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11/21/83*

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PRINCIPLES AND ELEMENTS OF PERFORMANCE EVALUATION POLICIES
FOR THE ARIZONA UNIVERSITY SYSTEM

1. A ~~necessary part~~ responsibility of university administration is the assessment of the performance of each individual in promoting successful achievement of departmental/organizational/divisional goals and objectives in support of the university's mission.
2. Given the varied and specialized nature of university employee responsibilities, employee participation in the ~~preparation~~ formulation of evaluation guidelines and in the evaluation review process is essential. The evaluation systems implemented on each campus should permit sufficient flexibility to adapt procedures to departmental/organizational/divisional circumstances.
3. ~~Assessment of performance is a necessary tool in determining an employee's right to continuation of employment and a level of compensation that provides adequate recognition for results achieved.~~ Formal assessment of performance is necessary to establish a record for personnel decisions including the determination of the level of an employee's compensation that provides adequate recognition for results achieved.
4. Evaluation systems should promote employee effectiveness through an articulation of the types of contributions employees might make to the university community.
5. Performance evaluations should illuminate the special talents, capabilities, and achievements of employees.
6. Performance evaluation policies should contain the following elements:
 - a. Employee performance should be reviewed on a scheduled basis at least once every twelve months.
 - b. Performance evaluation documentation should minimally consist of:
 - Evaluation criteria, developed with participation by employees, that express performance expectations.
 - Employee performance assessment by, but not necessarily limited to, the department head.
 - c. A discussion with the employee regarding past performance and future expectations should occur and a written statement recording the sense of this discussion should be provided to the employee. The employee shall be given the opportunity to add his/her comments to this statement as a part of the official record.
 - d. A procedure by which the employee may request a review of his/her performance evaluation.

BOARD OF REGENTS' POLICY ON EVALUATION OF FACULTY

A. Faculty Performance Evaluation Philosophy

1. The Arizona Board of Regents recognizes the need for a faculty performance evaluation system that identifies, assesses and enhances performance. It is essential that the evaluation process incorporate guidelines relevant to the achievement of the traditional academic goals and objectives of teaching, research and professional service while recognizing the unique nature and diversity of the universities. To this end, it is necessary that guidelines be established and evaluations conducted in a manner that is flexible enough to serve the particular mission, objectives, and needs of the respective universities, their colleges and departments.
2. It is further recognized that faculty evaluation ~~is~~ should be a peer-participatory, cooperative and continuing process intended to assess and enhance the performance of academic personnel. Given the nature of the varied academic responsibilities and the specialization both between and within disciplines, the faculty evaluation process should provide for faculty participation in the preparation of evaluation guidelines and must necessarily presuppose a high degree of confidence in the faculty and their ability to ~~fairly~~ objectively judge each other. Therefore, the evaluation process should be as localized as possible in order to adapt procedures to individual or departmental circumstances
3. The faculty performance evaluation procedures should pursue the following objectives:
 - a. To involve faculty in the design and evaluation of objectives and goals of their academic programs and in the identification of the performance expectations central to their own personal and professional growth.
 - b. To assess actual performance and accomplishments in the areas of teaching, research and professional service through the use of peer review.
 - c. To promote the effectiveness of faculty members through an articulation of the types of contributions they might make to the university community that will lead to greater personal and professional rewards.
 - d. To provide a written record of faculty performance to support such personnel decisions as retention, promotions, tenure, sabbatical leave, merit increases, transfers, reassignment and re-employment.
 - e. To recognize special talents, capabilities and achievements of faculty members.

B. General Policy

It is the policy of the Arizona Board of Regents that faculty shall be evaluated on their performance in accordance with the following guidelines:

1. Faculty shall have their performance, personal progress and future potential formally reviewed on a scheduled basis at least once every twelve months.
2. Elements of the evaluation shall include, but shall not be limited to the following:
 - a. Written evaluation criteria will be developed through faculty participation in each department, college or division, to expressing the performance expectations for faculty members therein. Procedures and instruments for evaluation of faculty members on each criterion shall be developed by ~~the departments,~~ and colleges and approved by the universities university administration. Criteria for merit awards must consider teaching effectiveness, research and scholarly growth, and professional service. Evaluation criteria may provide for recognition of long-term faculty activities and outcomes. Guidelines and evaluation procedures within departments shall be flexible enough to meet the particular objectives of the department without undermining the uniformity of the whole system. When teaching effectiveness is evaluated a systematic assessment of student opinion shall constitute one component of the evaluation.
 - b. An assessment of the faculty member's performance, including both peer review and assessment by the department administrator and/or other appropriate administrators, shall be conducted.
 - c. The evaluation of the faculty member's past performance and expectations for the future will be discussed with him/her. A written statement recording the sense of this discussion will be provided to the faculty member. The employee shall be given the opportunity to add his/her comments to the statement as part of the official record.
 - d. Each university shall establish a procedure by which a faculty member who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

BOARD OF REGENTS' POLICY ON EVALUATION OF PROFESSIONAL STAFF

A. Professional Staff Performance Evaluation Philosophy

1. The Arizona Board of Regents recognizes the need for a professional employee performance evaluation system that identifies, assesses, and enhances performance. It is essential that the evaluation process incorporate guidelines relevant to the achievement of specific program goals and objectives while recognizing the unique nature and diversity of ~~each the~~ university universities. To this end, it is necessary that guidelines be established and evaluations conducted in a manner that is flexible enough to meet the particular needs of the respective universities, their departments and programs.
2. The Board further recognizes that professional staff evaluation ~~is~~ may be an employee-participatory, cooperative and continuing process intended to assess and enhance the performance of professional personnel. Given the nature of the varied professional responsibilities, and the specialization both between and within programs, the professional evaluation process must presuppose a high degree of confidence in the professional staff through the incorporation of professional staff participation in the preparation of evaluation guidelines and in the evaluation review process. The evaluation system should permit sufficient flexibility to adapt procedures to individual or organizational unit circumstances.
3. The professional staff performance evaluation procedures should pursue the following objectives:
 - a. To involve professional staff in the ~~design and evaluation~~ formulation of objectives and goals related to their program areas and their own personal and professional growth.
 - b. To assess actual performance and accomplishments in the areas of their responsibilities, through a cooperative review process.
 - c. To promote the effectiveness of professional staff through an articulation of the types of contributions they might make to the university community that will lead to greater personal and professional ~~rewards~~ growth, recognition and rewards.
 - d. To provide a written record of professional staff performance to support personnel decisions such as ~~retention~~, re-appointment, merit increases, transfers, ~~and re-employment~~, promotions and continuing appointment.

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- e. To recognize special talents, capabilities and achievements of professional staff.

B. General Policy

It is the policy of the Arizona Board of Regents that professional staff shall be evaluated on their performance in accordance with the following guidelines:

1. Professional staff shall have their performance, personal progress and future potential formally reviewed on a scheduled basis at least once every twelve months.
2. Elements of the evaluation shall include, but shall not be limited to the following:
 - a. Written evaluation criteria will be developed through participation of the professional staff ~~that to~~ express performance expectations. Procedures and instruments for evaluation of professional staff shall be developed by ~~the departments or~~ and organizational units ~~and approved by the university administration.~~ Evaluation procedures within organizational units shall be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.
 - b. An assessment of the professional staff member's performance shall include, ~~but shall not necessarily be limited to,~~ an assessment by the unit administrator.
 - c. The evaluation of the professional staff member's past performance and expectations for the future shall be discussed with him/her. A written statement recording the sense of this discussion shall be provided to the professional staff member. The employee shall be given the opportunity to add his/her comments to this statement as a part of the official record.
 - d. Each university shall establish a procedure by which a professional staff member who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

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BOARD OF REGENTS' POLICY ON EVALUATION OF ADMINISTRATORS

A. Administrative Performance Evaluation Philosophy

1. The Arizona Board of Regents recognizes the need for an administrative performance evaluation system which identifies, assesses, and enhances performance. It is essential that the evaluation process incorporate guidelines relevant to the achievement of administrative programs and departmental goals while recognizing the unique nature and diversity of ~~each university.~~ the universities. To this end, it is necessary that guidelines be established and evaluations conducted in a manner that is flexible enough to meet the particular mission, objectives, and needs of the respective universities, their departments and programs.
2. The Board further recognizes that administrative staff evaluation ~~is~~ may be an employee-participatory, cooperative and continuing process intended to assess and enhance the performance of administrative personnel. Given the nature of the varied and specialized administrative responsibilities, the administrative evaluation system must incorporate a high level of administrative staff participation in the preparation of evaluation guidelines and in the evaluation review process. The system should permit sufficient flexibility to adapt procedures to organizational unit circumstances.
3. The administrative staff performance evaluation procedures should pursue the following objectives:
 - a. To involve administrative staff in the ~~design and evaluation~~ formulation of objectives and goals related to their departments or divisions and their own personal and professional growth.
 - b. To assess actual performance and accomplishments in the areas of each employee's responsibility, ~~through a cooperative review process.~~
 - c. To promote the effectiveness of administrative staff through articulation of the types of contributions they might make to the university community that will lead to greater personal and professional ~~rewards.~~ growth, recognition and rewards.
 - d. To provide a written record of administrative staff performance to support personnel decisions such as ~~retention,~~ re-appointment, merit increases, transfers and ~~re-employment~~ re-assignment.
 - e. To recognize special talents, capabilities and achievements of administrative staff.

B. General Policy

It is the policy of the Arizona Board of Regents that administrative staff shall be evaluated on their performance in accordance with the following guidelines:

1. Administrative staff shall have their performance, personal progress and future potential formally reviewed on a scheduled basis at least once every twelve months.
2. Elements of the evaluation shall include, but shall not be limited to the following:
 - a. Written evaluation criteria will be developed through participation of the administrative staff to that express performance expectations. Procedures and instruments for evaluation of administrative staff shall be developed by the department or organizational unit, and approved by the university administration. Evaluation procedures within units shall be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.
 - b. An assessment of the administrative staff member's performance shall include, ~~but shall not necessarily be limited to,~~ an assessment by the unit administrator.
 - c. The evaluation of the administrative staff member's past performance and expectations for the future shall be discussed with him/her. A written statement recording the sense of this discussion shall be provided to the administrative staff member. The employee shall be given the opportunity to add his/her comments to this statement as a part of the official record.
 - d. Each university shall establish a procedure by which the administrative staff member who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

11/16/83

BOARD OF REGENTS POLICY ON EVALUATION OF CLASSIFIED STAFF

A. Classified Staff Performance Evaluation Philosophy and Purpose

1. It is the philosophy of the Arizona Board of Regents that a performance evaluation system is a necessary ingredient of a work environment that promotes optimum classified staff performance.
2. The Board recognizes the need for a classified staff performance evaluation system, developed with staff participation, that identifies, ~~measures assesses and develops~~ enhances the performance of employees. It is essential the evaluation system be based on the establishment and attainment of identifiable job-related goals and objectives.
3. The Board further recognizes that classified staff evaluation is a cooperative and continuing process intended to assess employee performance. An evaluation system should promote the interaction of the employee and supervisor in identifying and reviewing general and specific job responsibilities and the environment in which they are to be accomplished. This philosophy incorporates the following objectives:
 - a. To establish and communicate standards of performance in relation to the duties and responsibilities of the employee's position.
 - b. To assess actual performance and accomplishments against the standards, duties and responsibilities of the employee's position.
 - c. To promote the effectiveness of classified staff, ~~employees through the clarification of roles and expectations.~~
 - d. To ~~foster~~ encourage communication between the employee and supervisor ~~in order~~ to identify employee potential and interests and to assist employees in achieving their career goals.
 - e. To provide a written record of employee performance in support of personnel decisions such as promotions, transfers, merit increases, reassignment, re-employment and disciplinary actions.
 - f. To recognize special talents, capabilities and achievements of classified staff.

B. General Policy

It is the policy of the Arizona Board of Regents that classified staff employees shall be evaluated on the performance of their duties in accordance with the following guidelines:

1. Classified staff shall have their job performance, personal progress and future potential formally reviewed and discussed with them on a scheduled basis at least once every twelve months.
2. Documentation of the evaluation shall consist of but shall not be limited to:
 - a. Specific, predetermined, standards of performance related to the duties and responsibilities of the employee's position.
 - b. ~~An evaluator(s)~~ Management assessment of actual performance and accomplishments.
 - c. ~~An evaluator(s)~~ Management determination of an overall performance evaluation rating.
3. The performance evaluation shall be discussed with and a copy provided to the classified staff employee. The employee shall have the opportunity to add his/her comments to this statement as a part of the official record.
4. Each university shall establish a procedure by which the classified staff employee who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

11/16/83

BOARD OF REGENTS' POLICY ON SALARY ADJUSTMENTS

A. General Policy

It is the policy of the Arizona Board of Regents that each of the Arizona universities shall establish and maintain ~~an equitable~~ a system of compensation as a means of attaining ~~which encourages and promoting~~ promotes excellent excellence in performance ~~by of~~ faculty, professional employees staff, administrators and classified staff. To this end, the universities shall operate within a Board approved salary adjustment plan that provides for rewarding employees in recognition of satisfactory and above satisfactory performance and provides for a ~~fair and equitable~~ process by which other salary adjustment considerations are resolved. Monies appropriated and identified by the Legislature as funds to be used by the universities for salary adjustments shall be divided and distributed under guidelines applicable to two categories: (1) ~~maintenance~~ adjustment funds; and (2) performance ~~adjustment~~ funds.

B. Maintenance Adjustment Funds

In order to maintain an ~~on-going~~ effective compensation plan on each of the campuses, ~~that is effective and equitable,~~ the universities shall continually assess the need for ~~maintenance~~ these adjustments. Such adjustments ~~shall~~ may include: (1) market adjustments; (2) equity adjustments; ~~(3) inflation adjustments,~~ and (3) promotion and reclassification adjustments. Each university shall determine the amount of adjustment funds needed each year for each of the four employee groups and shall request that the Board of Regents set aside such an amount from the total funds made available by the Legislature for salary adjustment purposes.

C. Performance Adjustment Funds

Performance ~~adjustment~~ funds shall be distributed on the basis of an assessment of employee performance. University approved formal performance evaluation plans administered at the departmental or other organizational unit level at each university shall provide the documentation for performance ~~adjustment~~ awards to employees in each of the four groups. Each university shall implement a Board approved performance evaluation system prior to March, 1984.

Decisions related to the distribution of faculty performance ~~adjustment~~ funds shall be made in accordance with university policies and procedures developed in consultation with the faculty and approved by the president. Such rules and procedures may provide for recognition of long-term faculty activities and outcomes.

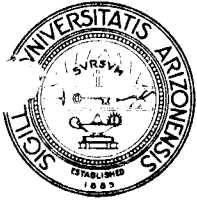
D. Procedures

After the Legislature has determined the amount of funds appropriated to each university for salary adjustment purposes, each institution shall allocate the available funds to each of the four employee groups (faculty, professional, administrative, classified) in proportion to their share of the salary base of that university. Each university shall then submit to the Board of Regents a plan for dividing the funds allocated to each of the four employee groups between ~~maintenance~~ adjustment funds and performance ~~adjustment~~ funds. The Board of Regents shall authorize such division of funds for each of the four employee groups, recognizing that different circumstances and needs may lead to different proportions of ~~maintenance~~ adjustment funds and performance ~~adjustment~~ funds among the various employee groups and among the three universities. ~~In no case shall the funds allocated to an employee group (faculty, professional, administrative, classified) be used to enhance the salaries of employees outside of that employee group.~~ Unless exception is approved by the Arizona Board of Regents, no funds allocated to an employee group (faculty, professional, administrative, classified) shall be used to enhance the salaries of employees outside of that employee group. Any exception must be based on compensation related factors and circumstances which justify an alternative distribution method.

E. Compensation Report

The president of each university shall submit a compensation report to the Board of Regents on or before August 1 of each year that includes the following:

1. Procedures used in the distribution of the maintenance adjustment funds and performance adjustment funds.
2. Number of faculty, professional, administrative and classified employees receiving various percentage increases (1%, 2%, 3% --- 10%, etc.) through the distribution of maintenance adjustment funds, by department or other organizational unit.
3. Number of faculty, professional, administrative and classified employees receiving various percentage increases (1%, 2%, 3% --- 10%, etc.) through the distribution of performance adjustment funds, by department or other organizational unit.
4. Special compensation reports may be requested by the Board of Regents.



THE UNIVERSITY OF ARIZONA
TUCSON, ARIZONA 85721

FACULTY SENATE

*Distributed to Faculty
Senate members Prior
to Nov. 21, 1983, Senate
Meeting + Corrections
noted on this copy*

Date: November 10, 1983

Memo to: Members, University of Arizona Faculty Senate

From: Ad Hoc Committee on Salary Determination Procedures

Subject: Committee Report

Here is the Committee's report. It consists of the following items:

Item I. Changes in the Report of the Regents Compensation Plan Task Force proposed by the Ad Hoc Committee. The changes have been inserted in the text in photo-reduced type.

Item II. Appendixes:

- A. Results of the Poll of UA Faculty and Staff
- B. Results of the Survey of UA Deans, Directors and Department Heads
- C. 1. Faculty Salary Procedures at Selected Institutions
- C. 2. Classified Staff Salary Procedures at Selected Institutions

The Committee is preparing a set of resolutions for consideration by the Senate at its November 21 meeting. Copies will be on your desks at that time.

Members

- L. Beutler, Psychiatry
- B. Epstein, Home Economics Extension
- M. Farr, Nuclear and Energy Engineering
- H. Frank, Economics (chairman)
- J. D. Garcia, Physics
- * D. Haskell, Fine Arts
- D. Irving, Fine Arts
- G. Peterson, Electrical Engineering
- B. Ross, French and Italian
- E. Sherberg, University Instruments Shop

Consultants

- N. Hasselmo, Administration
- J. King, Educational Psychology
- G. Munsinger, Administration
- C. Sakwa, Administration

* Alternate

October 25, 1983

TO: Members, Arizona Board of Regents
FROM: Robert A. Huff *RAH*
Executive Director
SUBJECT: Report from the Compensation Plan Task Force

I. STATEMENT OF ISSUE

The Compensation Plan Task Force met on Tuesday, October 18 and continued its work in developing draft policies on employee evaluation and distribution of salary enhancement funds provided by the Legislature. A report to the Legislature prior to January 1 is a requirement of Senate Bill 1191. In order to meet this deadline, Board action on the final draft of the policies must be taken at the December Regents' meeting.

II. DESCRIPTION/BACKGROUND

The attached draft document contains six separate policies:

1. Statement of guiding principles and elements that have governed the development of evaluation documents for each employee group
2. Policy on Evaluation of Faculty
3. Policy on Evaluation of Professional Staff
4. Policy on Evaluation of Administrators
5. Policy on Evaluation of Classified Staff
6. Policy on Salary Adjustments

While the evaluation policies for the four groups of employees have many similar elements, each is unique in some respects and thus it was felt that a separate policy for each group was appropriate. In addition, if the procedures pertaining to a particular group of employees are found to be less than satisfactory, that specific policy can be changed by virtue of having four separate policy statements without affecting the policies related to other employee groups. Also, it will be simpler for an employee to understand the evaluation policy pertaining to his particular position if he/she is not encumbered by having to sort through a larger document that contains many special provisions for other employees in other employee groups.

II. DESCRIPTION/BACKGROUND (continued)

These draft policies are placed before the Board of Regents at the November meeting so that all Regents can be aware of the direction that is being suggested and may have an opportunity along with university personnel to make additional input so that a final document can be prepared for the December Board meeting.

III. ALTERNATIVES

N/A

IV. RECOMMENDATION

It is recommended that the Board review the draft policy documents and provide further direction to staff and the Compensation Task Force Committee concerning additional work to be accomplished prior to the December Board of Regents' meeting.

vb
attachments

DRAFT

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PRINCIPLES AND ELEMENTS OF PERFORMANCE EVALUATION POLICIES FOR THE ARIZONA UNIVERSITY SYSTEM

Add the word "Employee" to the title (before "Performance").

Explanation:

The present title implies that it is the Arizona University System which will be evaluated.

Responsibility

1. A necessary part of university administration is the assessment of the performance of each individual in promoting successful achievement of departmental/organizational/divisional goals and objectives in support of the university's mission.
2. Given the varied and specialized nature of university employee responsibilities, employee participation in the preparation of evaluation guidelines and in the evaluation review process is essential. The evaluation systems implemented on each campus should permit sufficient flexibility to adapt procedures to departmental/organizational/divisional circumstances.

3. Assessment of performance is a necessary ^{Journal} tool in ^{to establish a record for personnel} determining an employee's ^{decisions} ~~right to continuation of employment~~ and a level of compensation that provides ^{including} adequate recognition for results achieved. ^{the}

Change underlined phrase to "...determining the level of an employee's compensation that provides..."

Explanation:

As it stands, the wording conflicts with established policies on faculty tenure and continuing appointment.

4. Evaluation systems should promote employee effectiveness through an articulation of the types of contributions employees might make to the university community.
5. Performance evaluations should illuminate the special talents, capabilities, and achievements of employees.
6. Performance evaluation policies should contain the following elements:
 - a. Employee performance should be reviewed on a scheduled basis at least once every twelve months.

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b. Performance evaluation documentation should minimally consist of:

- Evaluation criteria, developed with participation by employees, that express performance expectations.
- Employee performance assessment by, but not necessarily limited to, the department head.

c. A discussion with the employee regarding past performance and future expectations should occur and a written statement recording the sense of this discussion should be provided to the employee.

Add to end of sentence: "The employee will be invited to record his/her comments to the statement."

Explanation:

Without this clause, employee rights would not be adequately safeguarded.

d. A procedure by which the employee may request a review of his/her performance evaluation.

11/4/83

BOARD OF REGENTS' POLICY ON EVALUATION OF FACULTY

A. Faculty Performance Evaluation Philosophy

1. The Arizona Board of Regents recognizes the need for a faculty performance evaluation system that identifies, assesses and enhances performance. It is essential that the evaluation process incorporate guidelines relevant to the achievement of the traditional academic goals and objectives of teaching, research and professional service while recognizing the unique nature and diversity of the universities. To this end, it is necessary that guidelines be established and evaluations conducted in a manner that is flexible enough to serve the particular mission, objectives, and needs of the respective universities, their colleges and departments.
2. It is further recognized that faculty evaluation is a peer-participatory, cooperative and continuing process intended to assess and enhance the performance of academic personnel. Given the nature of the varied academic responsibilities and the specialization both between and within disciplines, the faculty evaluation process should provide for faculty participation in the preparation of evaluation guidelines and must necessarily presuppose a high degree of confidence in the faculty and their ability to fairly judge each other. Therefore, the evaluation process should be as localized as possible in order to adapt procedures to individual or departmental circumstances.
3. The faculty performance evaluation procedures should pursue the following objectives:
 - a. To involve faculty in the design and evaluation of objectives and goals of their academic programs and in the identification of the performance expectations central to their own personal and professional growth.
 - b. To assess actual performance and accomplishments in the areas of teaching, research and professional service through the use of peer review.
 - c. To promote the effectiveness of faculty members through an articulation of the types of contributions they might make to the university community that will lead to greater personal and professional rewards.
 - d. To provide a written record of faculty performance to support such personnel decisions as retention, promotions, tenure, sabbatical leave, merit increases, transfers and re-employment.

Add the word "reassignment" to the list of personnel decisions.

- e. To recognize special talents, capabilities and achievements of faculty members.

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B. General Policy

It is the policy of the Arizona Board of Regents that faculty shall be evaluated on their performance in accordance with the following guidelines:

1. Faculty shall have their performance, personal progress and future potential formally reviewed on a scheduled basis at least once every twelve months.
2. Elements of the evaluation shall include, but shall not be limited to:
 - a. Written evaluation criteria, developed through faculty participation in each department, college or division, expressing the performance expectations for faculty members therein. Procedures and instruments for evaluation of faculty members on each criterion shall be developed by the departments, the colleges and the universities. Criteria for merit awards must consider teaching effectiveness, research and scholarly growth, and professional service. Evaluation criteria may provide for recognition of long-term faculty activities and outcomes. Guidelines and evaluation procedures within departments shall be flexible enough to meet the particular objectives of the department without undermining the uniformity of the whole system. When teaching effectiveness is evaluated a systematic assessment of student opinion shall constitute one component of the evaluation.

Change underlined phrase to read "service to the university, community and larger scholarly community."

- b. An assessment of the faculty member's performance, including both peer review and assessment by the department administrator and/or other appropriate administrators, shall be conducted.
- c. The evaluation of the faculty member's past performance and expectations for the future will be discussed with him/her. A written statement recording the sense of this discussion will be provided to the faculty member.

Add to end of sentence "and the faculty member will be invited to provide his/her comments to the statement."

- d. Each university shall establish a procedure by which a faculty member who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

Change underlined phrase ^{from} ~~to~~ "at the next administrative level" to "by a committee of his/her peers."

Explanation:

Administrative review occurs automatically but may not resolve issues causing disagreements. Only a peer review can accomplish this.

BOARD OF REGENTS' POLICY ON EVALUATION OF PROFESSIONAL STAFF

In title change "Professional Staff" to "Professional Employees" or "Academic Professionals."

Identical changes should be made everywhere the word "staff" is used i.e. in the first line of A.2, the first line of A.3, the first line of 3.a, and 3.c, 3.d, the second line 3.e., the first line of B. and B.1., lines 2 and 4 of 2.a., line 1 of 2.b. and 2.c., and line 2 of 2.d.

Explanation:

Reference to professional "staff" is inappropriate, in conflict with existing policies and practices at the University of Arizona, and may cause confusion with classified staff.

A. Professional Staff Performance Evaluation Philosophy

1. The Arizona Board of Regents recognizes the need for a professional employee performance evaluation system that identifies, assesses, and enhances performance. It is essential that the evaluation process incorporate guidelines relevant to the achievement of specific program goals and objectives while recognizing the unique nature and diversity of each university. To this end, it is necessary that guidelines be established and evaluations conducted in a manner that is flexible enough to meet the particular needs of the respective universities, their departments and programs.

Insert the following phrase on line 5 after "objectives"; "teaching, research or professional service, as appropriate to the employee's assignment."

Explanation:

The Committee urges that the language of the section for professionals parallel that of faculty as closely as possible.

2. The Board further recognizes that professional staff evaluation is an employee-participatory, cooperative and continuing process intended to assess and enhance the performance of professional personnel. Given the nature of the varied professional responsibilities, and the specialization both between and within programs, the professional evaluation process must presuppose a high degree of confidence in the professional staff through the incorporation of professional staff participation in the preparation of evaluation guidelines and in the evaluation review process. The evaluation system should permit sufficient flexibility to adapt procedures to individual or organizational unit circumstances.
3. The professional staff performance evaluation procedures should pursue the following objectives:
 - a. To involve professional staff in the design and evaluation of objectives and goals related to their program areas and their own personal and professional growth.
 - b. To assess actual performance and accomplishments in the areas of their responsibilities through a cooperative review process.

Add to end of sentence: "that shall involve peer review."

- c. To promote the effectiveness of professional staff through an articulation of the types of contributions they might make to the university community that will lead to greater personal and professional rewards.
- d. To provide a written record of professional staff performance to support personnel decisions such as retention, merit increases, transfers and re-employment.

Cross out the word "and" in last line and add to end of sentence "and promotions, continuing appointment and sabbatical leave".

Explanation:

Many academic professionals at the University of Arizona have these included in their position descriptions currently.

- e. To recognize special talents, capabilities and achievements of professional staff.

B. General Policy

It is the policy of the Arizona Board of Regents that professional staff shall be evaluated on their performance in accordance with the following guidelines:

1. Professional staff shall have their performance, personal progress and future potential formally reviewed on a scheduled basis at least once every twelve months.
2. Elements of the evaluation shall include, but shall not be limited to:
 - a. Written evaluation criteria, developed through participation of the professional staff that express performance expectations. Procedures and instruments for evaluation of professional staff shall be developed by the departments or organizational units. Evaluation procedures within organizational units shall be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.

Change language to parallel that of faculty statement. Add at the end: "Criteria for merit should consider, as applicable, one or more of the following: teaching effectiveness, research and scholarly growth, and service to the University and community."

- b. An assessment of the professional staff member's performance shall include, but shall not necessarily be limited to, an assessment by the unit administrator

Add to end of sentence "and peers".

- c. The evaluation of the professional staff member's past performance and expectations for the future shall be discussed with him/her. A written statement recording the sense of this discussion shall be provided to the professional staff member.

Add to end of sentence; "with the opportunity provided for the employee to record his/her comments to the statement".

- d. Each university shall establish a procedure by which a professional staff member who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

1. Change the word "reviewed" to "appealed".

2. Change word "administrative" ^{to} "appropriate" level. *or by a committee of his/her peers*

Explanation:

The "next ^{administrative} ~~appropriate~~ level" may not be the most appropriate in all cases.

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BOARD OF REGENTS' POLICY ON EVALUATION OF ADMINISTRATORS

A. Administrative Performance Evaluation Philosophy

1. The Arizona Board of Regents recognizes the need for an administrative performance evaluation system which identifies, assesses, and enhances performance. It is essential that the evaluation process incorporate guidelines relevant to the achievement of administrative programs and departmental goals while recognizing the unique nature and diversity of each university. To this end, it is necessary that guidelines be established and evaluations conducted in a manner that is flexible enough to meet the particular mission, objectives, and needs of the respective universities, their departments and programs.
2. The Board further recognizes that administrative staff evaluation is an employee-participatory, cooperative and continuing process intended to assess and enhance the performance of administrative personnel. Given the nature of the varied and specialized administrative responsibilities, the administrative evaluation system must incorporate a high level of administrative staff participation in the preparation of evaluation guidelines and in the evaluation review process. The system should permit sufficient flexibility to adapt procedures to organizational unit circumstances.
3. The administrative staff performance evaluation procedures should pursue the following objectives:
 - a. To involve administrative staff in the design and evaluation of objectives and goals related to their departments or divisions and their own personal and professional growth.
 - b. To assess actual performance and accomplishments in the areas of each employee's responsibility through a cooperative review process.

Add at the end of the sentence: "which includes staff and faculty participation".

- c. To promote the effectiveness of administrative staff through articulation of the types of contributions they might make to the university community that will lead to greater personal and professional rewards.
 - d. To provide a written record of administrative staff performance to support personnel decisions such as retention, merit increases, increases, transfers and re-employment.
- In last line delete word "increases" and insert "promotions".
- e. To recognize special talents, capabilities and achievements of administrative staff.

B. General Policy

It is the policy of the Arizona Board of Regents that administrative staff shall be evaluated on their performance in accordance with the following guidelines:

1. Administrative staff shall have their performance, personal progress and future potential formally reviewed on a scheduled basis at least once every twelve months.
2. Elements of the evaluation shall include, but shall not be limited to:
 - a. Written evaluation criteria, developed through participation of the administrative staff, that express performance expectations. Procedures and instruments for evaluation of administrative staff shall be developed by the department or organizational unit. Evaluation procedures within units shall be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.
 - b. An assessment of the administrative staff member's performance shall include, but shall not necessarily be limited to, an assessment by the unit administrator.
 - c. The evaluation of the administrative staff member's past performance and expectations for the future shall be discussed with him/her. A written statement recording the sense of this discussion shall be provided to the administrative staff member.
 - d. Each university shall establish a procedure by which the administrative staff member who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

11/4/83

BOARD OF REGENTS POLICY ON EVALUATION OF CLASSIFIED STAFF

12

unequal

continued

General Comment: The classified staff section perpetuates the treatment of employees in this class as inferior members of the University community. The Committee believes that such an attitude runs counter to the basic goal of offering all University employees a work environment conducive to strong performance and reward of excellence. Staff members have a right to expect that, in addition to receiving a pay check, they will have a voice in determining decisions affecting them vitally.

A. Classified Staff Performance Evaluation Philosophy and Purpose

1. It is the philosophy of the Arizona Board of Regents that a performance evaluation system is a necessary ingredient of a work environment that promotes optimum classified staff performance.
2. The Board recognizes the need for a classified staff performance evaluation system that identifies, measures and develops the performance of employees. It is essential that the evaluation system focus on the establishment and attainment of identifiable job-related goals and objectives.

line 2: after "evaluation system", add: "developed with staff participation, that accurately..."

3. The Board further recognizes that classified staff evaluation is a cooperative and continuing process intended to assess employee performance. An evaluation system should promote the interaction of the employee and supervisor in identifying and reviewing general and specific job responsibilities and the environment in which they are to be accomplished. This philosophy incorporates the following objectives:

line 3: change "focus" to "be based".

- a. To establish and communicate standards of performance in relation to the duties and responsibilities of the employee's position.
- b. To assess actual performance and accomplishments against the standards, duties and responsibilities of the employee's position.
- c. To promote the effectiveness of classified staff employees through the clarification of roles and expectations.

lines 1-2: strike "through the clarification of role expectations".

Explanation:

This phrase dilutes the primary objective and adds nothing meaningful.

- d. To foster communication between the employee and supervisor in order to identify employee potential and interests and to assist employees in achieving their career goals.

Replace "foster" by "encourage". Strike "in order to".

- e. To provide a written record of employee performance in support of personnel decisions such as promotions, transfers, merit increases, reassignment, re-employment and disciplinary actions.
- f. To recognize special talents, capabilities and achievements of classified staff.

B. General Policy

It is the policy of the Arizona Board of Regents that classified staff employees shall be evaluated on the performance of their duties in accordance with the following guidelines:

- 1. Classified staff shall have their job performance, personal progress and future potential formally reviewed and discussed with them on a scheduled basis at least once every twelve months.
- 2. Documentation of the evaluation shall consist of but shall not be limited to:
 - a. Specific, predetermined, standards of performance related to the duties and responsibilities of the employee's position.
 - b. An evaluator(s) assessment of actual performance and accomplishments.

Replace present wording by: "A supervisor's or other appropriate evaluator's assessment of actual performance and accomplishments." Omit balance of paragraph.

Explanation:

The immediate supervisor may not be a person in a good position to evaluate the employee's performance fully (e.g., where a secretary performs duties for several faculty members).

- c. An evaluator(s) determination of an overall performance evaluation rating.

Change to: "A supervisor's or other appropriate evaluator's overall...."

- 3. The performance evaluation shall be discussed with and a copy provided to the classified staff employee.
- 4. Each university shall establish a procedure by which the classified staff employee who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

Change "next administrative" to "next highest appropriate."

Explanation:

The next immediate level is not always in the best position to perform the review.

14

BOARD OF REGENTS' POLICY ON SALARY ADJUSTMENTS*

A. General Policy

It is the policy of the Arizona Board of Regents that each of the Arizona universities shall establish and maintain an equitable system of compensation as a means of attaining and promoting excellent performance by faculty, professional employees, administrators and classified staff. To this end, the universities shall operate within a Board approved salary adjustment plan that provides for rewarding employees in recognition of satisfactory and above satisfactory performance and provides for a fair and equitable process by which other salary adjustment considerations are resolved. Monies appropriated and identified by the Legislature as funds to be used by the universities for salary adjustments shall be divided and distributed under guidelines applicable to two categories: (1) maintenance adjustment funds; and (2) performance adjustment funds.

The Committee members believe unanimously that a four category classification be used (Faculty, Professionals, Administrators and Classified Staff). This is the only way to ensure that all employees know that their group will receive the same percentage increase in total earnings as all other classes.

B. Maintenance Adjustment Funds

In order to maintain an on-going compensation plan on each of the campuses that is effective and equitable, the universities shall continually assess the need for maintenance adjustments. Such adjustments shall include: (1) market adjustments; (2) equity adjustments; (3) inflation adjustments; and (4) promotion and reclassification adjustments. Each university shall determine the amount of maintenance adjustment funds needed each year for each of the four employee groups and shall request that the Board of Regents set aside such an amount from the total funds made available by the Legislature for salary adjustment purposes.

The Committee urges that the "inflation" adjustment be shown separately from other Maintenance factors, i.e., that the Maintenance component be divided into separate items, both clearly visible.

The Committee advocates that a clear distinction be drawn between merit increases and market adjustment factors. While the conceptual basis of these two elements is well established, there is evidence that, in practice, the distinction has been blurred, and that serious abuses of merit and equity considerations have occurred as a result.

*Dean Irving and Dean Haskell did not participate in Committee deliberations on the Regents proposals.

C. Performance Adjustment Funds

Performance adjustment funds shall be distributed on the basis of an assessment of employee performance. Formal performance evaluation plans administered at the departmental or other organizational unit level at each university shall provide the documentation for performance adjustment awards to employees in each of the four groups. Each university shall implement a Board approved performance evaluation system prior to March, 1984.

Decisions related to the distribution of faculty performance adjustment funds shall be made in accordance with university policies and procedures developed in consultation with the faculty and approved by the president. Such rules and procedures may provide for recognition of long-term faculty activities and outcomes.

The committee strongly endorses the development of University policy and procedures by a committee consisting of representatives from administration and all employee groups.

D. Procedures

After the Legislature has determined the amount of funds appropriated to each university for salary adjustment purposes, each institution shall allocate the available funds to each of the four employee groups (faculty, professional, administrative, classified) in proportion to their share of the salary base of that university. Each university shall then submit to the Board of Regents a plan for dividing the funds allocated to each of the four employee groups between maintenance adjustment funds and performance adjustment funds. The Board of Regents shall authorize such division of funds for each of the four employee groups, recognizing that different circumstances and needs may lead to different proportions of maintenance adjustment funds and performance adjustment funds among the various employee groups and among the three universities. In no case shall the funds allocated to an employee group (faculty, professional, administrative, classified) be used to enhance the salaries of employees outside of that employee group.

The committee strongly recommends that representatives from all employee groups be consulted in arriving at the allocation of maintenance and performance adjustment funds.

16

E. Compensation Report

The president of each university shall submit a compensation report to the Board of Regents on or before August 1 of each year that includes the following:

1. Procedures used in the distribution of the maintenance adjustment funds and performance adjustment funds.
2. Number of faculty, professional, administrative and classified employees receiving various percentage increases (1%, 2%, 3% --- 10%, etc.) through the distribution of maintenance adjustment funds, by department or other organizational unit.
3. Number of faculty, professional, administrative and classified employees receiving various percentage increases (1%, 2%, 3% --- 10%, etc.) through the distribution of performance adjustment funds, by department or other organizational unit.

FACULTY AND STAFF QUESTIONNAIRE
ON
SALARY DETERMINATION PROCEDURES

Summary of Results

Faculty and staff opinions on current practice and possible alternatives for salary determination procedures were solicited by means of a questionnaire. A stratified random sampling procedure was used to ensure that the responses would be representative of all major elements within each category. Details of the sampling procedure are available from the Committee upon request.

A tabulation of the responses to each question is presented in the accompanying tables. Approximately 49% of the questionnaires were returned.

The major conclusions which emerge from this survey are: (a) the current system is perceived as unfair and not working well; (b) the University should establish written criteria for discretionary salary increases; (c) there should be faculty and staff input into the division of monies between discretionary and non-discretionary; (d) there should be faculty and staff input into the criteria for salary determination; (e) the University should consider pay scale steps within each rank or classification.

By substantial margins, both faculty and staff perceive existing salary determination procedures as being unfair and not working efficiently. Classified staff expressed stronger sentiments of dissatisfaction with the current procedures; nearly 85% of the staff is dissatisfied, 75% of the faculty find the current procedures unfair.

Sixty percent of all respondents, uniformly across categories, felt that the division between discretionary (e.g., merit) and non-discretionary (e.g., cost of living) monies should be done at the College or Department level, as opposed to University or Regents level. A slightly higher percentage wants the percentage of monies decided jointly by administrators and a committee of Faculty and Staff.

Faculty and staff are also in agreement that there should be written criteria for discretionary increases, with over 70% agreeing. A higher percentage (nearly 85%) also believe the University should have minimum guidelines for such criteria. Only 20% of each group thinks an administrator (central, college, or department level) should develop the criteria. Sixty percent favor a combination of employees and administrators for developing written criteria. The faculty and staff opinions differ on the level at which the written criteria should be established. While 40% of both groups favor the departmental level, 34% of the staff would prefer a university-wide level, but only 19% of the faculty agrees.

Differences of opinion also show up in the answer to the question of who should evaluate employee performance. Sixty-six percent of the staff favor a supervisor or other administrator, while only 35% of the faculty favor this. Forty-five percent of the faculty would prefer a combination of peer review and administrator, while only 26% of the staff would. A majority of both groups favor election of a committee, if a committee is used in salary determinations.

Both groups would like to see pay scale steps within each rank or classification, the staff being highly in favor (85%), the faculty less so (57%).

The faculty favored evaluation on an individual basis (52%) for relative weighting of teaching, research, and service in discretionary pay determination. Only 11% favored university-wide standards.

November, 1983

FACULTY/ACADEMIC PROFESSIONALS

-
1. I feel existing salary determination procedures work efficiently.
Agree strongly: 9
Agree: 68
Disagree: 88
Disagree strongly: 91
 2. I consider these procedures to be fair.
Agree strongly: 7
Agree: 55
Disagree: 104
Disagree strongly: 89
 3. At what level should monies be divided into discretionary or non-discretionary funds?
Board of Regents: 37
University-wide: 59
By college: 55
By department: 102
 4. Who should decide the percentage of monies to be allocated for discretionary and non-discretionary funds?
Administration: 40
Faculty/staff committee: 59
A & B jointly: 157
 5. Evaluations for discretionary increases should be based on explicit written criteria.
Agree strongly: 103
Agree: 95
Disagree: 44
Disagree strongly: 15
 6. The university should have minimum guidelines for such criteria.
Agree strongly: 90
Agree: 123
Disagree: 25
Disagree strongly: 15
 7. Who should be responsible for developing written criteria?
Central administration: 10
College dean: 23
Department head or director: 22
Peer committees: 66
Combination of employees & administration: 133
 8. At what level should such written criteria be established?
University-wide: 50
By college: 80
By department: 106
On an individual basis: 18
 9. Who should evaluate employee performance for discretionary increases?
Peer review committee: 44
Department head or director: 62
Immediate supervisor (if different than B): 29
Administration (dean or higher level): 17
A combination of peer review & administration: 195

CLASSIFIED STAFF

-
1. I feel existing salary determination procedures work efficiently.

Agree strongly:	<u>1</u>
Agree:	<u>44</u>
Disagree:	<u>120</u>
Disagree strongly:	<u>122</u>
 2. I consider these procedures to be fair.

Agree strongly:	<u>0</u>
Agree:	<u>44</u>
Disagree:	<u>(140) 140</u>
Disagree strongly:	<u>104</u>
 3. At what level should monies be divided into discretionary or non-discretionary funds?

Board of Regents:	<u>26</u>
University-wide:	<u>89</u>
By college:	<u>39</u>
By department:	<u>134</u>
 4. Who should decide the percentage of monies to be allocated for discretionary and non-discretionary funds?

Administration:	<u>28</u>
Faculty/staff committee:	<u>74</u>
A & B jointly:	<u>185</u>
 5. Evaluations for discretionary increases should be based on explicit written criteria.

Agree strongly:	<u>65</u>
Agree:	<u>144</u>
Disagree:	<u>64</u>
Disagree strongly:	<u>17</u>
 6. The University should have minimum guidelines for such criteria.

Agree strongly:	<u>78</u>
Agree:	<u>173</u>
Disagree:	<u>30</u>
Disagree strongly:	<u>9</u>
 7. Who should be responsible for developing written criteria?

Central administration:	<u>14</u>
College dean:	<u>6</u>
Department head or director:	<u>45</u>
Peer committees:	<u>26</u>
A combination of employees & administration:	<u>194</u>
 8. At what level should such written criteria be established?

University-wide:	<u>100</u>
By college:	<u>29</u>
By department:	<u>(110) 118</u>
On an individual basis:	<u>40</u>
 9. Who should evaluate employee performance for discretionary increases?

Peer review committee:	<u>21</u>
Department head or director:	<u>61</u>
Immediate supervisor (if different than B):	<u>127</u>
Administration (dean or higher level):	<u>5</u>
A combination of peer review & administration:	<u>76</u>

FACULTY/ACADEMIC PROFESSIONALS

Page -2-

10. If committees are used in salary determination procedures they should be:
- | | |
|-----------------------------------------|------------|
| Appointed by administration: | <u>25</u> |
| Appointed by department head: | <u>64</u> |
| Elected by peers (i.e. fellow workers): | <u>161</u> |
11. The U of A should create and implement a system of pay scale "step" within each rank/job classification.
- | | |
|--------------------|-----------|
| Agree strongly: | <u>59</u> |
| Agree: | <u>90</u> |
| Disagree: | <u>58</u> |
| Disagree strongly: | <u>49</u> |
12. For Faculty Use Only:

In evaluating individuals for discretionary increases, the relative weights of teaching, research & service should be:

Determined on an individual basis:	<u>124</u>
Standardized within department:	<u>53</u>
Standardized within the college:	<u>31</u>
Standardized within the University as a whole:	<u>27</u>

CLASSIFIED STAFF

Page -2-

10. If committees are used in salary determination procedures they should be:
- Appointed by administration: 32
 - Appointed by department head: 92
 - Elected by peers (i.e. fellow workers): 161
11. The U of A should create and implement a system of pay scale "step" within each rank/job classification:
- Agree strongly: 136
 - Agree: 116
 - Disagree: 29
 - Disagree strongly: 15

SURVEY OF DEANS, DIRECTORS AND DEPARTMENT HEADS

* (N = 74)

I. SALARY ADJUSTMENTS

1. When a pool of money is received, who determines the respective amounts and/or percentages allocated to each category?

N/A: 2
Department: 47
Dean: 18
VP: 7
Other: Both Dean and Head Supervisor

2. Are there written guidelines detailing procedures? If so, please attach copy.

Yes 12
No 65

3. Is a committee consulted? If so, committee name and composition.

Yes 13
No 59
Other: Senior Administrator only
Financial Committee

4. Does the vice president or dean ask department heads or directors to indicate dollar amounts or percentages to be given to individuals or ask for rankings?*

Yes 61
No 7

* Inconsistency in numbers due to multiple responses or absent responses.

**Question was obviously interpreted very differently by different people - some chose between the alternatives "Dean" and "Dept. Head", some chose between the alternatives "Dollar amounts" and "percentages", most indicated "yes" or "no".

SURVEY OF DEANS, DIRECTORS AND DEPARTMENTS HEADS
(U of A)

Summary

A survey has been taken of deans, department heads and directors (the "3D" list) in an attempt to determine what (if any) patterns exist in procedures for distributing merit pay.

Seventy-four individuals responded.* The results indicate that there is little, if any, consistency in these procedures.

Out of seventy-four respondents, only eight stated that their group utilized written guidelines. Merit pay criteria given in the questionnaire were usually couched in the most general terms. For instance, seventeen respondents suggested that merit increases were based on "superior performance" or similarly worded criteria. It was very difficult to draw any conclusions as to the activities an individual faculty member would actually have to pursue to get a merit increase. Fourteen respondents suggested that they used merit pay as a way of responding to "market conditions" in their academic discipline, an inappropriate use.

The decision making mechanism also varied greatly. In most units, faculty input was solicited only on an informal basis, if at all. A formal faculty committee to advise administrators was reported in only eight instances. Of 68 individuals who answered the question "Do your employees think the system is fair?", 26 (38%) said "no". Of 74 respondents, 21 (28%) thought the present system does not work effectively. Both these numbers seem surprisingly high, considering that the respondents are responsible for administration of the present system.

To summarize, there is no consistent pattern in the criteria or decision-making mechanism for the distribution of merit pay at the University of Arizona and little evidence of employee participation.

* The percentage of responses for total mailings cannot be determined in a meaningful way since there is a great deal of duplication in the "3D" list. The responses are believed to include the bulk of academic departments and colleges and the large administrative units are believed to be representative of all units at the University.

II. MERIT INCREASES

1. When a pool of money is received, who determines the respective amounts and/or percentages allocated to each?

N/A: 2
Department: 65
Dean: 14
VP: 7
Other: Both Dean and Head, Business Manager

2. Are there written guidelines? If so, please attach copy.

Yes 8
No 65

3. Is a committee consulted? If so, what is it?

Yes 8
No 62
Other: For appear only, Dept. Personnel Committee,
Business Manager

4. Does the Vice President or Dean ask Department Heads or Directors to indicate dollar amounts or percentages to be given to individuals or ask for rankings?

Yes 68
No 7

Survey of Deans, Directors and Department Heads

Page 2

5. What criteria are used in recommending adjustments?

Unknown Evaluation	4
Efficiency/effort	7
Responsibility	6
Market	26
Promotion/expenses	24
Performance	18

6. To whom does your unit forward its recommendations?

Dean:	49
VP:	15
Other:	Manager of TV station, Comtroller, Director

7. What was the total dollar amount of adjustment received by your unit for 1983-84?

\$ 0 - \$ 5K	6
6 - 10K	24
10 - 20K	10
20 - 40K	9
Over 40K	-0-

8. What percentage of your personnel in each category received salary adjustments?

%	Teaching/Research (Ch. VIII)	Academic Professionals (Ch. X)	Classified Staff
0-10	18	23	28
11-20	9	6	4
21-30	9	10	4
31-40	5	-	2
41-50	3	-	-
51-60	-	-	-
61-70	2	-	-
71-80	-	-	-
81-90	-	-	-
91-100	-	-	-

III. GENERAL QUESTIONS

1. Do you feel existing procedures work effectively?

Yes	50	(Yes, until this year.)
No	21	(No, not at University level but satisfied with the department procedure.)

2. To your knowledge, do your employees consider these procedures to be fair?

Yes	42
No	26

3. What changes would you like to see enacted that could effect significant improvements?

- ** 1. More time to decide priorities - 3
- 2. Need cost of living increase restored - 1
- ** 3. Need to eliminate cost of living increase - 3
- 4. Need incremental system - 1
- ** 5. Clear criteria for merit - 4
- ** 6. Flexible mid year adjustment
- ** 7. More flexibility in classified staff promotion decisions - 2
- ** 8. More equity between faculty and administrators - 2
- 9. Make a firm cost of living increase - the same year to year -
a base of 25% of employees get 10% increase - 2
- ** 10. More predictable budget - 2
- 11. Let faculty apply for merit rather than evaluate all - 1
- 12. When there is agreement on promotion - don't override - 1
- 13. Step system for staff (faculty?) with a merit of 5% each step.
(5-6 steps, say, per pay grade).
- ** 14. Less cost of living -- more merit - 3
- ** 15. More written guidelines - 2
- 16. More/better informal communication.

** Multiple responses

5. What criteria are used in recommending merit increases?

Supervisor Ratings	6
Efficiency/effort	12
Responsibility	6
Market	15
Promotion/expenses	19
Performance	18

6. To whom does your unit forward its recommendations?

Dean:	48
VP:	12
Other:	Manager of TV station, Comptroller, Director

7. What was the total dollar of merit money received by your unit for 1981-82?

\$ 0 - \$ 5K	24
6 - 10K	12
10 - 20K	9
20 - 40K	10
Over 40K	4

8. What percentage of your personnel in each category received merit increases?

%	Teaching/Research (Ch. VIII)	Academic Professionals (Ch. X)	Classified Staff
0-10	12	12	6
11-20	4	7	4
21-30	5	2	2
31-40	3	6	3
41-50	2	3	2
51-60	2	3	4
61-70	1	-	-
71-80	-	1	7
81-90	6	2	7
91-100	4	4	2

FACULTY SALARY PROCEDURES
AT SELECTED INSTITUTIONS

Summary of Responses

The accompanying table summarizes the 16 responses to the 19 requests made from other institutions. Comparisons of salary adjustments and merit raise procedures among these institutions is made difficult by the fact that several have uniform salary step scales which are used in part for merit and adjustment. These are noted in the table.

We have attempted to indicate in the table whether salary increases are based entirely on merit, as opposed to including cost-of-living increases, who makes the decision and at what level, whether there is a faculty committee which reviews the budget, information on the existence of written guidelines, faculty input into these guidelines, and access to the results.

Since state legislatures often mandate part of the salary monies to be cost-of-living increases, only a few institutions designated the salary adjustments to be based on merit only. Most institutions had some sort of faculty input into the salary decision process. A majority of the institutions have a faculty committee which reviews or makes input on the division of the salary portion of the budget. A majority also had faculty input into the guidelines used for salary adjustments.

Many of the institutions had decentralized procedures for salary determinations, so that the decisions are made at the college or departmental level. The most elaborate procedures were those of the University of California system, where faculty input into the decision-making process is mandated by the Regents. It is interesting to note that there is a strong positive correlation between the openness of the salary decision-making process and the academic ranking, using, for example, the National Academy survey of academic institutions.

FACULTY

INSTITUTION	DECISIONS					GUIDELINES			COMMENTS
	Merit only	Admin only	Admin. level of decision			written	Faculty input to guideline	Faculty sees report	
			Dept.	Dean	Faculty comm. input				
CALIFORNIA									
Berkeley (salary step scale)	no	no	recomm →	chancellor ✓	yes	yes	yes	yes	Faculty consultation required by Regents for California system. Scale fixed by survey of eight institutions (Yale, Stanford, Harvard, Cornell, Michigan, Illinois, Wisconsin, SUNY). Elaborate, many-level committee system.
Davis (salary step scale)	no	no	recomm →	✓	yes	yes	yes	yes	
Los Angeles (salary step scale)	no	no	recomm →	chancellor ✓	yes	yes	yes	yes	
San Diego (salary step scale)	no	no	recomm →	✓	yes	yes	yes	yes	
COLORADO									
Boulder (salary step scale using AAU data)	yes	?	recomm →	allocation made to Dept. president ✓	?	?	?	?	
FLORIDA									
-unionized- (scale set thru union)	no		recomm →	✓	-union input-	yes	yes	union input	each unit determines policy
ILLINOIS									
Urbana	yes	yes*	✓	reviews	yes	no	* ?	* ?	
MICHIGAN									
Ann Arbor	yes	?	✓	reviews	?	yes	?	yes	also decentralized
MINNESOTA									
	yes	no	recomm →	✓	In some units	yes	?	?	decentralized to college level
PENN STATE	no	yes	recomm →	✓	local opinion	no	no	no	senate now looking into the procedure
PURDUE	no	yes*	✓	reviews	local opinion	no	* ?	* ?	colleges control procedure
OHIO STATE	no	no	recomm →	✓	yes	yes	?	yes	*units determine policy
OREGON STATE	no	no	recomm →	pres. ✓	?	yes	yes	yes	faculty consultation required by Regents
TEXAS									
Texas A&M	no	yes	advisory	✓	no	no	?	no	decisions reviewed by University-level comm.
Austin	no	no	recomm →	pres. ✓	yes	*	?	yes	no faculty senate
WISCONSIN	no	no	exec. comm.	reviews	yes	?	?	?	*all full professors form budget council

CLASSIFIED STAFF SALARY PROCEDURES
AT SELECTED INSTITUTIONS

Summary of Responses

The Committee wrote to 19 institutions and received replies from nine (of the 19, four were in the UC system; three of these sent a combined response and one (San Diego) sent an individual response). All respondents have some designated system for distributing cost of living and merit increases but none offers to staff the opportunity to participate in these determinations except at those universities where staff have chosen to affiliate with a union and the union thus has become the bargaining agent with the institution. Six of the schools have collective bargaining representation and one is under a state civil service plan. In each case, following the appearance of a union, formal guidelines were written for staff detailing job classifications and procedures for moving upward on the pay scale.

It is reported (by AFSCME) that the California Board of Regents spent \$3,000,000 in their unsuccessful effort to keep the union off campus. Such effort and expense will be unnecessary at the U of A if minor changes are made in the present system to allow staff to be represented in the determination of matters that directly affect them and their role in the total University system. Far less money would be needed to initiate an open process of reclassification of staff and to meet the University's salary obligations following reclassification.

Institution	Merit, Cost of Living or Comb. of All	Staff Input Into Budget for Salaries	Written Guidelines for Staff	Guidelines Available To All Staff	Level of Adjustment Decisions	Individual Staff Able to Review Decisions	Staff Input Into Guidelines	Staff Committee on Salaries
University of Missouri	Coll. barg. and merit	Yes	No - all adjustments are based upon economics, coll. barg. and employee expectations	No	Supervisor	Yes	No	Collec. Bargain.
University of Washington	Civil Service System - pay steps and cost-of-living	No	Very detailed on pay scale steps and salary scales No mention of merit	Yes	Supervisor	Yes - after 6 months of employment	No	Civil Service system; representation through union
University of Calif. State-wide system	Dealing with merit	No	Yes - very detailed on who, when and how	Yes	Supervisor to personnel to Vice-Chancellor	Yes	No	Collective bargaining (1983)
University of Massachusetts	Merit	No	Yes - rewritten each merit period. Very detailed and explanatory	Yes	Head of each professional unit	N/A	No	No - but some staff under collec. bargain.
University of Michigan	Step increase and merit	No	Only duties of each job classification	Yes	Personnel office with recomm. from unit head	Yes - staff member is consulted	No	Only as far as changes in salary scales
U. C. San Diego	Cost-of-living step increase merit twice a year reviews	Yes - staff on U.C. fiscal committee	Yes - duties of each job classification plus paragraph about outstanding merit	Yes	Department heads	Only if not granted a merit increase for the 2nd time	Yes New in 1983	Collective bargaining (1983)
Pennsylvania State University	Only increase is by movement on pay scale through productivity	No	Only pertaining to job classification and pay scale	Yes	Supervisor	Yes	No	No - admin. input only

Institution	Merit, Cost of Living or Comb. of All	Staff Input Into Budget for Salaries	Written Guidelines for Staff	Guidelines Available To All Staff	Level of Adjustment Decisions	Individual Staff Able to Review Decisions	Staff Input Into Guidelines	Staff Committee on Salaries
Oregon State University	Cost-of-living through coll. barg. merit through pay steps	Only through coll. barg.	Yes - performance eval. system. Must rate in 1 or 2 on a scaled rating system	Yes	Next highest level staff member	Yes	Yes	Through coll. bargaining
Texas A&M University	Combination	No	Only dealing with general classifications	No - After 6 months of employment	Director of Personnel	Yes	No	No - Admin. input only
Michigan State University	Coll. barg. merit	No	No - decision is left solely to Director of Personnel	N/A	Supervisor of unit	No	No	Collective bargaining for all staff



THE UNIVERSITY OF ARIZONA
TUCSON, ARIZONA 85721

CHAIRMAN OF THE FACULTY

*Put at each senator's post
prior to Nov. 21, 1983
Meeting*

18 November 1983

MEMORANDUM

TO: Members of the Faculty Senate
FROM: Senate Ad hoc Committee on Salary Procedures
SUBJECT: Salary Adjustment Procedures

Our deliberations have been documented in part in the materials attached to our memorandum of November 10, 1983. This statement contains our recommendations on how the Faculty Senate should address the issues involved.

There are two major subjects we believe should be addressed separately. The first and more timely is the statement to the Board of Regents concerning overall policy on salary adjustment procedures. This policy will cover all three Arizona institutions. The second is the specific plan which the University of Arizona should use in implementing the Board of Regents' policy.

At the November 21 meeting, the Faculty Senate should formulate its transmissions to the Board of Regents concerning the general policy on salary adjustments and the policies on evaluation for each of the four employee groups. We also recommend that the Senate consider only the mechanism it will use for addressing the specific implementation of the Regents' policy on the University of Arizona campus. We do not believe it would be fruitful for the Senate to deliberate any specifics of the implementation plan at this time. Instead, it should concentrate on advising the Board of Regents.

EXPLANATION

The Ad hoc Committee on Salary Determination Procedures was established in accordance with a resolution adopted by the Faculty Senate at its June 29, 1983 special meeting. The committee included representatives from the faculty (including academic professionals), administration and classified staff at the University. The University representatives to the Regents' Compensation Plan Task Force have acted as consultants to the committee.

To provide a broad background for its work, the Committee solicited information from University of Arizona deans, directors and department heads; leading Class I public research universities; and a representative sample of the University of Arizona faculty and staff. The results are included in three appendices attached to the Committee's November 10 memorandum.

MEMORANDUM

TO: Members of the Faculty Senate
November 18, 1983
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Throughout its deliberations, the Committee dealt exclusively with principles and procedures for determining salaries of employees at the University as a whole. It has not concerned itself with actual salary structures or special issues affecting particular employee groups (e.g., minorities or women); since these issues were not within the Committee's charge. The Committee believes that the establishment of sound procedures is the key to obtaining equitable results.

The Committee has held the view that the policies developed by the Regents should be sufficiently broad and flexible to cover the three-university system, and to allow each individual university to develop its own implementation procedures adapted to its specific circumstances.

We consider it especially important that all affected employee groups be represented in establishing such procedures at all levels-- university, college and department.

The Committee's main specific task has been to interact with the Regents' Compensation Plan Task Force, through its University of Arizona representatives; to receive explanations of the Task Force's various draft reports; and to submit suggestions for additions, deletions and changes in these drafts.

The Committee believes that the Regents' Task Force made significant progress toward incorporating a set of sound management principles in its successive draft reports. We feel, however, that the October 14 draft version, currently being circulated for comment, falls short of a fully acceptable policy in two major areas:

- . First, the language used in the Policy on Evaluation of Classified Staff continues the treatment of employees in this class as unequal members of the University community. such treatment runs counter to the basic goal of offering all University employees a work environment conducive to strong performance and reward of excellence.
- . Second, the proposed Regents' Policy on Salary Adjustments, which appears in the October 14 draft for the first time, does not provide for any participation of affected employee groups in making key decisions affecting their welfare. There is a widespread impression that salary adjustments at the University have been marked by misuse and inequities. The Committee believes that salary adjustment procedures must follow the same basic principles as those established for merit raises if the results are to be accepted as credible and fair.

The changes which the Committee recommends in the Regents' Task Force draft report are designed to correct these major deficiencies, (as well as a number of subsidiary weaknesses).

MEMORANDUM

TO: Members of the Faculty Senate
November 18, 1983
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To enumerate the principles we believe essential to a sound compensation policy, the committee proposes to the Faculty Senate the following:

RESOLUTION

- Whereas*
- a) Salary policies are the most basic tool available for promoting quality education and excellence in research;
- Whereas*
- b) Faculty and staff participation in determining the division of salary adjustment monies is required to achieve the goals and purposes of the universities, and constitutes good management practices;
- Whereas*
- See P. 160* c) The primary purpose of employee evaluations is enhanced employee performance, and ^{and} faculty and staff participation in all aspects of this process is ~~thus~~ essential;
- Therefore* *Salary compensation procedures*
- d) Each institution should establish (within the broader Regents' policy) written guidelines designed to meet its specific needs;
- Therefore*
- e) All employee groups should be represented in developing salary determination guidelines at each administrative level, and peer review should be accepted as an integral part of the process;
- Therefore*
- f) In order to avoid any perceptions of unfairness, each of the four groups of employees (Faculty, Professionals, Classified Staff and Administrators) should receive the same percentage increase in salary adjustment;
- Therefore*
- g) Since inflation continues to be a large concern of most employees, there should be a separate category of funds for cost of living adjustments, separate from other maintenance and performance components, such as market and equity adjustments;
- Therefore*
- h) Maintenance funds should be targeted to categories of employees, and individual adjustments should be performance based.

The committee proposes that the Faculty Senate take the following actions:

1. Approve the Resolution and ask the Presiding Officer of the Faculty Senate to forward it to the Board of Regents with a transmittal letter giving a summary of the background;
2. Endorse the changes, additions and deletions in the Report

MEMORANDUM

TO: Members of the Faculty Senate

November 18, 1983

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of the Board of Regents Compensation Plan Task Force, transmitted to the Faculty Senate with the Committee's memorandum dated November 10, 1983, and ask the Presiding Officer to transmit them to the Regents;

3. Request President Koffler and the University of Arizona members of the Regents Compensation Plan Task Force to urge the Board of Regents to incorporate these changes into the final version of its Compensation Plan;
4. Charge an appropriate committee of the Faculty Senate with developing procedures for implementing the Board of Regents Plan at the University of Arizona, in a manner reflecting the specific needs of the University, and in accordance with the expressed desires of University of Arizona faculty and staff. Such a committee should submit its recommendations to the Faculty Senate for discussion at its February, 1984 meeting.



THE UNIVERSITY OF ARIZONA
TUCSON, ARIZONA 85721

*Distributed to Faculty
Senate Members prior
to Nov. 21, 1983 Senate
Meeting*

FACULTY SENATE

Date: November 10, 1983

Memo to: Members, University of Arizona Faculty Senate

From: Ad Hoc Committee on Salary Determination Procedures

Subject: Committee Report

Here is the Committee's report. It consists of the following items:

Item I. Changes in the Report of the Regents Compensation Plan Task Force proposed by the Ad Hoc Committee. The changes have been inserted in the text in photo-reduced type.

Item II. Appendixes:

- A. Results of the Poll of UA Faculty and Staff
- B. Results of the Survey of UA Deans, Directors and Department Heads
- C. 1. Faculty Salary Procedures at Selected Institutions
- C. 2. Classified Staff Salary Procedures at Selected Institutions

The Committee is preparing a set of resolutions for consideration by the Senate at its November 21 meeting. Copies will be on your desks at that time.

Members

- L. Beutler, Psychiatry
- B. Epstein, Home Economics Extension
- M. Farr, Nuclear and Energy Engineering
- H. Frank, Economics (chairman)
- J. D. Garcia, Physics
- *D. Haskell, Fine Arts
- D. Irving, Fine Arts
- G. Peterson, Electrical Engineering
- B. Ross, French and Italian
- E. Sherberg, University Instruments Shop

Consultants

- N. Hasselmo, Administration
- J. King, Educational Psychology
- G. Munsinger, Administration
- C. Sakwa, Administration

*
Alternate

October 25, 1983

TO: Members, Arizona Board of Regents
FROM: Robert A. Huff *RAH*
Executive Director
SUBJECT: Report from the Compensation Plan Task Force

I. STATEMENT OF ISSUE

The Compensation Plan Task Force met on Tuesday, October 18 and continued its work in developing draft policies on employee evaluation and distribution of salary enhancement funds provided by the Legislature. A report to the Legislature prior to January 1 is a requirement of Senate Bill 1191. In order to meet this deadline, Board action on the final draft of the policies must be taken at the December Regents' meeting.

II. DESCRIPTION/BACKGROUND

The attached draft document contains six separate policies:

1. Statement of guiding principles and elements that have governed the development of evaluation documents for each employee group
2. Policy on Evaluation of Faculty
3. Policy on Evaluation of Professional Staff
4. Policy on Evaluation of Administrators
5. Policy on Evaluation of Classified Staff
6. Policy on Salary Adjustments

While the evaluation policies for the four groups of employees have many similar elements, each is unique in some respects and thus it was felt that a separate policy for each group was appropriate. In addition, if the procedures pertaining to a particular group of employees are found to be less than satisfactory, that specific policy can be changed by virtue of having four separate policy statements without affecting the policies related to other employee groups. Also, it will be simpler for an employee to understand the evaluation policy pertaining to his particular position if he/she is not encumbered by having to sort through a larger document that contains many special provisions for other employees in other employee groups.

II. DESCRIPTION/BACKGROUND (continued)

These draft policies are placed before the Board of Regents at the November meeting so that all Regents can be aware of the direction that is being suggested and may have an opportunity along with university personnel to make additional input so that a final document can be prepared for the December Board meeting.

III. ALTERNATIVES

N/A

IV. RECOMMENDATION

It is recommended that the Board review the draft policy documents and provide further direction to staff and the Compensation Task Force Committee concerning additional work to be accomplished prior to the December Board of Regents' meeting.

vb
attachments

DRAFT

PRINCIPLES AND ELEMENTS OF PERFORMANCE EVALUATION POLICIES FOR THE ARIZONA UNIVERSITY SYSTEM

Add the word "Employee" to the title (before "Performance").

Explanation:

The present title implies that it is the Arizona University System which will be evaluated.

1. A necessary ^{Responsibility} part of university administration is the assessment of the performance of each individual in promoting successful achievement of departmental/organizational/divisional goals and objectives in support of the university's mission.
2. Given the varied and specialized nature of university employee responsibilities, employee participation in the preparation of evaluation guidelines and in the evaluation review process is essential. The evaluation systems implemented on each campus should permit sufficient flexibility to adapt procedures to departmental/organizational/divisional circumstances.
3. Assessment of performance is a necessary tool in determining an employee's right to continuation of employment and a level of compensation that provides adequate recognition for results achieved.

Change underlined phrase to "...determining the level of an employee's compensation that provides..."

Explanation:

As it stands, the wording conflicts with established policies on faculty tenure and continuing appointment.

4. Evaluation systems should promote employee effectiveness through an articulation of the types of contributions employees might make to the university community.
5. Performance evaluations should illuminate the special talents, capabilities, and achievements of employees.
6. Performance evaluation policies should contain the following elements:
 - a. Employee performance should be reviewed on a scheduled basis at least once every twelve months.

- b. Performance evaluation documentation should minimally consist of:
- Evaluation criteria, developed with participation by employees, that express performance expectations.
 - Employee performance assessment by, but not necessarily limited to, the department head.
- c. A discussion with the employee regarding past performance and future expectations should occur and a written statement recording the sense of this discussion should be provided to the employee.

Add to end of sentence: "The employee will be invited to record his/her comments to the statement."

Explanation:

Without this clause, employee rights would not be adequately safeguarded.

- d. A procedure by which the employee may request a review of his/her performance evaluation.

11/4/83

BOARD OF REGENTS' POLICY ON EVALUATION OF FACULTY

A. Faculty Performance Evaluation Philosophy

1. The Arizona Board of Regents recognizes the need for a faculty performance evaluation system that identifies, assesses and enhances performance. It is essential that the evaluation process incorporate guidelines relevant to the achievement of the traditional academic goals and objectives of teaching, research and professional service while recognizing the unique nature and diversity of the universities. To this end, it is necessary that guidelines be established and evaluations conducted in a manner that is flexible enough to serve the particular mission, objectives, and needs of the respective universities, their colleges and departments.
2. It is further recognized that faculty evaluation is a peer-participatory, cooperative and continuing process intended to assess and enhance the performance of academic personnel. Given the nature of the varied academic responsibilities and the specialization both between and within disciplines, the faculty evaluation process should provide for faculty participation in the preparation of evaluation guidelines and must necessarily presuppose a high degree of confidence in the faculty and their ability to fairly judge each other. Therefore, the evaluation process should be as localized as possible in order to adapt procedures to individual or departmental circumstances.
3. The faculty performance evaluation procedures should pursue the following objectives:
 - a. To involve faculty in the design and evaluation of objectives and goals of their academic programs and in the identification of the performance expectations central to their own personal and professional growth.
 - b. To assess actual performance and accomplishments in the areas of teaching, research and professional service through the use of peer review.
 - c. To promote the effectiveness of faculty members through an articulation of the types of contributions they might make to the university community that will lead to greater personal and professional rewards.
 - d. To provide a written record of faculty performance to support such personnel decisions as retention, promotions, tenure, sabbatical leave, merit increases, transfers and re-employment.

Add the word "reassignment" to the list of personnel decisions.

- e. To recognize special talents, capabilities and achievements of faculty members.

B. General Policy

It is the policy of the Arizona Board of Regents that faculty shall be evaluated on their performance in accordance with the following guidelines:

1. Faculty shall have their performance, personal progress and future potential formally reviewed on a scheduled basis at least once every twelve months.
2. Elements of the evaluation shall include, but shall not be limited to:
 - a. Written evaluation criteria, developed through faculty participation in each department, college or division, expressing the performance expectations for faculty members therein. Procedures and instruments for evaluation of faculty members on each criterion shall be developed by the departments, the colleges and the universities. Criteria for merit awards must consider teaching effectiveness, research and scholarly growth, and professional service. Evaluation criteria may provide for recognition of long-term faculty activities and outcomes. Guidelines and evaluation procedures within departments shall be flexible enough to meet the particular objectives of the department without undermining the uniformity of the whole system. When teaching effectiveness is evaluated a systematic assessment of student opinion shall constitute one component of the evaluation.

Change underlined phrase to read "service to the university, community and larger scholarly community."

- b. An assessment of the faculty member's performance, including both peer review and assessment by the department administrator and/or other appropriate administrators, shall be conducted.
- c. The evaluation of the faculty member's past performance and expectations for the future will be discussed with him/her. A written statement recording the sense of this discussion will be provided to the faculty member.

Add to end of sentence "and the faculty member will be invited to provide his/her comments to the statement."

- d. Each university shall establish a procedure by which a faculty member who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

Change underlined phrase to: "at the next administrative level" to "by a committee of his/her peers."

Explanation:

Administrative review occurs automatically but may not resolve issues causing disagreements. Only a peer review can accomplish this.

BOARD OF REGENTS' POLICY ON EVALUATION OF PROFESSIONAL STAFF

In title change "Professional Staff" to "Professional Employees" or "Academic Professionals."

Identical changes should be made everywhere the word "staff" is used i.e. in the first line of A.2, the first line of A.3, the first line of 3.a, and 3.c, 3.d, the second line 3.e., the first line of B. and B.1., lines 2 and 4 of 2.a., line 1 of 2.b. and 2.c., and line 2 of 2.d.

Explanation:

Reference to professional "staff" is inappropriate, in conflict with existing policies and practices at the University of Arizona, and may cause confusion with classified staff.

A. Professional Staff Performance Evaluation Philosophy

1. The Arizona Board of Regents recognizes the need for a professional employee performance evaluation system that identifies, assesses, and enhances performance. It is essential that the evaluation process incorporate guidelines relevant to the achievement of specific program goals and objectives while recognizing the unique nature and diversity of each university. To this end, it is necessary that guidelines be established and evaluations conducted in a manner that is flexible enough to meet the particular needs of the respective universities, their departments and programs.

Insert the following phrase on line 5 after "objectives"; "teaching, research or professional service, as appropriate to the employee's assignment."

Explanation:

The Committee urges that the language of the section for professionals parallel that of faculty as closely as possible.

2. The Board further recognizes that professional staff evaluation is an employee-participatory, cooperative and continuing process intended to assess and enhance the performance of professional personnel. Given the nature of the varied professional responsibilities, and the specialization both between and within programs, the professional evaluation process must presuppose a high degree of confidence in the professional staff through the incorporation of professional staff participation in the preparation of evaluation guidelines and in the evaluation review process. The evaluation system should permit sufficient flexibility to adapt procedures to individual or organizational unit circumstances.
3. The professional staff performance evaluation procedures should pursue the following objectives:
 - a. To involve professional staff in the design and evaluation of objectives and goals related to their program areas and their own personal and professional growth.
 - b. To assess actual performance and accomplishments in the areas of their responsibilities through a cooperative review process.

Add to end of sentence: "that shall involve peer review."

- c. To promote the effectiveness of professional staff through an articulation of the types of contributions they might make to the university community that will lead to greater personal and professional rewards.
- d. To provide a written record of professional staff performance to support personnel decisions such as retention, merit increases, transfers and re-employment.

Cross out the word "and" in last line and add to end of sentence "and promotions, continuing appointment and sabbatical leave".

Explanation:

Many academic professionals at the University of Arizona have these included in their position descriptions currently.

- e. To recognize special talents, capabilities and achievements of professional staff.

B. General Policy

It is the policy of the Arizona Board of Regents that professional staff shall be evaluated on their performance in accordance with the following guidelines:

1. Professional staff shall have their performance, personal progress and future potential formally reviewed on a scheduled basis at least once every twelve months.
2. Elements of the evaluation shall include, but shall not be limited to:
 - a. Written evaluation criteria, developed through participation of the professional staff that express performance expectations. Procedures and instruments for evaluation of professional staff shall be developed by the departments or organizational units. Evaluation procedures within organizational units shall be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.

Change language to parallel that of faculty statement. Add at the end: "Criteria for merit should consider, as applicable, one or more of the following: teaching effectiveness, research and scholarly growth, and service to the University and community."

- b. An assessment of the professional staff member's performance shall include, but shall not necessarily be limited to, an assessment by the unit administrator

Add to end of sentence "and peers".

- c. The evaluation of the professional staff member's past performance and expectations for the future shall be discussed with him/her. A written statement recording the sense of this discussion shall be provided to the professional staff member.

Add to end of sentence: "with the opportunity provided for the employee to record his/her comments to the statement".

- d. Each university shall establish a procedure by which a professional staff member who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

1. Change the word "reviewed" to "appealed".
2. Change word "administrative" ^{to} "appropriate" level.

Explanation:

The "next appropriate level" may not be the most appropriate in all cases.

BOARD OF REGENTS' POLICY ON EVALUATION OF ADMINISTRATORS

A. Administrative Performance Evaluation Philosophy

1. The Arizona Board of Regents recognizes the need for an administrative performance evaluation system which identifies, assesses, and enhances performance. It is essential that the evaluation process incorporate guidelines relevant to the achievement of administrative programs and departmental goals while recognizing the unique nature and diversity of each university. To this end, it is necessary that guidelines be established and evaluations conducted in a manner that is flexible enough to meet the particular mission, objectives, and needs of the respective universities, their departments and programs.
2. The Board further recognizes that administrative staff evaluation is an employee-participatory, cooperative and continuing process intended to assess and enhance the performance of administrative personnel. Given the nature of the varied and specialized administrative responsibilities, the administrative evaluation system must incorporate a high level of administrative staff participation in the preparation of evaluation guidelines and in the evaluation review process. The system should permit sufficient flexibility to adapt procedures to organizational unit circumstances.
3. The administrative staff performance evaluation procedures should pursue the following objectives:
 - a. To involve administrative staff in the design and evaluation of objectives and goals related to their departments or divisions and their own personal and professional growth.
 - b. To assess actual performance and accomplishments in the areas of each employee's responsibility through a cooperative review process.

Add at the end of the sentence: "which includes staff and faculty participation".

- c. To promote the effectiveness of administrative staff through articulation of the types of contributions they might make to the university community that will lead to greater personal and professional rewards.
- d. To provide a written record of administrative staff performance to support personnel decisions such as retention, merit increases, increases, transfers and re-employment.

In last line delete word "increases" and insert "promotions".

- e. To recognize special talents, capabilities and achievements of administrative staff.

B. General Policy

It is the policy of the Arizona Board of Regents that administrative staff shall be evaluated on their performance in accordance with the following guidelines:

1. Administrative staff shall have their performance, personal progress and future potential formally reviewed on a scheduled basis at least once every twelve months.
2. Elements of the evaluation shall include, but shall not be limited to:
 - a. Written evaluation criteria, developed through participation of the administrative staff, that express performance expectations. Procedures and instruments for evaluation of administrative staff shall be developed by the department or organizational unit. Evaluation procedures within units shall be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.
 - b. An assessment of the administrative staff member's performance shall include, but shall not necessarily be limited to, an assessment by the unit administrator.
 - c. The evaluation of the administrative staff member's past performance and expectations for the future shall be discussed with him/her. A written statement recording the sense of this discussion shall be provided to the administrative staff member.
 - d. Each university shall establish a procedure by which the administrative staff member who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

11/4/83

BOARD OF REGENTS POLICY ON EVALUATION OF CLASSIFIED STAFF

General Comment: The classified staff section perpetuates the treatment of employees in this class as inferior members of the University community. The Committee believes that such an attitude runs counter to the basic goal of offering all University employees a work environment conducive to strong performance and reward of excellence. Staff members have a right to expect that, in addition to receiving a pay check, they will have a voice in determining decisions affecting them vitally.

A. Classified Staff Performance Evaluation Philosophy and Purpose

1. It is the philosophy of the Arizona Board of Regents that a performance evaluation system is a necessary ingredient of a work environment that promotes optimum classified staff performance.
2. The Board recognizes the need for a classified staff performance evaluation system that identifies, measures and develops the performance of employees. It is essential that the evaluation system focus on the establishment and attainment of identifiable job-related goals and objectives.

line 2: after "evaluation system", add: "developed with staff participation, that accurately..."

3. The Board further recognizes that classified staff evaluation is a cooperative and continuing process intended to assess employee performance. An evaluation system should promote the interaction of the employee and supervisor in identifying and reviewing general and specific job responsibilities and the environment in which they are to be accomplished. This philosophy incorporates the following objectives:

line 3: change "focus" to "be based".

- a. To establish and communicate standards of performance in relation to the duties and responsibilities of the employee's position.
- b. To assess actual performance and accomplishments against the standards, duties and responsibilities of the employee's position.
- c. To promote the effectiveness of classified staff employees through the clarification of roles and expectations.

lines 1-2: strike "through the clarification of role expectations".

Explanation:

This phrase dilutes the primary objective and adds nothing meaningful.

- d. To foster communication between the employee and supervisor in order to identify employee potential and interests and to assist employees in achieving their career goals.

Replace "foster" by "encourage". Strike "in order to".

- e. To provide a written record of employee performance in support of personnel decisions such as promotions, transfers, merit increases, reassignment, re-employment and disciplinary actions.
- f. To recognize special talents, capabilities and achievements of classified staff.

B. General Policy

It is the policy of the Arizona Board of Regents that classified staff employees shall be evaluated on the performance of their duties in accordance with the following guidelines:

1. Classified staff shall have their job performance, personal progress and future potential formally reviewed and discussed with them on a scheduled basis at least once every twelve months.
2. Documentation of the evaluation shall consist of but shall not be limited to:
 - a. Specific, predetermined, standards of performance related to the duties and responsibilities of the employee's position.
 - b. An evaluator(s) assessment of actual performance and accomplishments.

Replace present wording by: "A supervisor's or other appropriate evaluator's assessment of actual performance and accomplishments." Omit balance of paragraph.

Explanation:

The immediate supervisor may not be a person in a good position to evaluate the employee's performance fully (e.g., where a secretary performs duties for several faculty members).

- c. An evaluator(s) determination of an overall performance evaluation rating.

Change to: "A supervisor's or other appropriate evaluator's overall...."

3. The performance evaluation shall be discussed with and a copy provided to the classified staff employee.
4. Each university shall establish a procedure by which the classified staff employee who disagrees with the evaluation may request that his/her performance evaluation be reviewed at the next administrative level.

Change "next administrative" to "next highest appropriate."

Explanation:

The next immediate level is not always in the best position to perform the review.

BOARD OF REGENTS' POLICY ON SALARY ADJUSTMENTS*

A. General Policy

It is the policy of the Arizona Board of Regents that each of the Arizona universities shall establish and maintain an equitable system of compensation as a means of attaining and promoting excellent performance by faculty, professional employees, administrators and classified staff. To this end, the universities shall operate within a Board approved salary adjustment plan that provides for rewarding employees in recognition of satisfactory and above satisfactory performance and provides for a fair and equitable process by which other salary adjustment considerations are resolved. Monies appropriated and identified by the Legislature as funds to be used by the universities for salary adjustments shall be divided and distributed under guidelines applicable to two categories: (1) maintenance adjustment funds; and (2) performance adjustment funds.

The Committee members believe unanimously that a four category classification be used (Faculty, Professionals, Administrators and Classified Staff). This is the only way to ensure that all employees know that their group will receive the same percentage increase in total earnings as all other classes.

B. Maintenance Adjustment Funds

In order to maintain an on-going compensation plan on each of the campuses that is effective and equitable, the universities shall continually assess the need for maintenance adjustments. Such adjustments shall include: (1) market adjustments; (2) equity adjustments; (3) inflation adjustments; and (4) promotion and reclassification adjustments. Each university shall determine the amount of maintenance adjustment funds needed each year for each of the four employee groups and shall request that the Board of Regents set aside such an amount from the total funds made available by the Legislature for salary adjustment purposes.

The Committee urges that the "inflation" adjustment be shown separately from other Maintenance factors, i.e., that the Maintenance component be divided into separate items, both clearly visible.

The Committee advocates that a clear distinction be drawn between merit increases and market adjustment factors. While the conceptual basis of these two elements is well established, there is evidence that, in practice, the distinction has been blurred, and that serious abuses of merit and equity considerations have occurred as a result.

*Dean Irving and Dean Haskell did not participate in Committee deliberations on the Regents proposals.

C. Performance Adjustment Funds

Performance adjustment funds shall be distributed on the basis of an assessment of employee performance. Formal performance evaluation plans administered at the departmental or other organizational unit level at each university shall provide the documentation for performance adjustment awards to employees in each of the four groups. Each university shall implement a Board approved performance evaluation system prior to March, 1984.

Decisions related to the distribution of faculty performance adjustment funds shall be made in accordance with university policies and procedures developed in consultation with the faculty and approved by the president. Such rules and procedures may provide for recognition of long-term faculty activities and outcomes.

The committee strongly endorses the development of University policy and procedures by a committee consisting of representatives from administration and all employee groups.

D. Procedures

After the Legislature has determined the amount of funds appropriated to each university for salary adjustment purposes, each institution shall allocate the available funds to each of the four employee groups (faculty, professional, administrative, classified) in proportion to their share of the salary base of that university. Each university shall then submit to the Board of Regents a plan for dividing the funds allocated to each of the four employee groups between maintenance adjustment funds and performance adjustment funds. The Board of Regents shall authorize such division of funds for each of the four employee groups, recognizing that different circumstances and needs may lead to different proportions of maintenance adjustment funds and performance adjustment funds among the various employee groups and among the three universities. In no case shall the funds allocated to an employee group (faculty, professional, administrative, classified) be used to enhance the salaries of employees outside of that employee group.

The committee strongly recommends that representatives from all employee groups be consulted in arriving at the allocation of maintenance and performance adjustment funds.

E. Compensation Report

The president of each university shall submit a compensation report to the Board of Regents on or before August 1 of each year that includes the following:

1. Procedures used in the distribution of the maintenance adjustment funds and performance adjustment funds.
2. Number of faculty, professional, administrative and classified employees receiving various percentage increases (1%, 2%, 3% --- 10%, etc.) through the distribution of maintenance adjustment funds, by department or other organizational unit.
3. Number of faculty, professional, administrative and classified employees receiving various percentage increases (1%, 2%, 3% --- 10%, etc.) through the distribution of performance adjustment funds, by department or other organizational unit.

FACULTY AND STAFF QUESTIONNAIRE
ON
SALARY DETERMINATION PROCEDURES

Summary of Results

Faculty and staff opinions on current practice and possible alternatives for salary determination procedures were solicited by means of a questionnaire. A stratified random sampling procedure was used to ensure that the responses would be representative of all major elements within each category. Details of the sampling procedure are available from the Committee upon request.

A tabulation of the responses to each question is presented in the accompanying tables. Approximately 49% of the questionnaires were returned.

The major conclusions which emerge from this survey are: (a) the current system is perceived as unfair and not working well; (b) the University should establish written criteria for discretionary salary increases; (c) there should be faculty and staff input into the division of monies between discretionary and non-discretionary; (d) there should be faculty and staff input into the criteria for salary determination; (e) the University should consider pay scale steps within each rank or classification.

By substantial margins, both faculty and staff perceive existing salary determination procedures as being unfair and not working efficiently. Classified staff expressed stronger sentiments of dissatisfaction with the current procedures; nearly 85% of the staff is dissatisfied, 75% of the faculty find the current procedures unfair.

Sixty percent of all respondents, uniformly across categories, felt that the division between discretionary (e.g., merit) and non-discretionary (e.g., cost of living) monies should be done at the College or Department level, as opposed to University or Regents level. A slightly higher percentage wants the percentage of monies decided jointly by administrators and a committee of Faculty and Staff.

Faculty and staff are also in agreement that there should be written criteria for discretionary increases, with over 70% agreeing. A higher percentage (nearly 85%) also believe the University should have minimum guidelines for such criteria. Only 20% of each group thinks an administrator (central, college, or department level) should develop the criteria. Sixty percent favor a combination of employees and administrators for developing written criteria. The faculty and staff opinions differ on the level at which the written criteria should be established. While 40% of both groups favor the departmental level, 34% of the staff would prefer a university-wide level, but only 19% of the faculty agrees.

Differences of opinion also show up in the answer to the question of who should evaluate employee performance. Sixty-six percent of the staff favor a supervisor or other administrator, while only 35% of the faculty favor this. Forty-five percent of the faculty would prefer a combination of peer review and administrator, while only 26% of the staff would. A majority of both groups favor election of a committee, if a committee is used in salary determinations.

Both groups would like to see pay scale steps within each rank or classification, the staff being highly in favor (85%), the faculty less so (57%).

The faculty favored evaluation on an individual basis (52%) for relative weighting of teaching, research, and service in discretionary pay determination. Only 11% favored university-wide standards.

FACULTY/ACADEMIC PROFESSIONALS

-
1. I feel existing salary determination procedures work efficiently.
 - Agree strongly: 9
 - Agree: 68
 - Disagree: 88
 - Disagree strongly: 91
 2. I consider these procedures to be fair.
 - Agree strongly: 7
 - Agree: 55
 - Disagree: 104
 - Disagree strongly: 89
 3. At what level should monies be divided into discretionary or non-discretionary funds?
 - Board of Regents: 37
 - University-wide: 59
 - By college: 55
 - By department: 102
 4. Who should decide the percentage of monies to be allocated for discretionary and non-discretionary funds?
 - Administration: 40
 - Faculty/staff committee: 59
 - A & B jointly: 157
 5. Evaluations for discretionary increases should be based on explicit written criteria.
 - Agree strongly: 103
 - Agree: 95
 - Disagree: 44
 - Disagree strongly: 15
 6. The university should have minimum guidelines for such criteria.
 - Agree strongly: 90
 - Agree: 123
 - Disagree: 25
 - Disagree strongly: 15
 7. Who should be responsible for developing written criteria?
 - Central administration: 10
 - College dean: 23
 - Department head or director: 22
 - Peer committees: 66
 - Combination of employees & administration: 133
 8. At what level should such written criteria be established?
 - University-wide: 50
 - By college: 80
 - By department: 106
 - On an individual basis: 18
 9. Who should evaluate employee performance for discretionary increases?
 - Peer review committee: 44
 - Department head or director: 62
 - Immediate supervisor (if different than B): 29
 - Administration (dean or higher level): 17
 - A combination of peer review & administration: 105

FACULTY/ACADEMIC PROFESSIONALS

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10. If committees are used in salary determination procedures they should be:
- | | |
|-----------------------------------------|------------|
| Appointed by administration: | <u>25</u> |
| Appointed by department head: | <u>64</u> |
| Elected by peers (i.e. fellow workers): | <u>161</u> |
11. The U of A should create and implement a system of pay scale "step" within each rank/job classification.
- | | |
|--------------------|-----------|
| Agree strongly: | <u>59</u> |
| Agree: | <u>90</u> |
| Disagree: | <u>58</u> |
| Disagree strongly: | <u>49</u> |
12. For Faculty Use Only:

In evaluating individuals for discretionary increases, the relative weights of teaching, research & service should be:

Determined on an individual basis:	<u>124</u>
Standardized within department:	<u>53</u>
Standardized within the college:	<u>31</u>
Standardized within the University as a whole:	<u>27</u>

CLASSIFIED STAFF

-
1. I feel existing salary determination procedures work efficiently.
 - Agree strongly: 1
 - Agree: 44
 - Disagree: 120
 - Disagree strongly: 122
 2. I consider these procedures to be fair.
 - Agree strongly: 0
 - Agree: 44
 - Disagree: 40
 - Disagree strongly: 104
 3. At what level should monies be divided into discretionary or non-discretionary funds?
 - Board of Regents: 26
 - University-wide: 89
 - By college: 39
 - By department: 134
 4. Who should decide the percentage of monies to be allocated for discretionary and non-discretionary funds?
 - Administration: 28
 - Faculty/staff committee: 74
 - A & B jointly: 185
 5. Evaluations for discretionary increases should be based on explicit written criteria.
 - Agree strongly: 65
 - Agree: 144
 - Disagree: 64
 - Disagree strongly: 17
 6. The University should have minimum guidelines for such criteria.
 - Agree strongly: 78
 - Agree: 173
 - Disagree: 30
 - Disagree strongly: 9
 7. Who should be responsible for developing written criteria?
 - Central administration: 14
 - College dean: 6
 - Department head or director: 45
 - Peer committees: 26
 - A combination of employees & administration: 194
 8. At what level should such written criteria be established:
 - University-wide: 100
 - By college: 29
 - By department: 18
 - On an individual basis: 40
 9. Who should evaluate employee performance for discretionary increases?
 - Peer review committee: 21
 - Department head or director: 61
 - Immediate supervisor (if different than B): 127
 - Administration (dean or higher level): 5
 - A combination of peer review & administration: 76

CLASSIFIED STAFF

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10. If committees are used in salary determination procedures they should be:
- | | |
|-----------------------------------------|------------|
| Appointed by administration: | <u>32</u> |
| Appointed by department head: | <u>92</u> |
| Elected by peers (i.e. fellow workers): | <u>161</u> |
11. The U of A should create and implement a system of pay scale "step" within each rank/job classification:
- | | |
|--------------------|------------|
| Agree strongly: | <u>136</u> |
| Agree: | <u>116</u> |
| Disagree: | <u>29</u> |
| Disagree strongly: | <u>15</u> |

SURVEY OF DEANS, DIRECTORS AND DEPARTMENTS HEADS
(U of A)

Summary

A survey has been taken of deans, department heads and directors (the "3D" list) in an attempt to determine what (if any) patterns exist in procedures for distributing merit pay.

Seventy-four individuals responded.* The results indicate that there is little, if any, consistency in these procedures.

Out of seventy-four respondents, only eight stated that their group utilized written guidelines. Merit pay criteria given in the questionnaire were usually couched in the most general terms. For instance, seventeen respondents suggested that merit increases were based on "superior performance" or similarly worded criteria. It was very difficult to draw any conclusions as to the activities an individual faculty member would actually have to pursue to get a merit increase. Fourteen respondents suggested that they used merit pay as a way of responding to "market conditions" in their academic discipline, an inappropriate use.

The decision making mechanism also varied greatly. In most units, faculty input was solicited only on an informal basis, if at all. A formal faculty committee to advise administrators was reported in only eight instances. Of 68 individuals who answered the question "Do your employees think the system is fair?", 26 (38%) said "no". Of 74 respondents, 21 (28%) thought the present system does not work effectively. Both these numbers seem surprisingly high, considering that the respondents are responsible for administration of the present system.

To summarize, there is no consistent pattern in the criteria or decision-making mechanism for the distribution of merit pay at the University of Arizona and little evidence of employee participation.

* The percentage of responses for total mailings cannot be determined in a meaningful way since there is a great deal of duplication in the "3D" list. The responses are believed to include the bulk of academic departments and colleges and the large administrative units are believed to be representative of all units at the University.

SURVEY OF DEANS, DIRECTORS AND DEPARTMENT HEADS

* (N = 74)

I. SALARY ADJUSTMENTS

1. When a pool of money is received, who determines the respective amounts and/or percentages allocated to each category?

N/A: 2
Department: 47
Dean: 18
VP: 7
Other: Both Dean and Head Supervisor

2. Are there written guidelines detailing procedures? If so, please attach copy.

Yes 12
No 65

3. Is a committee consulted? If so, committee name and composition.

Yes 13
No 59
Other: Senior Administrator only
Financial Committee

4. Does the vice president or dean ask department heads or directors to indicate dollar amounts or percentages to be given to individuals or ask for rankings?*

Yes 61
No 7

* Inconsistency in numbers due to multiple responses or absent responses.

**Question was obviously interpreted very differently by different people - some chose between the alternatives "Dean" and "Dept. Head", some chose between the alternatives "Dollar amounts" and "percentages", most indicated "yes" or "no".

5. What criteria are used in recommending adjustments?

Unknown Evaluation	4
Efficiency/effort	7
Responsibility	6
Market	26
Promotion/expenses	24
Performance	18

6. To whom does your unit forward its recommendations?

Dean:	49
VP:	15
Other:	Manager of TV station, Comtroller, Director

7. What was the total dollar amount of adjustment received by your unit for 1983-84?

\$ 0 - \$ 5K	6
6 - 10K	24
10 - 20K	10
20 - 40K	9
Over 40K	-0-

8. What percentage of your personnel in each category received salary adjustments?

%	Teaching/Research (Ch. VIII)	Academic Professionals (Ch. X)	Classified Staff
0-10	18	23	28
11-20	9	6	4
21-30	9	10	4
31-40	5	-	2
41-50	3	-	-
51-60	-	-	-
61-70	2	-	-
71-80	-	-	-
81-90	-	-	-
91-100	-	-	-

II. MERIT INCREASES

1. When a pool of money is received, who determines the respective amounts and/or percentages allocated to each?

N/A: 2
Department: 65
Dean: 14
VP: 7
Other: Both Dean and Head, Business Manager

2. Are there written guidelines? If so, please attach copy.

Yes 8
No 65

3. Is a committee consulted? If so, what is it?

Yes 8
No 62
Other: For appear only, Dept. Personnel Committee,
Business Manager

4. Does the Vice President or Dean ask Department Heads or Directors to indicate dollar amounts or percentages to be given to individuals or ask for rankings?

Yes 68
No 7

5. What criteria are used in recommending merit increases?

Supervisor Ratings	6
Efficiency/effort	12
Responsibility	6
Market	15
Promotion/expenses	19
Performance	18

6. To whom does your unit forward its recommendations?

Dean:	48
VP:	12
Other:	Manager of TV station, Comptroller, Director

7. What was the total dollar of merit money received by your unit for 1981-82?

\$ 0 - \$ 5K	24
6 - 10K	12
10 - 20K	9
20 - 40K	10
Over 40K	4

8. What percentage of your personnel in each category received merit increases?

%	Teaching/Research (Ch. VIII)	Academic Professionals (Ch. X)	Classified Staff
0-10	12	12	6
11-20	4	7	4
21-30	5	2	2
31-40	3	6	3
41-50	2	3	2
51-60	2	3	4
61-70	1	-	-
71-80	-	1	7
81-90	6	2	7
91-100	4	4	2

III. GENERAL QUESTIONS

1. Do you feel existing procedures work effectively?

Yes	50	(Yes, until this year.)
No	21	(No, not at University level but satisfied with the department procedure.)

2. To your knowledge, do your employees consider these procedures to be fair?

Yes	42
No	26

3. What changes would you like to see enacted that could effect significant improvements?

- ** 1. More time to decide priorities - 3
- 2. Need cost of living increase restored - 1
- ** 3. Need to eliminate cost of living increase - 3
- 4. Need incremental system - 1
- ** 5. Clear criteria for merit - 4
- ** 6. Flexible mid year adjustment
- ** 7. More flexibility in classified staff promotion decisions - 2
- ** 8. More equity between faculty and administrators - 2
- 9. Make a firm cost of living increase - the same year to year -
a base of 25% of employees get 10% increase - 2
- ** 10. More predictable budget - 2
- 11. Let faculty apply for merit rather than evaluate all - 1
- 12. When there is agreement on promotion - don't override - 1
- 13. Step system for staff (faculty?) with a merit of 5% each step.
(5-6 steps, say, per pay grade).
- ** 14. Less cost of living -- more merit - 3
- ** 15. More written guidelines - 2
- 16. More/better informal communication.

** Multiple responses

FACULTY SALARY PROCEDURES
AT SELECTED INSTITUTIONS

Summary of Responses

The accompanying table summarizes the 16 responses to the 19 requests made from other institutions. Comparisons of salary adjustments and merit raise procedures among these institutions is made difficult by the fact that several have uniform salary step scales which are used in part for merit and adjustment. These are noted in the table.

We have attempted to indicate in the table whether salary increases are based entirely on merit, as opposed to including cost-of-living increases, who makes the decision and at what level, whether there is a faculty committee which reviews the budget, information on the existence of written guidelines, faculty input into these guidelines, and access to the results.

Since state legislatures often mandate part of the salary monies to be cost-of-living increases, only a few institutions designated the salary adjustments to be based on merit only. Most institutions had some sort of faculty input into the salary decision process. A majority of the institutions have a faculty committee which reviews or makes input on the division of the salary portion of the budget. A majority also had faculty input into the guidelines used for salary adjustments.

Many of the institutions had decentralized procedures for salary determinations, so that the decisions are made at the college or departmental level. The most elaborate procedures were those of the University of California system, where faculty input into the decision-making process is mandated by the Regents. It is interesting to note that there is a strong positive correlation between the openness of the salary decision-making process and the academic ranking, using, for example, the National Academy survey of academic institutions.

FACULTY

INSTITUTION	DECISIONS					GUIDELINES			COMMENTS	
	Merit only	Admin only	Admin. level of decision			written	Faculty input to guideline	Faculty input to guideline		
			Dept.	Dean	Faculty comm. input					Faculty comm. review of budget
CALIFORNIA										
Berkeley (salary step scale)	no	no	recomm +	chancellor ✓	yes	yes	yes	yes	yes	Faculty consultation required by Regents for California system. Scale fixed by survey of eight institutions (Vale, Stanford, Harvard, Cornell, Michigan, Illinois, Wisconsin, SUNY). Elaborate, many-level committee system.
Davis (salary step scale)	no	no	recomm +	✓	yes	yes	yes	yes	yes	
Los Angeles (salary step scale)	no	no	recomm +	chancellor ✓	yes	yes	yes	yes	yes	
San Diego (salary step scale)	no	no	recomm +	✓	yes	yes	yes	yes	yes	
COLORADO										
Boulder (salary step scale using AAU data)	yes	?	allocation made to Dept. recomm +	allocation made to Dept. president ✓	?	?	?	?	?	
FLORIDA										
-unionized- (scale set thru union)	no		recomm +	✓	-union input-	yes	yes	union input	yes	
ILLINOIS										
Urbana	yes	yes*	✓	reviews	yes	yes*	?	?	?	each unit determines policy
MICHIGAN										
Ann Arbor	yes	?	✓	reviews	?	yes	?	yes	yes	also decentralized
MINNESOTA	yes	no	recomm +	✓	in some units	?	?	?	?	decentralized to college level
PENN STATE	no	yes	recomm +	✓	local opinion	no	no	no	no	senate now looking into the procedure
PURDUE	no	yes*	✓	reviews	local opinion	no	no	?	?	colleges control procedure
OHIO STATE	no	no	recomm +	✓	yes	?	?	yes	yes	*units determine policy
OREGON STATE	no	no	recomm +	pres. ✓	?	yes	yes	yes	yes	faculty consultation required by Regents
TEXAS										
Texas A&M	no	yes	advisory	✓	no	no	no	?	no	no faculty senate
Austin	no	no	recomm +	pres. ✓	yes	?	?	yes	yes	*all full professors form budget council
WISCONSIN	no	no	exec. comm.	reviews	yes	?	?	?	?	decentralized

CLASSIFIED STAFF SALARY PROCEDURES
AT SELECTED INSTITUTIONS

Summary of Responses

The Committee wrote to 19 institutions and received replies from nine (of the 19, four were in the UC system; three of these sent a combined response and one (San Diego) sent an individual response). All respondents have some designated system for distributing cost of living and merit increases but none offers to staff the opportunity to participate in these determinations except at those universities where staff have chosen to affiliate with a union and the union thus has become the bargaining agent with the institution. Six of the schools have collective bargaining representation and one is under a state civil service plan. In each case, following the appearance of a union, formal guidelines were written for staff detailing job classifications and procedures for moving upward on the pay scale.

It is reported (by AFSCME) that the California Board of Regents spent \$3,000,000 in their unsuccessful effort to keep the union off campus. Such effort and expense will be unnecessary at the U of A if minor changes are made in the present system to allow staff to be represented in the determination of matters that directly affect them and their role in the total University system. Far less money would be needed to initiate an open process of reclassification of staff and to meet the University's salary obligations following reclassification.

Institution	Merit, Cost of Living or Comb. of All	Staff Input Into Budget for Salaries	Written Guidelines for Staff	Guidelines Available To All Staff	Level of Adjustment Decisions	Individual Staff Able to Review Decisions	Staff Input Into Guidelines	Staff Committee on Salaries
University of Missouri	Coll. barg. and merit	Yes	No - all adjustments are based upon economics, coll. barg. and employee expectations	No	Supervisor	Yes	No	Collec. Bargain.
University of Washington	Civil Service System - pay steps and cost-of-living	No	Very detailed on pay scale steps and salary scales No mention of merit	Yes	Supervisor	Yes - after 6 months of employment	No	Civil Service system; representation through union
University of Calif. State-wide system	Dealing with merit	No	Yes - very detailed on who, when and how	Yes	Supervisor to Vice-Chancellor	Yes	No	Collective bargaining (1983)
University of Massachusetts	Merit	No	Yes - rewritten each merit period. Very detailed and explanatory	Yes	Head of each professional unit	N/A	No	No - but some staff under collec. bargain.
University of Michigan	Step increase and merit	No	Only duties of each job classification	Yes	Personnel office with recomm. from unit head	Yes - staff member is consulted	No	Only as far as changes in salary scales
U. C. San Diego	Cost-of-living step increase merit twice a year reviews	Yes - staff on U.C. fiscal committee	Yes - duties of each job classification plus paragraph about outstanding merit	Yes	Department heads	Only if not granted a merit increase for the 2nd time	Yes New in 1983	Collective bargaining (1983)
Pennsylvania State University	Only increase is by movement on pay scale through productivity	No	Only pertaining to job classification and pay scale	Yes	Supervisor	Yes	No	No - admin. input only

Institution	Merit, Cost of Living or Comb. of All	Staff Input Into Budget for Salaries	Written Guidelines for Staff	Guidelines Available To All Staff	Level of Adjustment Decisions	Individual Staff Able to Review Decisions	Staff Input Into Guidelines	Staff Committee on Salaries
Oregon State University	Cost-of-living through coll. barg. merit through pay steps	Only through coll. barg.	Yes - performance eval. system. Must rate in 1 or 2 on a scaled rating system	Yes	Next highest level staff member	Yes	Yes	Through coll. bargaining
Texas A&M University	Combination	No	Only dealing with general classifications	No - After 6 months of employment	Director of Personnel	Yes	No	No - Admin. input only
Michigan State University	Coll. barg. merit	No	No - decision is left solely to Director of Personnel	N/A	Supervisor of unit	No	No	Collective bargaining for all staff