members emphasized that the person selected needs
to have a broad understanding of the issues in the AHC and has the trust of
the faculty.

One member asked how Dr. Cerra saw the individual schools fitting into this
plan. He responded that the goal is to tie the plans to the compacts and
the compacts need to be a bottom up process. A brief time was spent
discussing the compacts and the substantial drop in clinical practices that
has occurred for the last 4-5 years. Dr. Cerra noted that there is a \$8-9
million deficit in the Medical School. Members also talked about the
number of faculty over 55 (approximately 61%) and the problems the AHC will
face if not replaced with younger faculty.

The discussion then returned to the planning process; the lack of distant
education in the AHC; and identifying names of faculty to consider for the
faculty leadership position. Many expressed their opinion that it should
be a 50% time position. Several names were mentioned. Dr. Cerra indicated
he would consider them and get back to the FCC prior to making a final
decision.

Hearing no further business, Dr. Cerra adjourned the meeting.

Vickie Courtney
University of Minnesota
AHC

Vickie Courtney
U Senate
427 Morrill Hall
625-4805
courtney@mailbox.mail.umn.edu

|

It's time to see where the schools are in the processes of post-tenure review. I have devised the following questionnaire. Please evaluate. Does it do the job in determining if the processes are in place. Whether or not the processes are used would be the next task to assess.

Questions: Who fills out this Questionnaire?
 What do we want to accomplish?
 Would it be helpful to collect copies of the documents for review
 by the Faculty Affairs subcommittee?

Survey questions:

PART I

Does the school have a policy and procedures for annual review of department/division (unit) heads? __yes __no

How are faculty involved in the review of department/division (unit) heads?

Please attach the questionnaire and any available description of the policy description and the process for implementation. If the description does not address the following questions, please provide a description here:

Development:

How was the policy developed and who participated in the development?

Was the policy ratified by the department heads as a whole?

Was the policy approved by the Senior Vice President?

Implementation: What is the process for implementation?

Who sees the results?

What is done with the results?

Part II

Does each department (unit) have a policy for:

- 1) Annual review of faculty performance? ___ yes ___ no

If all departments (units) do not, how many do? ___ do not? ___

List below the departments that have a policy and attach a copy of the policy for review as well as any description of process that might accompany it. If the description does not address the following questions, please provide a description here:

Development: For each department (unit) policy answer the following questions:

How was the policy developed and who participated in the development?

Was the policy ratified by the faculty as a whole?

Was the policy approved by the Dean?

How does the effectiveness and impact get reviewed? How has the policy changed?

When is the last time it came up for review and reaffirmation?

Implementation:

What is the process for implementation? Who sees the results?
What is done with the results?

- 2) Policy for faculty Compensation?

If all departments (units) do not, how many do? ___ do not? ___

List below the departments that have a policy and attach a copy of the policy for review as well as any description of process that might accompany it. If the description does not address the following questions, please provide a description here:

Development: For each department (unit) policy answer the following questions:

How was the policy developed and who participated in the development?

Was the policy ratified by the faculty as a whole?

Was the policy approved by the Dean?

How does the effectiveness and impact get reviewed? How has the policy changed?

When is the last time it came up for review and reaffirmation?

Implementation:

What is the process for implementation? Who sees the results?
What is done with the results?

3) Policy for Post tenure review?

Same questions

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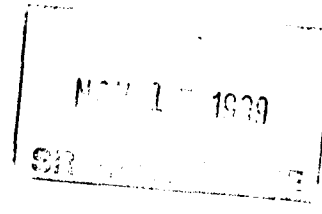
November 12, 1999

11-18-99
① Copy to
Micky Behrens
② file: Compensation/PT

MEMORANDUM

TO: Frank B. Cerra, M.D.
Senior Vice President for Health Sciences

FROM: Edith D. Leyasmeyer, M.P.H., Ph.D.
Dean



SUBJECT: Policy/Procedure Follow-Up

Per your request, enclosed is a set of criteria developed by our administrative units for evaluating performance of academic personnel. The criteria for the Dean's Office and each Division were reviewed and forwarded to the Dean's Office last Spring prior to the performance review cycle. There are variations from unit to unit with respect to the particulars of the criteria, but all faculty and academic professional and administrative (P&A) staff have had the opportunity to participate in formulating criteria specific for their unit and personnel category.

The School of Public Health has consistently used a merit-based system for salary increases for academic personnel. The Heads of each Division evaluate individuals in their units, based on their particular criteria, and make their recommendations to the Dean. The Dean evaluates his/her direct reports and submits salary recommendations for all School of Public Health personnel to the Senior Vice President for Health Sciences. Additionally, for all administrative classifications, performance evaluations are solicited from appropriate constituent groups. (Copy attached.)

Performance reviews take place in one-on-one meetings, where accomplishments are compared with the established criteria and future expectations are formulated. All academic personnel provide documentation of their achievements and propose goals for the next academic year.

The P&A staff are basically evaluated on the performance of their assigned tasks and established goals, which in most cases are quite position specific. The evaluations of P&A staff are undertaken by their immediate supervisors and are similar to those described for faculty.

I am also enclosing a copy of the School's Post Tenure Review Plan.

EDL:sk

Attachments

1998-99 Criteria

SCHOOL OF PUBLIC HEALTH Dean's Office

Process Utilized by Dean to Evaluate Academic Administrators

A. Classifications of Individuals Reviewed:

Division Heads

Biostatistics

Environmental and Occupational Health

Epidemiology

Health Management and Policy

Health Services Research and Policy

Associate Deans

Academic Affairs

Administration and Finance

Associate to the Dean

B. Process Utilized for Assessing Performance and Awarding Merit Increases:

1. Review of submitted goals and accomplishments by each individual.
2. Review of evaluations received from relevant constituents: faculty, P&A, staff, and relevant external individuals.
3. Review of overall accomplishments and productivity of unit in cases of Division Heads.

April 12, 1999

MEMORANDUM

TO: Faculty and Select* P&A and CS/BU Staff

FROM: Edith D. Leyasmeyer, Ph.D.
Dean

RE: Annual Evaluation of Russell Luepker

The University mandates annual performance reviews of persons holding administrative positions. Namely, faculty and staff working directly with the given administrator are to be provided an opportunity to comment on his/her performance.

This request is to obtain your input on the performance during the past year of _____.
To assure complete confidentiality of the origin of comments, feedback to _____ will be provided in a summary format.

How would you describe the overall performance during the past year of _____?

- Outstanding
- Good
- Fair
- Poor
- Don't know enough about performance to comment

Comments: (particularly encouraged if you checked "poor" performance)

Please complete and return this form to me in the enclosed envelope no later than April 23, 1999.

* Select P&A and CS/BU = Staff who report directly to and/or whose performance is evaluated by _____.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

*Division of Biostatistics
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April 9, 1999

Edith Leyasmeyer, PhD MPH
Dean, School of Public Health
University of Minnesota

RE: Faculty and P&A Staff salary review

Dear Edith,

As in previous years, each faculty member and P&A member files an annual report, I review the report and meet with each individual (with their supervisor for P&A staff) and then score their performance. Unless equity adjustments are made, raises are ordered by these scores and I usually use no more than four percent-raise values.

I have attached relevant memos and documents.

Best regards,



Thomas A. Louis, PhD
Professor and Head

UNIVERSITY OF MINNESOTA

Division of Biostatistics
School of Public Health
420 Delaware St. SE Box 303
Minneapolis, MN 55455 USA

Thomas A. Louis
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tom@biostat.umn.edu

MEMORANDUM

TO: Biostatistics Faculty, Senior Research Associates and Research Fellows
FROM: Tom Louis
SUBJECT: Annual Reports
DATE: April 9, 1999

In order to evaluate your previous year's activities for salary review, please prepare an annual report of activities covering the period April 1998 → March 1999. Also, please include a *brief* statement of goals for the April 1999 → March 2000 period. Please turn in reports by early April.

Faculty: Please report in the categories defined by our workload policy.

Senior Research Associates and Research Fellows: Please report in either the faculty workload policy format, or in the format proposed by research fellows. The former is available from Donna Doyle, the latter from Lisa Fosdick.

April 9, 1999

FACULTY WORKLOAD AND EVALUATION PLAN
Division of Biostatistics, The University of Minnesota, School of Public Health

PREMISES

- ★ That Biostatistics faculty are professionals who understand their opportunities and responsibilities and intend to do an excellent job.
- ★ That our primary goal is quality improvement.
- ★ That prospective agreement on time allocation is central to a fair and effective system.
- ★ That performance assessments will be based on achievement relative to prospective agreements.

PROCEDURES

- Documentation of prospective agreements.
- A uniform reporting format.
- An overall rating, backed-up by a brief rationale.
- Written faculty commentary on the evaluation.

WORKLOAD

(percent-time allocation based on a 12-month (A) appointment)

I. Classroom teaching and other education: We use a "currency" of 5%, 10%, 15% and 20% for 1, 2, 3, and 4 credit courses. A *pro rata* amount of course advising accompanies these percentages. Plan B and PHD advising (primary advisor) are included here at 5% for PHD and 2.5% for plan B. Service as DGS is included here. Additional percent allocation to this category (for example to develop a course) is available by prospective agreement.

II. Research: (including supervision of post-doctoral fellows):

- Extra-mural or internal grant funding at whatever percent is the actual.
- Additional divisionally funded research time by prospective agreement.

III. Professional Service, School and University Administration:

- Includes divisional, school and university committees, external professional service such as journal editing, refereeing NIH and other federal and state committees, professional society committees. 5% minimum allocation that can be increased by prospective arrangement.

REPORTING

In early April of each year, faculty will report activities and performance in categories I, II and III along with a fourth category:

IV. Other:

- This category allows each faculty member to have part of their overall assessment based on whatever they would like, subject only to relevance. Activities do not have to be prospectively arranged. For example, the category might be used for an extraordinary amount of external professional service, teaching or research accomplishments, awards and prizes.

EVALUATION

The evaluation will consist of:

- An overall numeric score (integers from 0 → 20). It will capture some combination of absolute and relative performance, for the current year.
- A written evaluation of the current year and a composite evaluation of the last three years (including the current).
- A meeting between the faculty member and the division head.
- Written faculty member comments on the evaluation.
- Plans and goals for the coming year.
- Oral or written evaluation of the division head, if the faculty member so chooses. (The school is developing an anonymous annual evaluation of division heads and other administrators).

USES

Evaluations will be used for quality improvement and for determining raises. Raises should be positively correlated with evaluations, but no strict formula will be used.

M E M O R A N D U M

TO: NAME
FROM: Thomas A. Louis, PhD, Professor and Head
SUBJECT: 1999 Annual Evaluation
DATE: April 9, 1999

SCHOLARLY ACTIVITY (publications, talks, grant research, 0-6)

COURSE TEACHING (0-5):

RESEARCH ADVISING (0-3):

SERVICE (university and external, 0-4):

MISCELLANEOUS (awards, grant prep., visibility 0-2):

Adjustment for expectations (\pm):

TOTAL (max = 20 \pm adjustment):

A Statement of Principles for Merit Salary Increases
Division of Health Management and Policy, School of Public Health

1. There should be minimum standards established for each faculty member in the areas of (a) teaching, (b) scholarly activity, (c) administration (d) community service.
2. During Spring quarter, faculty will meet with the Division Head to establish operational goals for the following academic year and to review past year's performance. It is the responsibility of the faculty member to present written material demonstrating the extent to which goals have been met. If exceeded, the faculty member should be given strong consideration for a merit salary increase.
3. It is the responsibility of the Division Head to monitor faculty and division performance and to provide constructive feedback as to how it can be improved. This is consistent with policies of the School of Public Health.
4. In evaluating faculty performance, the Division Head will generally expect each faculty member to spend 40% of his/her time on scholarly activities, 40% on teaching, 10% on administration and 10% on service. However, since we work as a team, there can be individual differences to reflect unique individual faculty strengths.

It is anticipated that as a collective faculty, approximately 40% of faculty time will be allocated to scholarly activity, 40% to teaching and 20% to administrative/service activities. This is an important principle which suggests that goal setting must take into consideration the strengths of individual faculty members and how those strengths can best be utilized in furthering the mission of the Division.

5. In evaluating teaching effectiveness, the following activities will be considered:
 - A. Courses, including course numbers, titles, enrollments and student evaluations;
 - B. Supervision of Masters projects and theses;
 - C. Advisees, including those enrolled in the ISP, MHA, MPH and PhD programs;
 - D. Graduate committee responsibilities for MS and PhD students;
 - E. Independent study programs, including names of students and focus of program.
6. In evaluating scholarly activities, the following will be considered:
 - A. Publications;
 - B. Scholarly activities in which currently engaged; if research is collaborative, a statement should be given explaining the nature of the investigator's responsibilities;
 - C. Papers submitted for publication including journal, date submitted and status of manuscript;
 - D. Membership on boards (including professional organizations, editorial boards, grant review committees, government agencies, foundations, etc.);
 - E. Major presentations given during the year.
7. In evaluating administrative activities, the following will be considered:
 - A. Names of committees on which the faculty member has served and a brief statement indicating the nature of the responsibilities.
8. In evaluating service activities, the following will be considered:
 - A. Membership and involvement in community and professional organizations. (examples: consultant activities to the Minnesota Department of Health, Minnesota Hospital Association, national organizations, federal agencies, etc.).
9. Awards and recognition received.

**1998 Criteria
Division of Environmental and Occupational Health**

Faculty Merit Increases

<u>Scholarly Activity</u>	<u>Primary</u>	<u>Secondary</u>
Paper published in a peer-reviewed journal or peer-reviewed book chapter	2	.5-2†
Grant or contract funded	1-6*	1-3*
Salary support from grants and contracts	1-12**	
Presentation at national or international meeting	.5	

Teaching and Advising

Teaching a course (1 per 20 student credit hours)	
Masters students graduated (thesis advisor)	1
Doctoral student graduated (thesis advisor)	3††
Supervising post-doctoral candidate	1

Service

It is expected that faculty will participate in service activities of the division, school and university. Two bonus points will be awarded for outstanding service.

Other

Special service within the division or school (e.g., DGS or major chair)	2
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* based on size of grant and ICR

** 1 point/10%, plus 2 points if >75%

† depending on participation and responsibility

†† 1 point when student completes coursework, 1 when prelim completed and 1 when final oral completed

Date: Mon, 26 Apr 1999 10:18:01 -0500
From: Mindy Geisser <msg@cccs.umn.edu>
Subject: P&A Performance Criteria
Resent-to: JMANDEL@cccs.umn.edu, swolg@cccs.umn.edu, sjm@ccbr.umn.edu
To: Jack Mandel <jack@cccs.umn.edu>
Cc: Kathryn Buxton <kbuxton@cccs.umn.edu>, Sarah Waldemar <sarah@cccs.umn.edu>,
Nancy Nachreiner <nachr001@tc.umn.edu>,
Barbara Scott Murdock <murdo004@tc.umn.edu>,
'Deborah A. Wingert' <winge007@gold.tc.umn.edu>,
Vicki Chouinard <vchou@cccs.umn.edu>, Steven Mongin <sjm@cccs.umn.edu>,
Mindy S Geisser <msg@cccs.umn.edu>, Mary A Sikorski <mas@cccs.umn.edu>
MIME-version: 1.0
X-MSMail-Priority: Normal
X-Priority: 3

Jack,

The EOH P&A staff have decided to keep the P&A performance criteria that were used last year. Below is a copy of the P&A performance criteria.

Mindy

Mindy S. Geisser E-MAIL: msg@cccs.umn.edu
Senior Research Fellow PHONE: 627-4156
Health Studies Section FAX: 627-4158
Division of Environmental & Occupational Health
School of Public Health
Suite 202, 212 Ontario SE St.
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1999 Criteria
School of Public Health
Division of Environmental and Occupational Health

P & A Merit Increases

1. Contribute to the development and implementation of the unit's research projects. This may include, but is not limited to, any of the following:

Contribute to the development and description of the background and significance of the project. Develop research methods and data analysis. Undertake independent and collaborative research. Analyze and interpret the research results for presentation such as a journal paper, report, or conference presentation. Analyze data. Choose appropriate tool for analysis. Develop proposals for research projects. Successful proposals could be one measure of success.

Percent of Job (0 - 100):
(0% means not applicable to the job)
Score (1 - 5):
(1 = unsatisfactory, 2 = marginal, 3 = satisfactory
4 = more than satisfactory, 5 = exceptional)

2. Prepare and present data (data are not limited to research data, but can

be any form of information). This may include, but is not limited to, any of the following:

Independently prepare and present reports, papers, and presentations; Collaborate on reports, papers, and presentations with others. Oversee preparation and presentation of reports, papers, and study findings. Present data in a clear and concise manner. Choose appropriate tools to present data.

Percent of Job (0 - 100):

(0% means not applicable to the job)

Score (1 - 5):

(1 = unsatisfactory, 2 = marginal, 3 = satisfactory
4 = more than satisfactory, 5 = exceptional)

3. Develop and manage data collection instruments and procedures which meet project needs (data are not limited to research data, but can be any form of information). This may include, but is not limited to, any of the following:

Oversee or participate in the development of data collection instruments and procedures to meet project needs. Oversee or participate in the development and implementation of information management and storage systems which ensure data integrity. Train and supervise (or oversee training and supervision of) data collection and/or data management personnel to ensure data integrity and project requirements.

Percent of Job (0 - 100):

(0% means not applicable to the job)

Score (1 - 5):

(1 = unsatisfactory, 2 = marginal, 3 = satisfactory
4 = more than satisfactory, 5 = exceptional)

4. Contribute in concrete ways to the products and mission of the Unit. This may include, but is not limited to, any of the following:

Assess academic needs of the University community or special groups within the community. Organize and/or conduct workshops and other training or informational programs dealing with a specific area of responsibility. Assist with development of educational materials. Write materials and articles or prepare lectures to address the assessed needs (i.e. outreach). Initiate research grants, special projects and programs in consultation with various constituencies within the University community.

Percent of Job (0 - 100):

(0% means not applicable to the job)

Score (1 - 5):

(1 = unsatisfactory, 2 = marginal, 3 = satisfactory
4 = more than satisfactory, 5 = exceptional)

5. Administrative and supervisory duties. This may include, but is not limited to any of the following:

Oversee day-to-day administrative functions for academic programs or research, and report to a project leader, principal investigator, division head, as appropriate. Oversee implementation of research or project requirements. Clearly communicate goals. Assign tasks. Monitor staff workflow and quality. Provide feedback to staff. Direct or participate in the interviewing or hiring of staff. Recommend staff for hire. Hire staff. Formally evaluate staff performance.

Percent of Job (0 - 100):

(0% means not applicable to the job)

Score (1 - 5):

(1 = unsatisfactory, 2 = marginal, 3 = satisfactory,

4 = more than satisfactory, 5 = exceptional)

DIVISION OF EPIDEMIOLOGY FACULTY & P&A EVALUATION PROCESS

FACULTY

Division faculty are evaluated annually for performance and rewarded on a merit-based system. Particular effort is taken in the development of new faculty in a unit that heavily emphasizes collaborative efforts in research and quality teaching.

Division faculty are evaluated annually as part of merit review to set salary increases. This is described below. It includes:

1. A faculty self-evaluation form filled out by the faculty member and returned prior to the evaluation. This form describes the major activities of importance in the Division. While it has some parallels to the promotion and tenure documentation, it is much broader and has elements unique to the needs and activities of the Division of Epidemiology. The major areas of emphasis are in scholarly activity, with a focus on peer-reviewed, data-based publications and grant productivity. Training activities are also emphasized, with a focus on formal classroom teaching and advising. Administration, particularly administration of research staff, is evaluated. Finally, service activities and accomplishments in the profession are described.

Faculty are asked to compare their performance to the previous year's agreed-upon goals and to set goals for the coming year.

2. The Division Head reviews the forms and arranges a one-hour meeting to discuss the past year's activities with the faculty member. An evaluation of accomplishments is discussed at that time, as are areas which need improvement. In that context, goals are set for the coming year.
3. The Division Head then writes a formal report summarizing the past year's activities, evaluating the progress that has been made. In addition, the next year's goals and expectations are clearly stated. This document is reviewed by the evaluatee, who has the opportunity to offer changes or disagree in writing. While corrections of factual matter are common, written disagreements are rare. This document, signed by both parties, enters the faculty member's file.
4. After all faculty members are evaluated, they are ranked in terms of overall progress. This ranking focuses on publications, particularly peer-reviewed publications, grant activity and success, teaching and advising, administration, service to the professional community, and service to the Division. The individual faculty member's academic rank and length of service are taken into account when making comparisons. While the expectation is that all faculty members will be productive contributors in all areas of evaluation, expectations are greater for senior members than for junior faculty.

FACULTY EVALUATION PROCESS, cont'd.

5. The Division Head then discusses the faculty evaluations with the Faculty Advisory Committee, presenting his evaluations and asking if their impressions agree with his. Faculty evaluations can be changed in that setting.

While recognizing that much of the evaluation process is subjective, serious attempts have been made to make this process fair and equitable. As might be expected in a highly productive unit, expectations are high, as are accomplishments. The current Division Head has presented to the faculty the norms of productivity among their colleagues by rank. This is helpful in establishing the general standards.

P&A EVALUATION PROCESS

A similar approach to evaluation is taken for professional and administrative academic staff. This category contains people with professional skills but for whom a comprehensive set of academic expectations is not present. Nonetheless, they are evaluated in the same group as faculty and have faculty benefits and salary increases. A member of the Faculty Advisory Committee performs these evaluations. This is done based the individual's job description, which defines his or her duties.

DIVISION OF EPIDEMIOLOGY FACULTY EVALUATION CRITERIA

The important accomplishments for annual evaluation of Division faculty are described by the Faculty Self-Evaluation Outline. The enclosed document clarifies the criteria that are described in this annual evaluation.

Annual performance criteria resemble, in some aspects, those found in the promotion and tenure code. However, there are also many differences, given the unique characteristics of an academic Public Health career, goals of the Division of Epidemiology and the need to evaluate performance of previously tenured faculty.

1. Scholarly Activity

- a. **Publications:** The main standard for Public Health and Epidemiology are data-based and conceptual works published in peer-reviewed journals. These are the most important demonstration of scholarly accomplishment. First author publications, which indicate that the research was performed and/or directed by the author, are a leading indicator of that accomplishment. In addition, articles where the first author is a student of the faculty member with that faculty member playing a central role in the design, funding and implementation of the research are viewed in a similar way to first authored publications.

Multi-author peer-reviewed publications are common in the Health Sciences. It is important to clearly define the role of an individual faculty member in these multi-author publications as that description helps determine the extent of involvement.

Other forms of published scholarly activity, such as books, book chapters, non peer-reviewed articles, invited articles, book reviews, letters, editorials, abstracts, and presentations are also part of a comprehensive academic career. While they do not substitute for and are not considered at the same level of peer-reviewed research based journal articles, they are also important evidence of scholarly accomplishment.

- b. **Grant Activity:** The Division of Epidemiology is principally supported by external grant funding from national agencies. Faculty members demonstrate their scholarly accomplishment by submission of grants to these agencies of which the National Institutes of Health and other federal agencies are the leading resources. While grant submission in itself is an indicator of scholarly activity, approval and funding of grants is important to the survival of the Division and a clear indicator of the recognition of the work and ideas of the faculty member by peers in his or her field. An essential element of a successful scholarly career in the Division rests on obtaining consistent peer-reviewed national funding for research ideas. While the role of Principal Investigator is the clearest indication of this accomplishment, it is also recognized that there are many other significant scholarly roles particularly in large grants.

- c. **Submitted Manuscripts:** While submitted manuscripts and those “in press” are recognized as indicators of future productivity and progress, they are not credited until the year in which they are actually published. This eliminates duplicate and triplicate recognition for works in journals with long publication times.
- d. Although difficult to quantify, articles in high quality very competitive journals (i.e. NEJM) are recognized as important indicators of academic accomplishment.

2. Teaching/Training

- a. **Classroom Teaching:** Teaching is a central element in the mission of the Division and the School. Within this category, lecture courses, especially for required Divisional courses, are particularly important. In addition, new and innovative courses are recognized. Seminar and smaller specialty courses, while also important, do not receive the same credit.

It is expected that all full-time faculty will perform classroom teaching irrespective of funding sources and rank. Our students have the right to see all faculty as part of the classroom teaching program. As a corollary, teaching refers to that performed in the Division for our students.

While there currently is no perfect evaluation of the quality of classroom teaching by faculty, evaluations by students are available and used as an indicator of the quality of an individual faculty member's teaching.

- b. **Advising:** It is expected that all faculty members will have a reasonable advising load appropriate to their experience and seniority. In addition, the graduation rate of an individual faculty member's PhD and MPH project thesis advisees is particularly important as an indicator of performance. Involvement of students in published research work is another important indicator. MPH thesis advising will be judged to be 4x the equivalent of MPH academic advising.
- c. **Other Teaching:** Teaching in other courses (i.e. invited lectures) is an important indicator of one's teaching abilities and performance as viewed by colleagues.

3. Administration and Service

a. As all faculty participate in and supervise research projects and staff, the quality of this supervision is particularly important. This results when the faculty member creates an environment where staff both clearly understand their responsibilities and are given the appropriate support to do their jobs well, and when faculty supervise staff in a way that contributes to the overall coherence and functioning of the Division. This is supported by lack of complaints either from your staff or about your staff; also, evidence that the work of the unit is progressing appropriately.

b. Service

1. University Committees: It is expected that all faculty members will serve on Division, School and University committees where requested. This is part of normal academic duties. Performance on Division committees and leadership roles on committees are recognized as an important service to the Division.
2. Consultantships: Consultation is part of Public Health in an academic career. It is a recognition of one's status and stature in the field. Particularly recognized are consultations with voluntary and professional health organizations including other universities.
3. Professional Service: Professional service to peer organizations, government agencies, study sections, professional journals and others are also important. They are also recognition of one's stature in the field, and important to the visibility of the Division among our colleagues and funding organizations. Of particular importance are appointments to NIH review panels and advisory boards.
4. Other Issues: There are factors difficult to quantify (i.e. citizenship), included in faculty evaluations. The Division has many tasks and responsibilities that are not readily identified in the above categories. For example, chairing of internal review committees, support for junior faculty, or development of service center activities. These are considered in the annual evaluation.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

*Division of Epidemiology
School of Public Health*

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March 12, 1998

TO: Epidemiology Faculty
FROM: Russell V. Luepker, MD
SUBJECT: Faculty Evaluations for Academic Period 1998-99

It's "that time again" for faculty evaluations. I will conduct all faculty evaluations again this year, in the same format, including a specific performance agreement. Evaluation meetings will begin in early April. The time period under consideration is since your evaluation in Spring 1998 until the present time, or since your appointment, whichever is more recent.

We are requesting that the publications section include abstracts and presentations as separate sections. We will solicit comments on your supervisory performance from the P&A staff that you supervise.

To help me prepare for this evaluation, please send Kathy Ramel the following information one week prior to the scheduled meeting (to be scheduled by my secretary):

1. Completed Faculty Self-Evaluation Outline (attached)
2. Up-to-date CV
3. Copies of title pages & abstracts of grants submitted as P.I. or Co-P.I. during this period

Thanks.

Attach.

**DIVISION OF EPIDEMIOLOGY
FACULTY SELF-EVALUATION OUTLINE**

Please write a summary narrative following this outline and return to Kathy Ramel.

1. **Documentation of Scholarly Activity** since last annual evaluation or appointment to rank, whichever is more recent
 - a. **Publications** (include only articles published or accepted and in press) listed in chronological order, organized into five sections, as described below. For each co-authored, peer-reviewed publication, include a brief statement describing your role (conceptualization, grant writing, implementation, analysis, manuscript writing, advising student research):
 - 1) all peer-reviewed senior & co-authored articles (list authorship as it appears on the publication). Include only those published or in press.
 - 2) books & book chapters
 - 3) non-peer-reviewed articles
 - 4) abstracts
 - 5) presentations
 - b. **Grant activity** listed in chronological order, organized into four sections as described below. For each section, include title, funding agency & amount, one-sentence summary of project, period of funding, and your role (PI or Co-PI or other responsibility). A sample is attached.
 - 1) currently funded grants
 - 2) submitted & reviewed grants & their status
 - 3) grants in review
 - 4) grants planned for the coming year
 - c. **Manuscripts submitted** to peer-reviewed journals (list authors & titles)
 - d. **Professional honors/awards/recognitions**
2. **Documentation of Teaching & Training** since last annual review or appointment to rank, whichever is more recent
 - a. **Classroom Teaching**
 - 1) List each course taught (see attached sample) & provide details for each, including:
 - a) title
 - b) quarter/year in which course was taught
 - c) number of students
 - d) extent of responsibility (sole instructor, co-instructor, lecturer); if co-instructor or lecturer, stipulate percent effort & number of lectures.

- 2) Attach copies of entire Student Evaluation Forms for each course taught
- 3) Attach course outline for each course taught
- 4) Planned classroom teaching for the coming year, including
 - a) course number
 - b) title
 - c) expected number of students
 - d) your role, as in 1)d) above

b. Advising

- 1) List of formal advisees organized in chronological order in 3 sections-- currently active, completed in past year, and former-- (see attached sample) & provide details for each, including:
 - a) student name
 - b) degree sought
 - c) major
 - d) advisor's role
 - e) anticipated date of degree completion

Examples of possible degrees and advisors' roles:

MPH: Academic advisor
Master's project advisor
Examination committee member

MS: Academic advisor
Masters Project or Thesis advisor
Examination committee member

PhD: Academic advisor
Dissertation advisor
Dissertation reader
Examination committee member

c. Other teaching/advising contributions

- 1) coordination of graduate seminars
- 2) invited lecturing in courses taught by others
- 3) post-doctoral advising & training

d. Teaching honors/awards/recognitions

3. **Documentation of administrative/service duties** since last annual evaluation or appointment to rank, whichever is more recent
 - a. **Describe number and type of research staff supervised by you.**
 - b. **Describe number and type of training staff supervised by you.**
 - c. **Service**
 - 1) List committees on which you have served
 - a) Division of Epidemiology
 - b) School of Public Health
 - c) University of Minnesota
 - 2) List consultantships
 - a) paid
 - b) unpaid
 - 3) Professional service, including roles in peer organizations, advisory board roles, government organizations, study sections, site visits, editorial board membership, journal article reviews.
 - 4) Other professional community service, including presentations to community groups, activities in committee work, other things done for non-professional outside organizations
 - 5) Service honors/awards/recognitions
4. Briefly describe your **past year's goals versus accomplishments.**
5. Briefly describe your **goals for the next year.**

**DIVISION OF EPIDEMIOLOGY
FACULTY PRODUCTIVITY
Academic Years 1990-1998**

		Asst. Prof.			Assoc. Prof.			Full Prof.			Instructors		
		Median	Mean	Range	Median	Mean	Range	Median	Mean	Range	Median	Mean	Range
Published peer-rev. articles (not in press)	90-91:	2	2.6	0-9	5	5.1	0-11	6	7.4	5-13			
	91-92:	2	2.3	0-9	9	7.4	1-12	6	7.4	4-13			
	92-93:	2	2.8	0-11	5	6.0	2-23	6	7.8	2-20	0	0	0-0
	93-94:	3.5	4.6	1-17	3	3.4	0-8	6	10	0-31	Too small to calculate		
	94-95:	3.5	3.6	0-8	4	5.0	3-11	10	10.6	0-27	Too small to calculate		
	95-96:	3	2.8	0-6	6	7.4	2-13	9	10	3-25	Too small to calculate		
	96-97:	4	5.3	1-13	8	7.5	2-16	10	12.7	3-41	Too small to calculate		
	97-98:	6	6.3	1-19	4	7.0	0-27	10	11.1	3-38	Too small to calculate		
Published articles, 1st author	90-91:	1	0.7	0-3	2	1.8	0-4	1	1.6	1-3			
	91-92:	0	0.7	0-4	1	1.7	0-7	1	2.0	1-5			
	92-93:	1	0.9	0-3	1	1.4	0-5	3	2.1	0-4	0	0	0-0
	93-94:	1	1	1-2	1	1.3	0-3	1.5	2.0	0-6	Too small to calculate		
	94-95:	1	1.2	0-4	1	1.1	0-4	1.5	1.7	0-4	Too small to calculate		
	95-96:	1	1.3	0-5	1	1.8	0-4	2	2.1	0-8	Too small to calculate		
	96-97:	1.5	2.8	0-9	2	1.6	0-4	1.5	1.8	0-4	Too small to calculate		
	97-98:	1	2.2	0-9	1	1.1	0-4	2	1.8	0-4	Too small to calculate		
Published books/ book chapters	90-91:	0	0.2	0-1	0	1.2	1-6	1	1.0	0-3			
	91-92:	0	0.2	0-1	1	1.0	1-2	1	1.2	0-3			
	92-93:	0	0.5	0-3	1	1.1	0-4	1	0.9	0-2	- -	0.5	0-0.5
	93-94:	0	0.2	0-1	1	1.0	0-3	1	1.7	0-4	Too small to calculate		
	94-95:	0	0.3	0-1	1	0.6	0-2	1	1.4	0-7	Too small to calculate		
	95-96:	0	0.1	0-1	0	0.5	0-2	1	0.8	0-2	Too small to calculate		
	96-97:	0	0.1	0-1	1	1.1	0-5	0	0.5	0-3	Too small to calculate		
	97-98:	0	0.1	0-1	0	0.3	0-2	0	0.6	0-3	Too small to calculate		

		Asst. Prof.			Assoc. Prof.			Full Prof.			Instructors		
		Median	Mean	Range	Median	Mean	Range	Median	Mean	Range	Median	Mean	Range
Published non-peer-reviewed articles	90-91:	0	0.2	0-1	0	0.5	0-4	0	0.4	0-2			
	91-92:	0	0.3	0-1	0	0.6	0-2	0	1.0	0-4			
	92-93:	0	0.4	0-2	0	0.3	0-2	0	0.8	0-3	0	0	0-0
	93-94:	0	0.5	0-3	1	1.0	0-4	1	1.8	0-7			Too small to calculate
	94-95:	0	0.8	0-5	0	0.5	0-3	0	0.4	0-2			Too small to calculate
	95-96:	0	0.5	0-5	0	0.4	0-2	1	1.0	0-3			Too small to calculate
	96-97:	0	0.1	0-1	0	0.4	0-3	0.5	0.8	0-4			Too small to calculate
	97-98:	0	0	0	0	0.9	0-7	0	0.4	0-2			Too small to calculate
External grants funded	90-91:	3	3.4	1-8	5	5.0	0-9	6	6.6	6-8			
	91-92:	4	3.5	1-9	6	6.0	3-10	6	6.8	6-9			
	92-93:	4	4.2	0-10	5	5.4	1-10	6	6.2	2-10	- -	0.5	0-0.5
	93-94:	3.5	4.7	1-13	3	4.0	1-9	6	5.6	2-10			Too small to calculate
	94-95:	3.5	3.7	2-7	4	5.1	1-10	5	5.7	3-10			Too small to calculate
	95-96:	4	4.1	0-6	4	5.3	3-10	6	6.4	3-10			Too small to calculate
	96-97:	3.5	4.1	0-11	4	4.5	2-7	6	6.0	3-9			Too small to calculate
	97-98:	4	3.4	1-6	4	4.5	2-7	7.5	7.2	3-11			Too small to calculate
New external grants submitted	90-91:	3	2.6	1-6	2	2.3	0-5	2	1.8	1-3			
	91-92:	3	2.9	0-8	4	3.6	1-6	1	2.2	0-6			
	92-93:	3	3.2	0-7	1	2.2	1-5	2	2.7	0-7	- -	0.5	0-0.5
	93-94:	3.5	4.0	1-9	3	2.6	0-7	4.5	4.5	1-8			Too small to calculate
	94-95:	4	4.3	0-13	4	3.5	1-6	3	4.1	1-10			Too small to calculate
	95-96:	2	3.4	0-11	2	2.1	0-7	4	3.5	1-8			Too small to calculate
	96-97:	2	2.7	0-8	2	2.0	0-4	4	3.8	1-8			Too small to calculate
	97-98:	2.5	3.5	2-8	3	3.5	1-11	3	3.0	1-7			Too small to calculate
# courses	90-91:	2	2.0	0.4-4	2	2.0	0.3-4	1	1.5	0-3			
	91-92:	1.5	1.3	0-2.5	2	2.1	1-4	1.5	1.5	0-2			
	92-93:	1.7	1.6	0-4	2	1.7	1-2.5	2	1.9	0-3	- -	8.75	0-8.75
	93-94:	1.0	1.3	0-4	2	2.1	1-4	1.5	1.5	0-3			Too small to calculate
	94-95:	1	1.1	0-3	2	2.0	1-4	2.5	2.5	1-4.5			Too small to calculate
	95-96:	1	0.9	0-3	2	2.3	1.5-4	1.5	1.5	1-4			Too small to calculate
	96-97:	0.9	1.1	0-4	2	1.6	0-3	1.7	1.6	1-2			Too small to calculate
	97-98:	1.5	1.4	0-2.5	2	1.9	0.66-3.5	1.5	1.4	0-3			Too small to calculate

		Asst. Prof.			Assoc. Prof.			Full Prof.			Instructors			
		Median	Mean	Range	Median	Mean	Range	Median	Mean	Range	Median	Mean	Range	
# cr hrs	90-91:	8	7.8	0-15	8	7.6	3-12	4	4.6	0-11				
	91-92:	4	6.4	0-15	7	7.3	4-13	5	5.2	0-10				
	92-93:	6	5.6	0-12	6	6.6	4-12	5	4.8	0-7	- -	20	0-20	
	93-94:	3	3.6	0-8	7	6.8	3-12	4	3.7	0-8			Too small to calculate	
	94-95:	2	3.0	0-7	6	6.0	3-8	5.5	6.6	4-10			Too small to calculate	
	95-96:	3	3.4	0-6	6	7.0	6-11	4	4.7	2-10			Too small to calculate	
	96-97:	4.5	3.2	0-8	5.5	4.6	0-8	4	4.4	3-7			Too small to calculate	
	97-98:	4	4.2	0-8	6	5.8	2-12	4	3.7	0-7			Too small to calculate	
Ave. # students/ class	90-91:	49	72.4	12-77	41	37.3	8-67	19	17	7-30				
	91-92:	13	15.6	3-30	11	15.2	6-28	10	8.6	6-16				
	92-93:	14	14.9	0-29	16	17	7-30	11	10.4	0-23	- -	60	0-60	
	93-94:	15	19.6	0-64	12	14.2	6-24	10	11.4	0-27			Too small to calculate	
	94-95:	17	22.8	8-67	19	17.6	10-47	14	15	5-32			Too small to calculate	
	95-96:	19	28.3	0-88	17	16.6	5-37	12	15	7-31			Too small to calculate	
	96-97:	17	23.7	0-80	18	23.1	11-52	15	13.8	6-22			Too small to calculate	
	97-98:	23	23.5	0-80	18	18.5	4-23	17	16.6	0-35			Too small to calculate	
Rating: instr organization	90-91:	4.0	4.1	3.3-4.7	3.8	4.0	3.3-4.8	4.2	4.1	3.7-4.4				
	91-92:	*	*		*	*	*	*	*	*			*	
	Ques. 2:	1.75	1.76	1.28-2.5	1.50	1.53	1.0-2.31	2.11	2.18	1.8-3.0	- -	1.47	0-1.47	
	Ques. 2 (knowledge)	93-94:	5.9	5.8	3.4-6.6***	6.5	6.5	5.8-6.9	6.25	6.1	4.8-6.6			Too small to calculate
	94-95:	6.2	6.1	5.1-6.8	6.4	6.4	5.5-6.4	6.35	6.3	5.9-6.7			Too small to calculate	
	95-96:	6.1	6.0	5.2-6.8	6.45	6.5	6.1-6.8	6.45	6.4	6.0-6.8			Too small to calculate	
	96-97:	5.8	5.9	5.4-6.5	6.35	6.5	6.1-6.8	6.7	6.4	4.1-6.8			Too small to calculate	
	97-98:	6.4	6.2	5.8-6.5	6.6	6.3	5.6-6.8	6.8	6.7	6.2-6.9			Too small to calculate	
Rating: instr overall	90-91:	4.1	4.1	3.8-4.4	3.8	3.8	3.4-4.4	4.1	4.0	3.8-4.1				
	91-92:	*	*	*	*	*	*	*	*	*				
	Ques. 4:	1.89	1.92	1.40-2.61	1.46	1.50	1.17-2.85	1.89	1.91	1.60-2.22	- -	1.55	0-1.55	
	Ques. 1 (teaching)	93-94:	5.0	4.9	2.6-6.2***	6.2	6.2	4.9-6.8	5.6	5.4	4.1-6.0			Too small to calculate
	94-95:	5.0	5.5	4.5-6.8	6.0	5.8	4.1-6.9	5.75	5.7	4.9-6.5			Too small to calculate	
	95-96:	5.5	5.1	4.0-6.6	5.9	6.0	5.8-6.4	5.6	5.6	4.4-6.4			Too small to calculate	
	96-97:	4.9	5.1	4.5-6.0	6.0	6.0	5.6-6.6	6.0	5.8	3.4-6.7			Too small to calculate	
	97-98:	5.6	5.4	4.2-6.3	5.9	5.8	4.7-6.4	6.1	6.1	5.3-6.9			Too small to calculate	

		Asst. Prof.			Assoc. Prof.			Full Prof.			Instructors		
		Median	Mean	Range	Median	Mean	Range	Median	Mean	Range	Median	Mean	Range
Rating: clarity	90-91:	4.0	4.1	3.8-4.4	3.7	3.8	3.4-4.3	4.0	4.0	3.8-4.1			
	91-92:	*	*	*	*	*	*	*	*	*			
Ques. 1:	92-93:	1.71	1.76	1.36-2.48	1.54	1.62	1.15-2.54	1.90	1.91	1.57-2.2	--	1.47	0-1.47
Ques. 5 (learned)	93-94:	5.2	4.8	2.4-5.9***	5.4	5.6	4.4-6.8	5.0	5.0	3.7-6.5			Too small to calculate
	94-95:	5.0	5.0	4.1-6.0	5.9	5.7	3.8-6.6	5.4	5.4	4.9-6.4			Too small to calculate
	95-96:	5.2	5.2	4.3-6.0	5.65	5.6	5.3-6.1	5.3	5.4	4.9-6.2			Too small to calculate
	96-97:	4.6	4.9	4.2-6.1	5.8	5.5	4.3-6.0	5.7	5.5	3.4-6.3			Too small to calculate
	97-98:	5.5	5.4	4.9-6.1	5.6	5.4	4.3-6.3	5.5	5.8	4.8-6.7			Too small to calculate
Master's advisees	90-91:	6	5.7	2-13	6	6.9	2-20	4	4.6	2-7			
	91-92:	6	6.3	0-21	7	6.1	1-16	3	3.8	2-9			
	92-93:	4	6.1	0-21	9	8.9	2-18	5	5.6	1-12	--	11	0-11
	93-94:	8.0	7.6	0-12	11	9.4	3-15	5	7.1	1-28			Too small to calculate
	94-95:	6	5.5	1-12	6	7.6	2-19	5.5	7.7	3-26			Too small to calculate
	95-96:	5	4.5	0-11	6.5	6.9	1-11	6	5.8	1-10			Too small to calculate
	96-97:	5	5.5	0-15	6	7.1	1-19	6.5	7.3	1-25			Too small to calculate
	97-98:	9	8.4	0-17	10	8.4	1-23	8	9.0	1-19			Too small to calculate
PhD advisees	90-91:	1	2.1	0-6	4	3.5	0-9	7	6.0	2-9			
	91-92:	2	2.6	0-8	2	2.7	0-7	6	6.2	3-9			
	92-93:	1	2.12	0-8	4	3.6	0-7	5	5.4	0-8	0	0	0-0
	93-94:	1	2.0	0-9	3	2.7	0-5	6	4.8	0-8			Too small to calculate
	94-95:	1	1.1	0-2	2	2.5	0-6	2.5	2.8	0-8			Too small to calculate
	95-96:	1	1.5	0-3	3	2.4	0-5	3	3.1	1-6			Too small to calculate
	96-97:	0.5	0.8	0-3	3	2.5	1-9	3.5	3.2	0-6			Too small to calculate
	97-98:	1.5	1.6	0-4	3	2.9	0-6	2	2.6	0-5			Too small to calculate
Master's grads	90-91:	1	1.7	0-4	2	2.5	0-7	2	2.0	1-3			
	91-92:	1	1.5	0-6	2	2.1	0-6	1	0.6	0-1			
	92-93:	1.0	1.8	0-5	4	4.2	1-8	1	1.3	0-5	--	3	0-3
	93-94:	1	1.8	0-5	4	3.8	1-5	1	1.3	0-3			Too small to calculate
	94-95:	1	1.2	0-2	2	3.0	1-8	2	2.7	0-8			Too small to calculate
	95-96:	2	1.8	0-5	3.5	3.7	0-7	2	2.9	1-13			Too small to calculate
	96-97:	1.5	1.3	0-3	2.5	1.9	0-4	1	1.7	0-5			Too small to calculate
	97-98:	4	3.6	0-9	3	3.1	1-7	3	2.6	0-5			Too small to calculate

		Asst. Prof.			Assoc. Prof.			Full Prof.			Instructors		
		Median	Mean	Range	Median	Mean	Range	Median	Mean	Range	Median	Mean	Range
PhD grads	90-91:	0	0.2	0-1	0	0.4	0-1	0	0	0			
	91-92:	0	0.1	0-1	0	0.3	0-1	0	0.4	0-1			
	92-93:	0	0.3	0-2	1	0.7	0-2	1	1.2	0-3	0	0	0-0
	93-94:	0	0.3	0-2	0	0.4	0-1	1	1.6	0-3			Too small to calculate
	94-95:	0	0.5	0-2	2	1.4	0-3	2	2.0	0-5			Too small to calculate
	95-96:	0	0.3	0-1	1	1.0	0-3	1	1.4	0-3			Too small to calculate
	96-97:	0	0.3	0-2	1	0.7	0-3	1	0.8	0-2			Too small to calculate
	97-98:	0	0.3	0-1	0	0.4	0-2	0	0.6	0-2			Too small to calculate

*Change of systems

Footnotes: 1. Does not include Public Health Nutrition faculty (1990-92).

2. N=	<u>Instructors</u>	<u>Assist. Prof.</u>	<u>Assoc. Prof.</u>	<u>Full Prof.</u>
1990-91		14	10	5
1991-92		15	7	5
1992-93	2	17	9	9
1993-94	2	12	9	10
1994-95	2	12	11	10
1995-96	2	13	10	11
1996-97	2	12	11	12
1997-98	2	11	11	12

**DIVISION OF EPIDEMIOLOGY
P&A ACADEMIC STAFF
CRITERIA AND CATEGORIES FOR PERFORMANCE EVALUATION**

EVALUATION CRITERIA

Three general factors are taken into account in rating each employee. The first factor is the successful accomplishment of job responsibilities. The second factor is the assessed level of performance of the stated job responsibilities. The third factor is an assessment of the initiative of the employee in broadening the job beyond what was expected, undertaking new responsibilities or those considerably beyond the ordinary level, coping with significant challenges, or devising better ways to do the job. Based on these three factors, employees will receive a ranking into one of five categories, as described below. Some categories, e.g. "Extraordinary" and "Below Expectations," may not be assigned each year. For categories of "Excellent" and higher to be assigned, individuals must have met all the requirements of the previous lower categories of satisfactory performance in addition to those attending the category assigned. Because of the high level of overall performance for P&A staff in the Division, our experience shows that these categories are sufficient for almost all employees.

Extraordinary

This category is reserved for special situations that merit the highest recognition. The individual demonstrated extraordinary initiative, skill or creativity far beyond that required for the position. The extraordinary work may have been beyond the responsibilities normally required of the job. The opportunity for extraordinary work may have been occasioned by an unanticipated event or obstacle that was overcome in an extraordinarily successful manner. The work may have achieved contributions that are long-lasting or that have important implications extending beyond the specific project.

Outstanding

The individual demonstrated outstanding initiative, skill and creativity in solving problems and addressing situations associated with job responsibilities. All job responsibilities were accomplished at an outstandingly high level of performance. An increase in workload may have been dealt with especially effectively. A particularly difficult phase of a study or project may have been accomplished very successfully. An important and difficult problem may have been resolved in an especially effective manner.

Excellent

The individual demonstrated excellent initiative, skill and creativity in performing the assigned responsibilities. All or almost all job responsibilities were accomplished at a high level of performance that exceeds expectations. The individual is a dependable, hard-working, and responsible employee who makes valuable contributions. Relationships with co-workers are appropriate and productive. Work is of high quality and accomplished in a timely manner.

Good

The individual demonstrated good initiative, skill and creativity in performing the assigned responsibilities. Many of the job responsibilities were accomplished at an acceptably high level of performance. Some responsibilities, however, may not have been accomplished, or not at a very high level of performance. Improvement in specific areas of performance is indicated.

Below Expectations

The individual did not meet expectations in performance of important job responsibilities. Some critical responsibilities may not have been accomplished. The general level of performance of responsibilities that were accomplished may not have been satisfactory. Continuation in the job may require achievement of specific objectives.

EVIDENCE USED

Evidence used in making the determinations primarily includes the employee's materials prepared for the evaluation; material supplied in the form of letters (for those in the professional categories) or responses to the evaluation performance surveys (for those in the administrative categories); and the content of the evaluation meeting, including the supervisor's assessment and the employee's description of activities and performance.

- SAMPLE -

March 6, 1999

TO: [REDACTED]

FROM: Russell V. Luepker, MD

SUBJECT: 1998-99 Performance Evaluations

It's time for the annual evaluation process. For those of you who have not been through this before, it is particularly important as it plays a role in my setting of salary increases. Because P&A staff and faculty are on a merit system, different increases are given to people based on their past year's performance.

Dr. [REDACTED] will conduct evaluation meetings beginning about the first week of April, to be scheduled by his secretary. The meeting will include you, your direct faculty supervisor, and Dr. [REDACTED] as the evaluator. Your faculty supervisor will prepare a written draft of an evaluation summary, to be discussed with you prior to the evaluation meeting. [REDACTED] will edit the evaluation summary and write the concluding paragraph for this evaluation after the evaluation meeting.

You will need to submit the following, incorporated into the attached self-evaluation outline, to Kathy Ramel **at least one week prior to your evaluation date:**

1. An outline of a job description which describes the workscope and expectations of your current position. What tasks are you expected to do? What supervisory, creative, organizational, and functional responsibilities do you have? This should come from your original job description and subsequent modifications to reflect current responsibilities.
2. Statement of Goals--For those of you who were evaluated last year, these should have been included in previous documentation. For those of you more recently hired, it should be a direct derivation of the workscope described above, along with performance expectations.
3. Goals for the Coming Year--You will want to sit down with your supervisor in preparing this documentation.

In accordance with University policy, others with whom you interact will be invited to comment on your performance by letter and by anonymous survey. **As soon as possible, please provide Kathy Ramel with:**

- a list of people whom you supervise who will be invited to complete a survey, and
- a list of other faculty with whom you interact who are in a position to offer evaluation comments. Your faculty supervisor will also provide us with a list of individuals to solicit for letters commenting on your performance.

[REDACTED]
March 6, 1999
Page 2

If manuscript development is part of your job expectations agreed upon with your supervisor, this is encouraged. However, if it is not, such considerations will not enter into your evaluation.

Please let me know if you have any questions regarding this process.

cc: [REDACTED]

Attach.

**DIVISION OF EPIDEMIOLOGY
SELF-EVALUATION OUTLINE FOR PROFESSIONAL AND ADMINISTRATIVE
ACADEMIC STAFF**

Please write a summary narrative following this outline for the time period since your last annual evaluation or appointment to rank, whichever is most recent.

1. Briefly describe job duties, and accomplishments in each area, including:
 - a. job description
 - b. any changes and/or new responsibilities in job duties since last review
 - c. administrative, management, supervisory, creative, and other responsibilities (including number and type of staff supervised)
 - d. accomplishments based on job description, responsibilities, and goals from last year (a-c above)
2. Service--list any committees served (including Epi, SPH and UM), consultantships, professional service, and community service. *Reminder: Service activities are not a required part of your responsibilities, nor part of merit criteria, but are helpful to document if you have them.*
3. List any honors/awards/recognitions
4. Briefly describe your specific goals for next year.
5. Attach CV or resume.

March 6, 1999

TO: ██████████, Public Health Specialist

FROM: Russell V. Luepker, MD

SUBJECT: 1998-99 Performance Evaluations

It's time for the annual evaluation process. For those of you who have not been through this before, it is particularly important as it plays a role in my setting of salary increases. Because P&A staff and faculty are on a merit system, different increases are given to people based on their past year's performance.

Dr. ██████████ will conduct evaluation meetings beginning about the first week of April, to be scheduled by his secretary. The meeting will include you, your direct faculty supervisor, and Dr. ██████████ as the evaluator. Your faculty supervisor will prepare a written draft of an evaluation summary, to be discussed with you prior to the evaluation meeting. Ron Prineas will edit the evaluation summary and write the concluding paragraph for this evaluation after the evaluation meeting.

You will need to submit the following, incorporated into the attached self-evaluation outline, to **Kathy Ramel** at least one week prior to your evaluation date:

1. An outline of a job description which describes the workscope and expectations of your current position. What tasks are you expected to do? What supervisory, creative, organizational, and functional responsibilities do you have? This should come from your original job description and subsequent modifications to reflect current responsibilities.
2. Statement of Goals--For those of you who were evaluated last year, these should have been included in previous documentation. For those of you more recently hired, it should be a direct derivation of the workscope described above, along with performance expectations.
3. Goals for the Coming Year--You will want to sit down with your supervisor in preparing this documentation.

In accordance with University policy, others with whom you interact will be invited to comment on your performance. **Please provide Kathy Ramel a list of other faculty with whom you interact and a list of people whom you supervise.** We may make modifications to your list. Your faculty supervisor will also provide us with a list of individuals to solicit for letters commenting on your performance.

If manuscript development is part of your job expectations agreed upon with your supervisor, this is encouraged. However, if it is not, such considerations will not enter into your evaluation.

Please let me know if you have any questions regarding this process.

cc: ██████████

Attach.

- S A M P L E -

March 6, 1999

TO: Research Associates & Research Fellows - [REDACTED]

FROM: Russell V. Luepker, MD

SUBJECT: 1998-99 Performance Evaluations

It is now time for annual evaluations of P&A positions. This is an important task that not only documents your activities of the past year, but also aids in setting of merit pay increases. This may be new for some of you because of recent employment.

Dr. [REDACTED] will conduct evaluation meetings beginning approximately the first week of April, to be scheduled by his secretary. The meeting will include you, your direct faculty supervisor, and Dr. [REDACTED] as the evaluator. Your faculty supervisor will prepare a written draft of an evaluation summary, to be discussed with you prior to the evaluation meeting. Dr. [REDACTED] will edit the evaluation summary and write the concluding paragraph for this evaluation after the evaluation meeting.

Please submit documentation to Kathy Ramel 2-3 days prior to your evaluation date. Attached is a copy of a self-evaluation outline for your use in preparing documentation. Of particular importance is your job description, as some tasks listed on this form may be inappropriate to your workscope.

In accordance with University policy, others with whom you interact will be invited to comment on your performance. **Please provide Kathy Ramel a list of other faculty with whom you interact and a list of people whom you supervise.** We may make modifications to your list. Your faculty supervisor will also provide us with a list of individuals to solicit for letters commenting on your performance.

Please let me know if you have any questions regarding this process.

cc: David Jacobs

Attach.

**DIVISION OF EPIDEMIOLOGY
SELF-EVALUATION OUTLINE FOR RESEARCH ASSOCIATES & RESEARCH FELLOWS**

Please write a summary narrative following this outline for the time period since your last annual evaluation or appointment to rank, whichever is most recent.

1. Briefly describe job duties and accomplishments in each area, including:
 - a. job description
 - b. any changes and/or new responsibilities in job duties since last review
 - c. administrative, management, supervisory, creative, and other responsibilities (including number and type of staff supervised)
 - d. accomplishments based on job description, responsibilities and goals from last year (a-c above)
 - e. scholarly activity
 - 1) scientific publications in which you were involved, including a brief statement describing your role in each
 - 2) other written materials in which you were involved (i.e. protocols, intervention materials, manuals, etc.)
 - 3) grant applications in which you were involved, including title, funding agency, and a brief statement describing your role.
2. Briefly describe any teaching/training/advising you have done, formal and informal, including seminars, workshops, classroom guest lectures.
3. Service--list any committees served (including Epi, SPH and UM), consultantships, professional service, and community service. *Reminder: Service activities are not a required part of your job responsibilities, nor part of merit criteria, but are helpful to document if you have them.*
4. List any honors/awards/recognitions
5. List professional meetings, workshops, development seminars, etc., that you attended and your role.
6. Briefly describe your goals for next year.
7. Attach CV or resume.

- SAMPLE -

April 12, 1999

TO: [REDACTED], MD

FROM: Russell V. Luepker, MD

SUBJECT: 1998-99 Performance Evaluation of [REDACTED]

In accordance with the Procedures for Performance Review of Academic Professional and Administrative staff in the School of Public Health, we are initiating the 1998-99 annual review for individuals in certain academic positions.

One of the individuals for whom we will be completing an evaluation is Cheryl Barber. You are invited to comment on her performance during the past year by sending your comments in a confidential envelope to **Kathy Ramel** by **Wednesday, April 21, 1999**.

Please note that, according to the State's data practices law, evaluations will be accessible to the person being reviewed.

Thank you.

- SAMPLE -

April 6, 1999

TO: [REDACTED]

FROM: Russell V. Luepker, MD

SUBJECT: Annual Performance Evaluation of [REDACTED]

The Senior Vice President of the University of Minnesota has mandated a requirement for annual performance reviews of persons holding academic administrative positions. Faculty and staff working with the given administrator are to be provided an opportunity to comment on his/her performance. This request is to obtain your input on the performance during the past year of [REDACTED]

To assure appropriate confidentiality of the origin of the comments, feedback to the administrator will be provided in a summary format.

Please complete the attached survey and return to Kathy Ramel by Wednesday, April 14, 1999, in the envelope provided.

Attach.

- Sample -

(Please return to Kathy Ramel by Wednesday, April 14, 1999)

How would you describe the overall performance of Nancy Sherwood during the past year?

_____A (excellent)

_____B

_____C

_____D

_____F (unsatisfactory)

_____Don't know enough about performance to comment

Comments: .

UNIVERSITY OF MINNESOTA

Twin Cities Campus

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MEMORANDUM

To: Edith Leyasmeyer, PhD
Dean, School of Public Health

From: Bryan Dowd, PhD ¹ *BD*
Professor and Interim Division Head

Date: April 23, 1999

Re: Annual Review of Faculty and P&A Staff

APR 23 1999

DEAN'S OFFICE

I'm enclosing the criteria we use to evaluate faculty and P&A staff for merit salary increases. These criteria are reviewed and approved by the relevant constituencies each year. If you have questions or require additional information, please let me know.

Enclosures (2)

Faculty Performance Evaluation Criteria

Division of Health Services Research and Policy School of Public Health University of Minnesota

(revised 4/21/97 to reflect name change from institute to division)

Faculty with primary appointments in the Division of Health Services Research and Policy are expected to perform the following functions and are evaluated annually for merit increases according to the criteria outlined for each of these functions. These criteria are intended to be used prospectively by the division head and individual faculty member in negotiating a plan of activity at the beginning of each academic year and retrospectively in assessing the accomplishments of that year. In general, the evaluation of accomplishments are based on a three year rolling average.

1. Research. Collaborate in and lead efforts to design research projects, acquire funding, and conduct high quality research directly related to the organization and delivery of health services. The general expectation for each faculty member is that s/he will generate at least 50% of her/his salary.
2. Research: Publications. Publish a minimum of two peer-reviewed articles or publish one authored (not edited) book per year.
3. Teaching. Teach one or more School of Public Health (SPH) courses each year equivalent to at least an average of 5 credits per year. Service as the primary Ph.D. thesis advisor can count for 2 credits per student but only for the academic year in which the thesis is completed. Additional courses can be taught under the course numbers of other colleges. Service as DGS can serve as some credit toward the teaching requirement.

Each faculty member is also expected to be the academic advisor for one or more Ph.D. and/or master's students and to serve on thesis committees in one or more of the following capacities: reviewer, internal committee member, or external committee member (of doctoral students in other departments/colleges within the University).

4. Administration/Governance: Division. Participate in educational or division committees as a member or chair, e.g., Curriculum Committee, Admissions Committee, Exam Committees.
5. Administration/Governance: School of Public Health, Academic Health Center, and University. Participate and/or provide leadership in SPH and/or Academic Health Center and/or University Committees and other service activities, e.g., APT, FCC, Policy Council.
6. Service/Outreach: Professional. Contribute to community service which includes serving on editorial boards and study sections, working with community, state, and national agencies or health care organizations, or serving on national committees. Testimony before state and federal legislative bodies constitutes an important aspect of community service.

Satisfactory performance requires active achievements in both research and teaching. However, unusual circumstances and accomplishments are considered in the evaluation of faculty performance.

- Particularly burdensome obligations should be discussed with the division director at a preliminary stage if they are to be incorporated into the evaluation process.
- A basic level of administration/governance in the division and in SPH is expected as part of the normal course of faculty activity.* Additional administration/governance activities in the Academic Health Center and/or University will receive additional recognition.
- Although special accomplishments may be used as mitigating circumstances, a generally satisfactory level of administration/governance activity and of professional service will be expected of all faculty.

The evaluation criteria for research and teaching include the following:

Research. The quality of the research will be evaluated by:

- success in obtaining and/or participating in competitive research grants/contracts; and
- publication of research findings in refereed journals; and
- acceptance and use of the research methods and findings based on recognition by peers and practitioners of the relevance of the research to current health service issues and research; and
- the ability to work with those in the field of practice and translate the research into applied terms for practitioners, to the extent the research allows.

Teaching. Teaching performance will be evaluated by student course evaluations and other feedback from students, advisees, and program directors.

*Junior faculty and individuals with special needs may negotiate exclusion of administrative tasks for a defined period of time.

Division of Health Services Research and Policy
School of Public Health
University of Minnesota

ANNUAL PERFORMANCE REVIEW FORM
ACADEMIC/PROFESSIONAL STAFF

Employee: _____ Position: _____

Supervisor: _____

Performance Period: From ___/___/___ To ___/___/___

INSTRUCTIONS FOR SUPERVISOR: Review the position description and other written expectations or annual objectives that have been previously determined and agreed upon and do the following:

1. Request the employee provide a summary of his or her accomplishments during the past year and the goals for the coming year. This should include identification of any obstacles encountered that limit job performance and plans for personal and professional growth.
2. Review the Academic/Professional employee's job description and revise, if needed.
3. Evaluate the employee's effectiveness in fulfilling the identified responsibilities including consideration of personal growth and development in the job.
4. Meet with the Academic/Professional employee to discuss his or her performance and goals and objectives for the next year and complete this form.
5. Return the completed form to Helen Nelson by _____.

I. Supervisor's written comments regarding performance of employee:

II. Goals/Expectations of performance/Employee development:

III. Academic/Professional employee's comments (optional):

This performance appraisal has been reviewed with the Academic/Professional staff member:

Supervisor's signature: _____ Date: _____

I have read the results of this written performance evaluation and have discussed it with my supervisor.

A/P staff signature: _____ Date: _____

SCHOOL OF PUBLIC HEALTH
Annual and Special Post-Tenure Review

The School of Public Health (SPH) will use the following system for Annual and Special Post-Tenure Review for the academic year 1998-99 and thereafter.

The annual Review with merit raise recommendations will continue to be conducted by the Division Head for the faculty of that Division. The goals, expectations and procedures of those Divisions are already in place, written and voted by the Division faculty as appropriate for the Division. These Divisions' goals, expectations, and procedures have already been approved by the Dean.

The Post-Tenure Review process builds upon Annual Reviews in sustaining and enhancing faculty performance in teaching, research and service. It is also intended to assist those members who are experiencing difficulties in achieving their established expectations. Every five years, each tenured faculty member will submit to the Appointment, Promotion, and Tenure (APT) Committee of the School of Public Health the standard documentation, minus all letters of reference or recommendation used by the APT Committee for appointment, continuation, promotion, and tenure recommendations. The faculty member will submit his/her documentation to the APT Committee at five-year intervals beginning with the first granting of tenure in the SPH. For example, those faculty who first attained tenure in 1993, 1988, 1983... will submit their documentation to the APT Committee for screening for "substantial substandard performance" in the academic year 1998-99. In addition, a Division Head may, after a faculty member's annual review, ask that person to submit his/her documentation to the APT Committee for screening for substantial substandard performance.

Those faculty who fail the APT Committee screening procedure will have their documentation passed on to the Dean, who may then decide to pursue the special review process as described in the University of Minnesota Rules and Procedures for Annual and Special Post-Tenure Review of March 5, 1998.

Approved by SPH Tenured Faculty: September 15, 1998