

**Professional Track Faculty Merit Pay Policy (Senate Document #16-17-13)****TO Wallace D. Loh | President****FROM Daniel Falvey | Chair, University Senate**

I am pleased to forward the accompanying legislation for your consideration and approval. Patricio Korzeniewicz, Chair of the Faculty Affairs Committee, presented the committee's proposal on the Professional Track Faculty Merit Pay Policy (Senate Document #16-17-13), which the University Senate approved at its meeting on September 6, 2017. Please inform the Senate of your decision and any administrative action related to your conclusion.

Approved:

A handwritten signature in black ink, appearing to read "Wallace D. Loh", written over a red horizontal line.

Wallace D. Loh
President

Date:**September 8, 2017**

Copies of this approval and the accompanying legislation will be forwarded to:

Mary Ann Rankin, Senior Vice President and Provost
Reka Montfort, Executive Secretary and Director, University Senate
Michael Poterala, Vice President and General Counsel
Cynthia Hale, Associate Vice President for Finance and Personnel
John Bertot, Associate Provost for Faculty Affairs
Elizabeth Beise, Associate Provost for Academic Planning & Programs
Sylvia B. Andrews, Academic Affairs
KerryAnn O'Meara, Past Chair, Faculty Affairs Committee
Patricio Korzeniewicz, Chair, Faculty Affairs Committee
Mark Arnold, Director of Faculty Initiatives, Office of Faculty Affairs



Professional Track Faculty Merit Pay Policy

PRESENTED BY Patricio Korzeniewicz, Chair

REVIEW DATES SEC – August 29, 2017 | SENATE – September 6, 2017

VOTING METHOD In a single vote

**RELEVANT
POLICY/DOCUMENT**

[VII-4.00\(A\) – University of Maryland, College Park Policy on Faculty Merit Pay Distribution](#)
[UM Guidelines for Appointment, Evaluation, and Promotion of Professional Track Faculty](#)

**NECESSARY
APPROVALS**

Senate, President

ISSUE

In spring 2016, the Senate Leadership and the Office of the Faculty Affairs identified a conflict between the University of Maryland, College Park Policy on Faculty Merit Pay Distribution (VII-4.00[A]) and the UM Guidelines for Appointment, Evaluation, and Promotion of Professional Track Faculty related to merit pay for professional track (PTK) faculty. The UM Guidelines require that each College develop merit pay processes for PTK faculty, but the University policy on merit pay limits eligibility to tenured and tenure-track (T/TT) faculty. In September 2016, the Senate Executive Committee (SEC) voted to charge the Senate Faculty Affairs Committee (FAC) with identifying the best ways to incorporate PTK faculty into the merit system.

RECOMMENDATION(S)

- The Faculty Affairs Committee recommends that the University of Maryland, College Park Policy on Faculty Merit Pay Distribution (VII-4.00[A]) be amended to incorporate PTK faculty into merit pay processes, as shown in the policy document immediately following this report. The Faculty Affairs Committee has also developed the checklist immediately following this report to be used by Colleges and units to ensure unit merit processes meet the revised guidelines in the University's merit pay policy.
- The Faculty Affairs Committee recommends that each unit review the revised policy and either develop a merit pay plan for PTK faculty or revise the unit's existing merit pay plan to incorporate PTK faculty. As noted in the policy, merit pay plans should be submitted to the Senate Faculty Affairs Committee for review by August, 2018.
- In order to allow for the accurate recording and tracking of merit increases, the Faculty Affairs Committee recommends that the University's payroll system be updated to allow units to indicate that a salary increase has been made due to a change in its base-line pay scale for instructional faculty. The committee recommends "Market Adjustment" be added to the list of reasons for salary changes within the payroll system.

COMMITTEE WORK

The FAC began reviewing its charge in September 2016. The FAC consulted with the Office of Faculty Affairs, University Human Resources (UHR), and the Office of General Counsel (OGC) throughout its review. The FAC met with the Council of Deans and received feedback from department chairs. It reviewed the current policy and UM Guidelines, and reached out to specific Colleges and units representing different disciplines and unit sizes to gather information on how units are currently assessing excellence for merit among PTK faculty.

The FAC focused its review on how, where, and in what ways PTK faculty should be included in the merit system, as well as how to reconcile existing policies with each other and with current practices. The FAC concluded that it is important that PTK faculty have a consistent, fair, transparent merit review process that assesses and acknowledges performance and allows flexibility for units and Colleges to align merit processes with local needs.

In its review, the FAC found that many Colleges and units have already developed systems for merit reviews for PTK faculty. Practices for merit reviews vary across campus; units vary on whether one process covers all faculty or whether individual processes have been developed for specific groups of faculty; whether PTK faculty are reviewed by a committee or by those directly familiar with their work; and on the size and composition of committees in the units that use them. The FAC determined that the structure of the process should be left up to the unit, based on existing procedures, the relationship of the faculty within the unit, and the variance in faculty activity. However, the FAC also acknowledged the need for standard principles. In order to create consistency and ensure equity across units and Colleges, the FAC determined that PTK faculty with appointments of 50% FTE and above should be eligible for merit pay, and units should have flexibility to extend merit pay to faculty with appointments of less than 50% if they so choose.

The FAC considered available data on merit pay for PTK faculty and discussed administrative concerns at length. The committee found that technical realities related to how salary increases are entered into the payroll system inadvertently makes it impossible to collect complete and accurate data on how many PTK faculty are currently incorporated into a unit merit pay system. The FAC developed a recommendation to allow better tracking of this information over time. The FAC also considered budgeting strategies that the University is currently exploring to address concerns related to funding for merit pay. The FAC was encouraged to learn of the administration's actions in this area, and suggested that the administration continue exploring solutions to improve funding for merit pay.

ALTERNATIVES

The Senate could choose not to approve the policy. However, there would remain an inconsistency between existing policy documents and guidance.

RISKS

There are no risks to the University.

FINANCIAL IMPLICATIONS

Financial resources will be needed to provide merit pay to PTK faculty.



Professional Track Faculty Merit Pay Policy

2016-2017 Committee Members

KerryAnn O'Meara (Chair)
John Bertot (Ex-Officio Provost's Rep)
Michele Eastman (Ex-Officio President's Rep)
Madlen Simon (Ex-Officio CUSF Rep)
Jewel Washington (Ex-Officio Director of Human Resources Rep)
Leigh Ann DePope (Faculty)
Devin Ellis (Faculty)
Katie King (Faculty)
Patricio Korzeniewicz (Faculty)
Stefanie Kuchinsky (Faculty)
Brooke Liu (Faculty)
James McKinney (Faculty)

Shirley Micallef (Faculty)
Larry Witzleben (Faculty)
Jianhua Zhu (Faculty)
Errica Philpott (Exempt Staff)
Lu Liu (Graduate Student)
Deirdre Quinn (Graduate Student)
Christian Knapp (Undergraduate Student)

Date of Submission

August 2017

BACKGROUND

In spring 2016, the Senate Leadership and the Office of the Faculty Affairs identified a conflict between the University of Maryland, College Park Policy on Faculty Merit Pay Distribution (VII-4.00[A]) and the UM Guidelines for Appointment, Evaluation, and Promotion of Professional Track Faculty related to merit pay for professional track (PTK) faculty. The UM Guidelines require that each College develop merit pay processes for PTK faculty, but the University policy on merit pay limits eligibility to tenured and tenure-track (T/TT) faculty. In September 2016, the Senate Executive Committee (SEC) voted to charge the Senate Faculty Affairs Committee (FAC) with identifying the best ways to incorporate PTK faculty into the merit system.

CURRENT PRACTICE

The University of Maryland, College Park Policy on Faculty Merit Pay Distribution (VII-4.00[A]) establishes procedures for considering faculty achievement and distributing merit based on performance. The policy is limited in eligibility; in the policy, "The term "faculty" is defined as tenured/tenure-track faculty and permanent status/permanent status track library faculty." However, in spring 2015, the University Senate, the President, and the Chancellor of the University System of Maryland (USM) approved the UM Guidelines for Appointment, Evaluation, and Promotion of Professional Track Faculty, which state that "Policies on merit pay for PTK faculty shall be incorporated either into the unit's existing merit pay policy, or into the policies and procedures for appointment, promotion, and evaluation of PTK faculty" (see Senate Document #14-15-09 for more information). The approval of these guidelines created an inconsistency, in that the University expects PTK faculty to be eligible for merit pay, but the University's policy on merit pay expressly excludes PTK faculty. As a result of the conflict, there is no current structure for the implementation of the stipulation in the UM Guidelines regarding merit pay. Despite the lack of a defined structure, many Colleges and units currently include PTK faculty in a merit review process. To ensure that current practices align with University policy, and that PTK faculty are provided a fair and transparent merit review system, the FAC began to study the issues related to PTK merit pay during the 2016-2017 academic year.

COMMITTEE WORK

The Faculty Affairs Committee (FAC) began reviewing its charge immediately upon receiving it in September 2016. The FAC consulted with the Office of Faculty Affairs, University Human Resources (UHR), and the Office of General Counsel (OGC) throughout its review. The FAC met with the Council of Deans twice at the request of the Provost, and received feedback from department chairs. It reviewed the current policy and UM Guidelines, and reached out to specific Colleges and units representing different disciplines and unit sizes to gather information on how units are currently assessing excellence for merit among PTK faculty.

In 2015, the FAC, the Senate, the President, and the Chancellor affirmed the decision to allow PTK faculty to be eligible for merit in their affirmation of the UM Guidelines. Therefore, the FAC focused this review on how, where, and in what ways this inclusion in the merit system should be fostered. The committee considered how merit increases, when funds are available, should be distributed, as well as how to reconcile existing policies with each other and with current practices. As it considered the issue of PTK merit pay, it drew four overall conclusions, each of which is described in detail below as the basis for the committee's recommendations:

- Like with T/TT faculty, it is important that PTK faculty have a consistent, fair, transparent merit review process that assesses and acknowledges performance.
- Most units on campus already provide merit reviews for PTK faculty; some reviews are part of an existing process that includes both PTK and T/TT faculty, and some reviews are done in processes designed specifically for PTK faculty in the unit. Rather than a one size fits all approach, the FAC affirmed the importance of maintaining College and department autonomy in order to align merit process for PTK faculty with local needs.
- To align PTK merit pay processes with other benefits and create some uniformity across campus, the FAC agreed that a minimum eligibility threshold should be set, where PTK faculty with appointments of 50% FTE and greater should be eligible for merit pay, with units having the flexibility to open the process to those with appointments at lower FTEs at their discretion.
- The FAC explored data regarding the number of PTK faculty currently covered by the merit pay system and strategies that could be taken to include more PTK faculty on state lines and improve the system of tracking merit raises.

During its review, the FAC considered the principles and values the Task Force on Non-Tenure Track Faculty suggested the University adopt in all issues relevant to PTK faculty (see Senate Document #12-13-41 for more information). A significant concern repeatedly found by the Task Force was that decisions on merit and other appointment-related issues seemed to be made arbitrarily. The Task Force urged the University to focus on principles of inclusion and engaging and supporting excellence as it moved forward on issues that affect PTK faculty. The FAC recognizes that its work on this charge supports the University's continued development of policies and procedures that adequately meet the needs of PTK faculty, and seeks to improve equity in the University's evaluation, compensation, and recognition processes.

In addition, as it developed revisions to the Policy on Faculty Merit Pay Distribution, the FAC attempted to preserve the existing process for T/TT faculty, while creating a system for PTK faculty that would align with or operate in parallel to the T/TT faculty process.

Flexibility Needed in Merit Review Processes

The FAC received information from eleven Colleges and more than ten additional units that have existing processes for reviewing PTK faculty for merit pay. Examples of best practices in merit pay for PTK faculty identified by the FAC can be found in Appendix 2.

While many units have developed a system for merit reviews for PTK faculty, practices related to those reviews vary widely across campus. In particular, units vary on whether one process covers all faculty or whether individual processes have been developed for specific groups of faculty; whether PTK faculty are reviewed by a committee or by those directly familiar with their work; and on the composition of committees in the units that use them. Many units stressed that their process was developed with specific constraints in mind. In considering current processes and speaking with unit representatives, the FAC determined that in many cases, variation was necessary due to the different cultures and needs of the individual units. The FAC agreed that a one-size-fits-all approach for PTK faculty merit pay processes would not be appropriate. The committee felt the structure of the process should be left up to the unit, based on any existing procedures or practices, the relationship of the faculty within the unit, and the variance in faculty activity.

Consistency in Implementation

While the FAC recognized the need for autonomy, it also acknowledged that there should be some principles that should be followed by all units on campus. The FAC considered the differences in PTK faculty appointments as it considered appropriate mechanisms for merit pay. The FAC was also asked to consider how best to incorporate merit policy information for all full-time and part-time professional track faculty at all percentages of appointments. The FAC felt that some standardization across campus would be needed; if the policy were silent on whether part-time faculty were to be eligible for merit pay, there could be wide variation among units within a College or among Colleges, which could create issues in terms of equity and consistency of implementation. The point was made by several stakeholders that many, if not most, benefits are available to all employees who are above 50% FTE. After much discussion, the FAC agreed that PTK faculty with appointments of 50% FTE and above should be eligible for merit pay, and units should have flexibility to extend merit pay to faculty with appointments of less than 50% if they so choose.

Data Limitations in Tracking Merit Raises for PTK Faculty

In its review, the FAC sought data on how many PTK faculty are currently incorporated into unit merit pay processes, as a way of exploring concerns regarding the financial implications of including PTK faculty in merit pay processes. The FAC worked with UHR and the Office of Faculty Affairs, but found that technical realities related to how salary increases are entered into the payroll system inadvertently makes it impossible to collect complete and accurate data. While any salary increases based on merit would be entered into the payroll system as a merit increase, other types of non-merit based salary increases can also be entered into the payroll system as merit increases, and it is unclear how many salary increases coded as "merit" are actually merit-based. For instance, the payroll system lacks an accurate descriptor for increases due to base-line pay scale adjustments, so these adjustments are often entered into the system as merit increases, though there was no evaluation of the instructors' performance, and all instructors in the unit would receive the same increase. The FAC agreed that this system limitation undermines the ability to monitor and track merit pay across the University, which limits the University's ability to judge whether there is bias in the merit pay distribution system. In March 2017, the committee developed language to recommend that the payroll system be updated to allow units to indicate a salary increase due to a change in its base-line pay scale in order to encourage the use of "merit" codes only for merit-based increases.

UHR and the Office of Faculty Affairs were able to share with the committee data on how many faculty received a salary increase that was coded as a merit increase in the last cycle in which merit was available. The data show that of 493 instructional faculty at or above 50% FTE, 125 received an increase that was coded as a merit increase; of 637 instructional faculty below 50% FTE, 10 received an increase coded as merit. Likewise, of 1938 research faculty, 1048 received an increase coded as merit. It is unclear how many of these faculty received the salary increase following a merit review process.

Administrative Attention to Merit Issues for PTK Faculty

In response to concerns on additional funding needed for merit pay, the FAC consulted with representatives from the Office of Faculty Affairs and the President's Office on budgeting strategies that the University is currently exploring to address these and related concerns. The FAC learned that the administration is revising the budget data it sends to the State of Maryland to appropriately represent PTK faculty salaries. How salaries are represented in the budget data determine whether they are included in the pool from which the total merit allocation to the University is calculated. Most T/TT faculty are on state lines, which means there is a position number associated with their appointment in the state budget. The vast majority of instructional faculty do not have individual position numbers; instead, they are all represented on the same position number. A few years ago, an object code was created for pooled lecturer salaries, and developed into a code that is included in the merit and COLA pool. Object codes can be assigned to PTK faculty appointments so that their salaries can be included in the pool that the merit calculation is based on. The Provost's Office is currently working with units to transition to using the appropriate object code for their instructional faculty. The FAC was encouraged to learn of the administration's actions in this area, and suggested that the administration continue exploring these and other solutions to improve state allocations for merit pay.

After due consideration, the FAC voted to approve its recommendations via an email vote concluding on June 30, 2017.

RECOMMENDATIONS

The Faculty Affairs Committee recommends that the University of Maryland, College Park Policy on Faculty Merit Pay Distribution (VII-4.00[A]) be amended to incorporate PTK faculty into merit pay processes, as shown in the policy document immediately following this report. The Faculty Affairs Committee has also developed the checklist immediately following this report to be used by Colleges and units to ensure unit merit processes meet the revised guidelines in the University's merit pay policy.

The Faculty Affairs Committee recommends that each unit review the revised policy and either develop a merit pay plan for PTK faculty or revise the unit's existing merit pay plan to incorporate PTK faculty. As noted in the policy, merit pay plans should be submitted to the Senate Faculty Affairs Committee for review by August, 2018.

In order to allow for the accurate recording and tracking of merit increases, the Faculty Affairs Committee recommends that the University's payroll system be updated to allow units to indicate that a salary increase has been made due to a change in its base-line pay scale for instructional faculty. The committee recommends "Market Adjustment" be added to the list of reasons for salary changes within the payroll system.

APPENDICES

Appendix 1 — Professional Track Faculty Merit Policy Checklist

Appendix 2 — Best Practices in PTK Faculty Merit Pay

Appendix 3 — Senate Executive Committee Charge on Professional Track Faculty Merit Pay Policy



VII-4.00(A) UNIVERSITY OF MARYLAND POLICY ON FACULTY MERIT PAY DISTRIBUTION

(Approved by the President, April 13, 1992; Amended February 19, 2002
May 4, 2010; Technical Amendments August 17, 2010; Amended March 22,
2016.)

~~This administrative policy addressing faculty merit pay distribution was developed pursuant to the Report of the Merit Pay Task Force endorsed by the Campus Senate on May 22, 1991. The term “faculty” is defined as tenured/tenure-track faculty and permanent status/permanent status-track library faculty.~~

I. Eligibility and Purview

- A. Merit pay processes are the purview of the unit in departmentalized Colleges and the College in non-departmentalized Colleges. Herein, where the term “unit” or “department” is used, it also refers to a non-departmentalized College. Likewise, the term “Chair” refers to a Chair, Director, or Dean of a non-departmentalized School or College, as appropriate.**
- B. Tenured/tenure-track faculty, permanent status/permanent status-track librariansy faculty, and professional track (PTK) faculty are eligible for merit pay and should be integrated into merit pay procedures within each unit. Units may integrate all faculty into one merit pay distribution plan, or may develop separate plans for different groups of faculty. For the purposes of this policy, the term “merit pay distribution plan” or “the plan” shall be inclusive of all plans created by each unit to address merit pay for different groups of faculty.**
- C. Merit pay is, by definition, distinct from cost of living adjustments and promotion increases.**

II. Administration, procedures, and policies at the Provost and Dean level.

- A. In years when the state allocates merit funds, those funds Merit dollars will be transmitted from the Provost to the Deans as a percent of total salary budget. Those merit funds are generally provided on formally budgeted positions as recognized by the state, subject to adjustments in overall funding as determined by the state.** A small percent of the merit increment may be maintained in the Provost's office to reward colleges which are exceptionally productive in the areas of research/scholarship/creative activity, teaching and advising, and service, or to address special problems.

- B. Deans will distribute funds to ~~departments~~ **units** using their discretion. Deans should distribute money to reward ~~departments~~ **units** which are exceptionally productive in the areas of research and scholarship, creative activity, teaching and advising, and service. Deans may retain a small percentage of salary money for special problems.

C. Administrators (e.g., Deans, Chairs, Directors) may augment the distributed state-allocated merit funds by reallocating other funds within their current salary and wage budget.

III. Departments

- A. The Chair has the authority and responsibility to determine merit increases with the approval of the Dean. However, the Chair will be required to follow certain procedures as outlined below.
- B. Each unit shall develop a merit pay distribution plan **or plans**. The plan(s) must include approval by a majority of the ~~tenured/tenure-track~~ faculty of the unit **who are affected by the plan(s)** in a secret ballot. Following approval by the faculty, each unit's merit pay distribution plan **or plans** shall be reviewed for sufficiency and consistency with ~~University merit pay this~~ policy first by the Dean and then by the Senate's Faculty Affairs Committee. ~~The plan should include the following components:~~
- C. Merit pay processes for PTK instructional faculty, tenured/tenure-track faculty, and permanent status/permanent status-track faculty shall be conducted by committee. Units may conduct processes either with separate committees for tenured/tenure-track faculty and PTK faculty, or by constituting one committee for all merit review processes. Each unit shall also develop appropriate procedures for the review of PTK research faculty, which may be conducted by committee or by another mechanism appropriate for the unit with approval of the department chair. For the purposes of this policy, the term "Merit Pay Committee" or "the committee" shall be inclusive of all committees created by each unit to address merit pay for different groups of faculty.**
- ~~1. A Merit Pay Committee.~~ The Merit Pay Committee shall be directly elected by the ~~tenure-track and tenured~~ **affected** faculty and shall ~~contain a distribution of faculty include meaningful representation~~ from the ~~tenure-track and tenured affected faculty~~ ranks. ~~In the case of the Library faculty, the Merit Pay Committee shall be directly elected by the permanent status-track and the permanent status faculty and contain a distribution of faculty from the permanent status track and the permanent status ranks.~~ Insofar as possible, the Merit Pay Committee's composition shall also reflect the gender and racial distribution and the various scholarly interests of the ~~department~~ **unit**. It is recognized that this distribution may not be achievable on a year by year basis in some ~~departments~~ **units**, but over a period of years, a reasonable degree of representativeness should be achieved. Each year the chair shall review the makeup of the Merit Pay

Committee over the previous five years to assure that a reasonable representation has been achieved and if it has not, the chair is to take appropriate action to rectify the situation.

- ~~a~~1. The Merit Pay Committee may act as an advisory committee to evaluate and rank faculty accomplishments with merit dollar distribution left to the Chair's discretion or may actually act with the Chair to distribute merit dollars. (The term *Chair* refers to a Chair, Director, or Dean of a non-departmentalized school or college.)
- ~~b~~2. The Merit Pay Committee shall also be provided data and make recommendations to the department chair regarding salary equity adjustments.
- ~~e~~3. The method of selection of the Merit Pay Committee should be an integral part of the merit pay distribution plan.

~~2~~D. The **merit pay plan for tenured/tenure-track faculty and permanent status/permanent status-track faculty** should include **the following components:**

1. The procedures for evaluation ~~that~~ **should** meet the following criteria:
 - a. The evaluation procedure should evaluate and give significant recognition to contributions to teaching, research/scholarship/creative activity, and service, including advising and extension efforts or professional activities in the case of Library faculty. The method of evaluation in each of these areas should be articulated clearly.
 - b. The evaluation should reflect performance over at least the immediate past three years. For years when merit pay is not available, the achievements of the faculty members will be taken into consideration for that year (or years) during the next year in which merit pay is available.
 - c. Merit pay should generally be distributed in dollar increments rather than as a percentage of salary.
 - d. A stipulated portion of the merit pool may be reserved for the Chair's discretionary use to address special salary problems.
 - e. The Chair shall report to the Merit Pay Committee his or her final salary recommendations.
 - f. Each faculty member shall receive a letter from the chair containing his/her new salary and the salary increase. The letter should identify (at least in general terms) the Merit Pay Committee's evaluation of the faculty member in the areas of teaching, research/scholarship/creative activity, and service and how this was

used to assign the merit increase. The letter shall inform the faculty member that he/she may request a meeting with the chair to receive an explanation of the merit pay decision.

3. The Merit Pay Committee and Chair will each certify that they have followed the unit's Merit Pay Distribution Plan, or will indicate areas where they have deviated with a rationale.
4. Each chair shall evaluate the salary structure of the ~~department~~ **unit** yearly and consult with the appropriate administrators (Dean or the Provost) to address salary compression or salary inequities that have developed in the unit.
5. **Each chair shall provide the unit with information on available sources of funds for merit increases during the merit review process each year.**
6. The Plan should include an appeals process.

E. All merit pay distribution plans that detail processes for PTK faculty should include the following components:

1. **Merit pay processes for PTK faculty shall include the components specified for tenured/tenure-track faculty, as stated in D.1. through D.6. above, with the exception of D.1.a. To the degree possible, unit merit pay processes for PTK faculty should operate in the same manner as the process for tenured/tenure-track faculty in the unit.**
2. **Special provisions related to PTK faculty are as follows:**
 - a. **The evaluation procedure should evaluate and give significant recognition to contributions to teaching, research/scholarship/creative activity, or service, including advising and extension efforts professional activities, in the context of the faculty member's contractual expectations. The method of evaluation in each of these areas should be articulated clearly.**
 - b. **The evaluation should reflect performance over at least the immediate past three years. PTK faculty who are currently employed and have been employed for any period of time during the immediate past three years are eligible to be considered for merit. PTK faculty assessment for merit will be based on performance and there will be no penalty for periods during which PTK faculty were not employed by the University.**
 - c. **Plans shall account for differences in PTK faculty titles and full-time or part-time status. PTK faculty with appointments of 50% or greater shall be**

eligible for merit pay. Unit plans may extend eligibility to PTK faculty with appointments of less than 50% at the unit's discretion.

- d. Plans shall address the process for handling merit reviews when the faculty member has appointments in more than one unit.**

IIIIV. Implementation and Review

- A. Each unit will submit its plan as specified in III.B by ~~December~~ **August** 1, ~~2010~~ **2018**. Notice of approval by the Dean and the Senate Faculty Affairs Committee shall be given to the originating unit and a copy of the approved plan shall be transmitted to the Office of Academic Affairs. The unit shall post the approved plan on its web site so that its faculty can access it. **New faculty shall receive a copy of the relevant merit pay plan upon appointment.**
- B. No later than five years after ~~implementation of these recommendations~~ **approval of this policy**, a task force jointly appointed by the President and the Senate shall evaluate the effectiveness of the ~~se recommendations~~ **policy**.
- C. This policy is subject to the applicable policies of the Board of Regents, including its salary policy.

Professional Track Faculty Merit Policy Checklist

Per the University of Maryland Guidelines for Appointment, Evaluation, and Promotion of Professional Track Faculty (approved by the University Senate April 23, 2015 and approved by the President May 4, 2015), all UMD units are required to integrate PTK faculty into their merit pay system. Any unit serving as the primary appointment home for PTK faculty needs to have a merit pay system for its PTK faculty. Units may do this in one of two ways. They can:

- (a) Integrate PTK faculty into existing merit pay procedures, ensuring procedures adequately apply to both T/TT and PTK faculty, or
- (b) Develop a separate merit pay plan for PTK faculty.

To the degree possible, unit merit pay processes for PTK faculty should operate in the same manner as the process for T/TT faculty in the unit. All units should at minimum meet the following requirements:

REQUIRED ELEMENTS.	In unit plan:
1. Each unit shall have a merit pay distribution plan for PTK faculty. The plan must be approved by a majority of the faculty in the unit who are affected by the plan in a secret ballot. Following approval by the faculty, each unit's merit pay distribution plan shall be reviewed for sufficiency and consistency with the University merit pay policy first by the Dean and then by the Senate's Faculty Affairs Committee.	
2. PTK faculty should have voting representation on committees tasked with development or revision of merit pay policies and plans including PTK faculty.	
3. Merit is distinct from COLA and promotion increases, and merit decisions shall be made based on the evaluation criteria and the reviewee's performance. Merit pay shall not be assigned based on across the board raises or a unit-wide quota.	
4. The merit plan states that unit-level merit reviews for PTK instructional faculty shall be conducted by a Merit Pay Committee that includes voting representation from the affected faculty. The Merit Pay Committee must be directly elected by a majority of the affected faculty in a secret ballot and must include meaningful representation of faculty from the affected faculty ranks. Insofar as possible, the Merit Pay Committee's composition will also reflect the gender and racial distribution and the various scholarly interests of the unit.	
5. The merit pay plan shall include appropriate procedures for unit-level merit reviews for PTK research faculty, either using a Merit Pay Committee as noted in item 4 above or using a different process appropriate for the unit that includes approval of the department chair.	
6. The merit plan specifies eligibility for PTK faculty, noting whether the unit imposes a requirement for eligibility based on FTE. PTK faculty with appointments of 50% or greater shall be eligible for merit pay. Unit plans may extend eligibility to PTK faculty with appointments of less than 50% at the unit's discretion.	
7. The merit plan accounts for differences in a) PTK faculty titles and b) full-time or part-time status.	
8. The merit plan states that evaluations should reflect performance over at least the immediate past three years. PTK faculty assessment for merit will be based on performance and there will be no penalty for periods during which PTK faculty	

were not employed by the University. For years when merit pay is not available, the achievements of faculty will be taken into consideration during the next year in which merit pay is available.	
9. PTK faculty who are currently employed and have been employed for any period of time during the immediate past three years are eligible to be considered for merit.	
10. The merit plan specifies the process for handling merit reviews when reviewee has appointments in more than one unit.	
11. The merit pay plan provides clear criteria and conditions for merit, and clearly articulates the evaluation procedure for assessing contributions to research/creative activity, teaching/advising, or service.	
12. The merit plan includes a full description of the application and review process for merit, including but not limited to:	
a. The materials to be submitted by the faculty member;	
b. To whom the faculty member submits the materials;	
c. Application deadlines and maximum time to review; and	
d. Where appropriate, separate merit guidelines are provided for different tracks (research, clinical, instructional).	
13. The merit plan should articulate whether the Merit Pay Committee is advisory to the chair or whether it works with the chair to distribute merit dollars.	
14. The merit plan states how the Merit Pay Committee's recommendations will be communicated to the department chair.	
15. The merit plan will specify the responsibilities of the department chair. These responsibilities include: <ul style="list-style-type: none"> • Report to the Merit Pay Committee his or her final salary recommendations decision. • Certify (along with the Merit Pay Committee) that they have followed the unit's Merit Pay Distribution Plan or will indicate areas where they have deviated, providing a rationale. • Review the makeup of the Merit Pay Committee over the previous five years to assure that a reasonable representation of faculty diversity has been achieved and if it has not, take appropriate action to rectify the situation. • Evaluate the salary structure of the department annually and consult with the appropriate administrators (Dean or the Provost) to address salary compression or salary inequities that have developed in the unit. • Give the unit information on available sources of funds for merit increases during the process each year. 	
16. The merit plan specifies that merit pay decisions must be communicated in writing to PTK faculty by the chair. The letter to the faculty member will include a summary of the Merit Pay Committee's evaluation and how the evaluation was used to assign the merit increase. The letter will inform the faculty member that s/he may request a meeting with the chair to receive an explanation of the merit pay decision.	
17. The merit plan states the process for appealing merit pay decisions.	
18. The plan specifies that new PTK hires will receive a copy of the unit's merit pay policy.	

Best Practices in PTK Merit Pay

School of Architecture, Planning, and Preservation

The School of Architecture, Planning, and Preservation (ARCH) incorporates all PTK faculty with appointments of 50% FTE or greater into its existing merit pay process through the School-Wide Merit Pay Committee. The committee is composed of four representatives from any rank with one from each of the four Programs. The members do not have to be members of any Program's merit subcommittee, and the Program faculty can decide whether the members should be appointed by the Director or elected by a majority of the T/TT faculty in a secret ballot. Membership should reflect diversity of the School (in terms of gender, race, and scholarly interest).

Faculty are evaluated on research and creative activity, teaching and advising, and service, depending on the faculty member's Work Load Distribution Plan, which allocates percentage of effort for each of the categories depending on the faculty member's duties. The merit guidelines acknowledge that PTK faculty may not be engaged in all three areas and should only be assessed on those areas where they are expected to contribute.

In the School, Program merit subcommittees may be formed and may provide the Director and the School-Wide Merit Pay Committee with ranking recommendations. In cases where no Program subcommittee was formed, the School-wide committee will carry out the review process and develop rankings. The School-Wide Merit Pay Committee will assess all annual rankings and average them with scores from the previous two years. The School-Wide Merit Pay Committee will use the rankings to create three tiers, and will divide the merit funds and allocate them to the tiers according to the formula spelled out in the merit pay plan. The committee shall deliver its report on the distribution of funds to the Dean. The Dean will allocate additional funding set aside to address special issues, and will send a letter to each faculty member informing them of the committee's evaluation and ranking and the faculty member's new salary. The School provides an appeal process for all faculty eligible for merit pay.

School of Public Health

In the School of Public Health, each unit is responsible for providing merit review guidelines for PKT faculty. These guidelines are subject to approve by the School. However, the School has defined College-wide guidelines as well.

In the School, merit pay reflects primarily an individual's contributions during the previous calendar year, but an assessment of performance over three years is also considered. For years when merit pay is not available, the achievements of the PTK faculty members will be taken into consideration for that year (or years) during the next year in which merit pay is available. PTK faculty contributions are assessed in terms of research and scholarship, teaching and mentoring, and service, though the weighting the three areas may vary by individual circumstance since PTK faculty may be focused on one or more of these areas depending on their responsibilities. The School indicates that all units should have objective criteria for measuring excellence.

Department of Psychology

The Department of Psychology conducts merit reviews for PTK faculty in defined processes that are separate from T/TT merit processes. All PTK faculty in the unit are eligible to be considered for merit.

Instructional Faculty

All lecturers in the unit (including part-time and full-time faculty) are evaluated annually by the Lecturer Review Committee (LRC). The LRC is composed of all T/TT faculty on the Undergraduate Committee (x number of faculty), one lecturer (serving on Undergraduate Committee and/or elected by peers), and the chair of the Undergraduate Committee. Lecturers will be evaluated on teaching performance, and may be considered for service contributions if the faculty member and chair agree on how teaching and service should be weighted. The LRC follows the same procedures used by the Merit Review Committee for T/TT faculty, and will use an anchored six-point rating scale. Merit ratings reflect performance over the past three calendar years. The LRC reports ratings from each committee member to the department chair, along with any specific feedback for particular lecturers, and recommendations on whether specific lecturers should be considered for promotion or Adjunct Faculty II status.

The department chair will determine the funds available for COLA and merit raises, not to exceed the proportion allowed for T/TT faculty in that year. The chair will determine salary increases and will communicate to each lecturer: their merit rating on teaching and service (if applicable) and overall merit rating, as well as any qualitative comments from the committee; the weights used in calculating overall merit; the resulting salary increments for COLA, merit, or other adjustments; and the total new salary.

The department provides an appeal process for lecturers unsatisfied with the process, through discussion with the department chair and further appeal with the BSOS Associate Dean for Undergraduate Studies.

Research Faculty

Post-Docs, Faculty Assistants, and other specialized PTK faculty: the unit currently conducts individual reviews, with close involvement of the PI. The department feels that the job duties of these faculty vary greatly, and the PI is in some cases the only individual who understands the job duties of the faculty member and whether they are meeting expectations.

Department of Geographical Sciences

The Department of Geographical Sciences conducts merit reviews for PTK faculty in defined processes that are separate from T/TT merit processes. All PTK faculty in the unit are eligible to be considered for merit.

Instructional Faculty

The unit uses a Lecturer Merit Pay Committee to advise the chair on merit pay for instructional faculty. The committee is composed of the Associate Chair, the Director of Undergraduate Studies, and one elected full-time Lecturer. The committee meets each spring to review the accomplishments of full and part-time lecturers. Lecturers will be evaluated on teaching performance, and may be considered for service contributions if appropriate. Merit ratings reflect performance over the past three calendar years. In years without merit, the committee meets and assigns rankings to be used in subsequent years when merit is available.

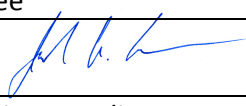
Research Faculty

The unit has one committee for review of research professors, with a process very similar to the T/TT faculty merit review process. The Research Director will select a slate of six candidates for the merit review committee, and research faculty will vote for no more than four to serve on the committee. Criteria related to research are defined in a document agreed to by the faculty in February 2005. The committee can also consider contributions in service and/or teaching, as applicable.

For review of other PTK faculty such as Faculty Specialists, the unit typically uses a process similar to a staff Performance, Review, and Development (PRD) process, with close engagement of the PI that the faculty member works with and subsequent review by the Research Director and Department Chair. Since Faculty Specialists in the unit have such diverse job duties, the unit felt it may not be possible to engage a committee in the review process. However, the review process is supported by a clear rubric; all reviews are conducted using a standardized review form that asks uniform questions for all faculty.



**University Senate
CHARGE**

Date:	September 27, 2016
To:	KerryAnn O'Meara Chair, Faculty Affairs Committee
From:	Jordan A. Goodman Chair-Elect, University Senate 
Subject:	Professional Track Faculty Merit Pay Policy
Senate Document #:	16-17-13
Deadline:	March 31, 2017

The Senate Executive Committee (SEC) requests that the Faculty Affairs Committee (FAC) consider how best to incorporate merit pay information for professional track faculty into University policy at the University of Maryland.

Specifically, we ask that you:

1. Review the University of Maryland, College Park Policy on Faculty Merit Pay Distribution ([VII-4.00 \[A\]](#)).
2. Consider how best to incorporate the principles related to merit outlined in the [UM Guidelines for Appointment, Evaluation, and Promotion of Professional Track Faculty](#) into University policy.
3. Consider whether the University of Maryland, College Park Policy on Faculty Merit Pay Distribution should be revised, or whether development of a new policy is necessary to address the unique needs of professional track faculty.
4. Consider how best to incorporate merit policy information for all full-time and part-time professional track faculty at all percentages of appointments.
5. Consult with a representative from the University's Office of Faculty Affairs.
6. Consult with the University's Office of General Counsel on any proposed recommendations.

We ask that you submit a report to the Senate Office no later than March 31, 2017. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.

JAG/rm