

Merit Evaluation Processes by School/Unit 2021

Compiled by the Senate Faculty and Administrative Compensation Committee

Business:

1. We use a 5-point annual evaluation system: 3 = meets expectations; 4=exceeds expectations and 5 is exceptional performer.
2. 1's and 2's get no raise. A rating of 3 gets you basically a COLA. A 4 gets you another half percentage and a 5 gets a full percentage above COLA.
3. Before allocating the available funds, they have to "back out" the amounts required to award salary bumps due to promotions.
4. All of this, of course, depends on the available pool of money for merit raises. If there is more money, the percentages may be higher and/or the difference in raises between 3's, 4's and 5's may be greater.

College:

Revised Annual Evaluation Process/ Updated: January 12, 2021

Rationale:

- Chairs, ODOC and faculty have long sought a revised annual evaluation process (AEP) that introduces greater simplicity, consistency, and transparency. The chairs and ODOC have been working on this process across four semesters. Everyone is ready to finalize the details and announce the revised process and timetable.

The unique COVID-based challenge (with no merit increase for AY20-21) complicates the transition of the AEP from a calendar to an academic year:

- The chairs and ODOC are agreed that the revised process needs to move to an academic year; the next AEP period will need to cover January 1, 2020-June 30, 2021 (18 months) as the bridge.
- ODOC will use the already submitted 2019 calendar year merit scores to determine merit increases (if announced this Spring 2021), with the merit increase to start in the AY 2021-22 paychecks.

Goal Setting:

- It is an expectation of all chairs that they meet with each faculty member on an annual basis: to set goals and discuss opportunities for continuous improvement for all faculty and to support those faculty on track for tenure and/or promotion. It is presumed by ODOC that these conversations around goal-setting and shared expectations will inform chairs when they engage in the AEP review process.

The AEP Process (for the transition from a calendar to an academic year):

- STEP 1: Chairs work with their faculty to identify the criteria for the 4 point scale (see STEP 3 below). Chairs will share the recommended criteria with the Senior Associate Dean of Faculty for feedback by mid- to late-Spring 2021. Departments then finalize their criteria to be ready for use in summer 2021/Fall 2021.
- STEP 2: Chairs request that faculty submit their accomplishments across teaching, scholarship and service for tenure-track faculty, and teaching and service for teaching professionals, using the department's customary mechanisms (faculty info form, CVs, narrative, etc.). ODOC strongly recommends that all departments integrate a faculty self-evaluation into the submission of accomplishments based on faculty-chair one-year and longer-term goal-setting. The self-evaluation does not necessarily mean that faculty should literally score themselves on the 4 point scale but some departments may employ that method. Note that this self-evaluation process is already a current best practice for many departments.
- STEP 3: Chairs will evaluate faculty accomplishments on a simple 4 point scale for each category of analysis depending on position (teaching, scholarship and service for Tenure Track; teaching and service for Teaching Professionals). Each department will document its expectations within these categories as was customary under the former evaluation process.

1: Has not met most expectations

2: Has met most or all expectations

3: Has exceeded expectations

4: Has performed exceptionally, and deserves special commendation/recognition

Note that the revised 4 point scale maps fairly easily to the original 5 point scale given how few scores of 1 have been assigned historically.

- STEP 4: Chairs submit their scores to ODOC.

No explanation is required for assigning a 2 or a 3 to an individual area and/or overall assessment.

Chairs must document and share with ODOC why a faculty member received a 1 for any individual area and/or overall assessment. In this situation, it will be necessary for that chair to follow up with a one-on-one meeting regarding the rating of 1 and what is expected from that faculty member to improve that assessment for the future. Documenting this conversation and the plan to rectify the performance is critical.

Chairs are expected to document and share with ODOC why a faculty member received a 4 for any individual area and/or overall assessment. This ensures that ODOC is aware of exceptional accomplishments in the individual area. In the case of an overall 4, ODOC

would also like to review the rationale with the chair to be sure there is broad consistency across the College for this “exceptional” overall rating.

- STEP 5: Following submission of the scores and the department expectations for the score assignments, ODOC will review each department for consistency, and may ask more clarifying questions about the rationale for scores of 1 and 4. Then ODOC will return the final scores to chairs for one last review before modifying salaries, in years when there is a merit pool available. After that point, chairs will be expected to share the scores with their faculty.
- STEP 6: The annual evaluation of the department chair or program director will proceed similarly. Department chairs and program directors will submit their annual accomplishments and self-evaluation to their department chair review committee or chair officer, who will share the assessment with the chair and submit chair scores directly to ODOC. The dean will review the scores, make her own assessment, and share the final scores with the chair during their annual meeting.

Revised Annual Evaluation Process

Timetables

Updated: November 11, 2020

TRANSITION YEAR TIMETABLE (Evaluation period: January 1, 2020 - June 30, 2021)

- Nov. 30, 2020 ODOC will announce the revised AEP
- August 1, 2021 Faculty submit accomplishments/self evaluation
- Feb. 1, 2022 Chairs (and Chair Reviewers) will submit merit scores
- March 30, 2022 ODOC will review and finalize scores with Chairs; Chairs will then share scores with faculty

NORMAL YEAR TIMETABLE (Academic Year Evaluation period: July 1 - June 30)

- August 1 Faculty submit accomplishments/self evaluation (and goals)
- Aug.- Dec. Recommendation: chair goal setting with each faculty member
 - February 1 Chairs (and Chair Reviewers) submit merit scores to ODOC
- March 30 ODOC will review and finalize scores with Chairs; Chairs will then share scores with faculty

Revised Annual Evaluation Process

Implementation

Updated: November 11, 2020

Annual Evaluation Spreadsheet Configuration (see EXCEL spreadsheet example)

- Faculty Name, Title, Year Hired
- Column for Teaching, RSC, and Service with % effort
 - Most tenure-track faculty are 40/40/20, with very few exceptions
 - Most teaching professionals are 80/20, with very few exceptions
 - Chair % effort is determined in consultation with the Dean
- Two columns for Overall Assessment
 - Automatic calculation of overall merit score based on areas of effort (Overall)
 - Column for chair recommendation (Chair Score)
 - The spreadsheet will only accept scores of 1-4; there are no +/- scores and no letter grades (e.g., X, O).
- An overall score of 1 will require explanation and necessitate a one-on-one meeting with the faculty member to discuss the unacceptable performance and what is expected from that faculty member to change that assessment going forward. This must be documented and shared with the faculty member.
- An overall score of 2 or 3 will not require any explanation from the Chair.
- A score of 4 in any individual area should be reserved for truly exceptional accomplishments in the period under review (e.g. a book can be considered exceptional twice, once for under contract, once for publication). Please share any and all exceptional accomplishments with ODOC.
- A score of 4 overall, whether based on the automatic calculation or the chair override, will need explanation in the comments column.

Examples:

Example calculation for a tenure-track assistant professor at 40/40/20 effort

Scores of 3 in teaching, 2 in RSC, 3 in service (No explanations required)

$(3*0.4) + (2*0.4) + (3*0.2) = 2.6$ overall (Chair indicates 3 overall, No explanation required)

In this case, and any case where the overall calculation is a 1.5-1.9, or 2.5-2.9, the chair has the latitude to determine the final overall score (2 or 3). As long as the final overall score is a 2 or 3, the chair does not need to provide any explanation.

Example calculation for an associate professor at 40/40/20 effort

Scores of 3 in teaching, 4 in RSC, 4 in service (Explanation for 4 in RSC and 4 in service is required)

$(3*0.4) + (4*0.4) + (4*0.2) = 3.6$ overall (Chair indicates 4 overall is warranted and provides required explanation)

Example calculation for a full teaching professor at 80/20 effort

Scores of 3 in teaching, 4 in service (Explanation of 4 in service is required)

$(3*0.8) + (4*0.2) = 3.2$ overall (Chair indicates 3 overall, No explanation required)

Law:

See attached memo.

We also have meetings with the Dean's Office and each faculty member to review a faculty member's performance. We do not have any explicit changes to our process as a result of COVID, but we definitely recognize that COVID has hit us all and in different ways.

Medicine: See memo.

**College Plans for Addressing Impact of COVID on Faculty Research/Teaching/Service
(with focus on those up for tenure and/or promotion)**

Dear Colleagues,

These have been tough times and we know that our colleagues at the Assistant and Associate Professor and Teaching Professional ranks are [feeling the deepest career impact from COVID-19 challenges](#) right now as they progress towards tenure and promotion. We outlined in [an earlier message](#) our efforts to provide more support for all College faculty. It included a new initiative the Office of the Dean of the College developed jointly with the chairs and program directors of the College to serve our junior and mid-career faculty explicitly. Now we are sharing that initiative with you.

The policies that follow are intended to 1) support junior and mid-career faculty in the College immediately and 2) ensure that the challenges our faculty members face across COVID-19 are represented in our institutional memory and throughout the reappointment, promotion, and/or tenure review process.

They have been endorsed by the College chairs and program directors as well as the Dean of the College and the Provost. The chairs and program directors have already begun conversations with their junior and mid-career faculty to develop individualized COVID-19 Plans based on the different kinds of challenges imposed by the pandemic on our faculty members.

We extend our sincerest thanks to the committee that developed this plan: José Luis Venegas (Interdisciplinary Humanities, Div I), Stew Carter (EALC, Div II), David Finn (Art, Div III), Michaelle Browsers (Politics and International Affairs, Div IV), and Bruce King (Chemistry, Div V) who are to be commended for their thoughtful, critical work.

The guiding principles for this initiative were:

- The recommendations should be feasible under the current University-imposed fiscal constraints.
- All recommendations should be considered in light of possible unintended consequences that might exacerbate inequities around rank, race, ethnicity, and gender.
- The recommendations must acknowledge the unique situations that junior and mid-career faculty members might be experiencing in their own lives and across

disciplinary differences as a result of the COVID-19 pandemic, (and reflect COVID-19-based restrictions such as travel to archives, access to certain funds, etc.); that is, one size will not fit all.

The support mechanisms center on implementing four policy recommendations, the first two to occur at the department/program level and the second two to be implemented by the College.

Department/Program Level Policy

1. **The COVID-19 Impact Statement** will be developed by the faculty member and chair/director and the faculty member's mentor(s), as appropriate. The statement will document any disruption to teaching; research, scholarship, and creative work; and/or service experienced by the faculty member as a result of the pandemic. The documentation should begin immediately and can be revised on a regular basis. The purpose of this Impact Statement is to contextualize for the department, College tenure and promotion committees, external reviewers, the Dean, and the Provost, the ways in which the pandemic has impacted the professional trajectory of the individual faculty member. It will be included in reappointment documents, tenure and promotion dossiers, and promotion dossiers. An Impact Statement is required of all faculty coming up for review, promotion, and/or tenure and may reflect a continuum from no impact to major impact.
2. **The COVID-19 Plan** will be developed jointly by the chair/director and the faculty member to document any efforts that the department/program has implemented to assist the faculty member during the pandemic. The plan should be succinct (c. 1 page) and tailored for the individual; as such there is no template. It may involve, for example, adjustments in teaching schedules or course caps, or service obligations within the department. It may be that a faculty member does not feel that a plan is needed and, in that case, a simple statement reflecting that choice is all that is required. The goal of this document is to initiate a conversation between the chair/director and the faculty member to determine what is possible to ease some burden in areas that might not otherwise be considered. A COVID-19 Plan is required for all junior and mid-career faculty.

College Level Policy

3. **The College COVID-19 External Reviewer Statement**, developed by the College, will outline to all external reviewers of tenure and promotion dossiers the steps that were implemented by the institution to mitigate the impact of the pandemic on the faculty member's career. For example, the brief statement will describe the automatic extensions of the tenure-clock and convey that external reviewers are to consider research, scholarship, or creative work with respect to department and university expectations and not number of years to tenure. The statement will also make it clear

that the COVID-19 Impact Statement was a required element of the dossier for all faculty and that standards for tenure and promotion were not relaxed by the institution.

4. The **COVID-19 Handbook Statement**, developed by the College and added to Chapter 7 of the Faculty Handbook, will describe the policies implemented by the College related to tenure and promotion of tenure-track faculty and promotion of teaching professionals so that administrative leaders and committees of the faculty are reminded of these policies and their implications during their evaluation of faculty now and in the future. The purpose of this statement documents that the effects of the pandemic will be long lasting on the careers of faculty.

The policies will be carried out as follows:

- The faculty member will develop a **COVID-19 Impact Statement**. It is recommended that the drafting of the statement by the faculty member be done jointly and in consultation with the chair or program director and the faculty member's mentor(s), as appropriate.
- The **COVID-19 Impact Statement** will be added to the list of materials required for the 2nd and 4th year reappointment materials and the tenure and promotion and promotion dossier.
- The department chair or program director will develop an individualized **COVID-19 Plan** with each faculty member that will outline any steps taken to support the faculty member for a reappointment, promotion, and/or tenure review. The plan should be developed during the Spring 2021 semester for implementation in the 2021-22 academic year. The plan should be revisited by both parties as necessary to take into account any additional challenges.
- The College will create a **COVID-19 External Reviewer Statement** to be added to the letter for external reviewers in cases of tenure and promotion and promotion of tenure-track faculty.
- The College will add a **COVID-19 Handbook Statement** to Chapter 7 of the Faculty Handbook this semester.
- The department chair or program director and the Office of the Dean of the College will review and assess the effectiveness of the **COVID-19 Plan** at least annually and agree to revise the plan as the need arises and more normal operations resume.
- The Office of the Dean of the College will evaluate the plans across divisions/departments/programs to ensure they are equitable and consistent with the intent of the recommendations to support junior and mid-career faculty. After review by the Associate Deans, the plans will be approved by the Dean of the College.

ZSR Library Faculty merit evaluations:

- 1. We use a 5-point annual evaluation system: 3 = meets expectations; 4 is excellent and 5 is outstanding.**
- 2. Faculty submit a self-evaluation letter documenting their performance in three areas of evaluation without a numerical point score: Librarianship (weighted 70%) , Scholarship and Professional Achievement (weighted 30%) and Service (weighted 10%)**
- 3. The faculty member's supervisor writes a letter documenting their performance based on the three areas of evaluation. The supervisor also assigns a point score for each area of evaluation, using an internal rubric.**
- 3. Faculty and their supervisor meet to discuss the letters, and the supervisor shares and discusses the numerical rating for each of the areas of evaluation.**
- 4. Depending on the amount of merit pay provided, the merit is allocated accordingly. In a usual 2.5% pool, those that receive an overall rating of "3" would get a 2% merit increase, "4" would get a 2.5% increase, and a "5" would get a 3% increase.**

Additional information

ZSR Library Process for Reviewing Salary Competitiveness

- 1) Does ZSR keep an eye on comparisons of our salaries to libraries in our peer group?**

We subscribe to the Association of Research Libraries (ARL) annual salary survey. While Wake is not an ARL library, we do compare well with the smaller ARLs. They have a category of ARL libraries with a staff size of 50-74 and that data is used as a baseline for our salaries. We generally meet or exceed all averages except for senior administration.


- 2) Do we have a mechanism to keep an eye on salary equity issues within the library?**

Salary equity is reviewed for both faculty and staff every budget cycle and market adjustments are made every budget cycle except for last year, when salaries were frozen. We look at both salary compression as well as the market.



MEMORANDUM

To: Law Faculty

From: Jane Aiken, Dean 

Re: My Expectations and Merit Evaluations

Date: November 4, 2019

Making the transition to a new dean can be very difficult, particularly if you spend your time trying to determine what she values and what expectations she might have of you as a faculty member. This memo serves to map out more clarity on those values and expectations. Two things really prompted me to put this together: First, this faculty has been increasingly asked to do more and more, and the influx of so many additional students over the last two years has stretched that ask close to the limits. To say that this is something I care about would be an understatement. I came to this law school because I saw individuals committed to holding themselves to high standards and also because I was moved by what clearly is a deep commitment to this institution. Second, we have a substantial deficit and I know that, at least for the near future, I need to be raising money and I need to be asking you, once again, to think very carefully about how we deploy resources at the law school.

It is not lost on me that these two things are in tension but I plan to be successful in gaining resources for the law school. At long last, I believe that we will be able to pay merit pay. This memo spells out what the criteria will be for awarding such pay. I urge you to read it and perhaps use it to record your own activities. That will make it much easier for you to put together a report at the close of the academic year. I have created a (non-exhaustive) checklist summarizing all of this as an appendix to this memorandum for your convenience.

Scholarship

As all of us know (and perhaps cherish), being an academic is one of the best jobs in the world. We have enormous flexibility in our schedules, rich relationships with colleagues and students, a substantial role in our own governance and the ability to choose the focus in our research. Being a faculty member also creates academic obligations because we are members of a University. One of the primary roles of a University is to produce knowledge that is in service to the world. That is almost always done through scholarship. Every member of this faculty should be making that contribution. The tenure standards control for those among us

who are moving toward tenure. The kind of scholarship considered for merit tends to be more expansive. Each year that scholarly contribution will normally manifest in at least one law review article, or a chapter in a book, or editing a collection of articles, or substantial progress in the production of a book or crafting a brief on a novel legal issue or writing an amicus brief or a similar meaningful scholarly contribution. The scholarship of teaching and learning can also be recognized as scholarly contribution. Nontraditional scholarship is included such as podcasts and op-eds. Please note that there is not a litmus test on what constitutes “good scholarship,” although the descriptions in our tenure rules are some indication. The primary assessment is whether it is a contribution to the development of the law or policy, to teaching, or to academic debate. For some this may feel like an overwhelming ask. I urge you to get back to writing. It has been my experience that the more you write, the easier it becomes and often can lead to great joy in the production.

Increasingly there will be opportunities for interdisciplinary and multidisciplinary collaboration on scholarship. These efforts, which often take extra time to manage, will be valued in the assessment of merit. We are working to improve law professor access to grants that can support the scholarship. Grant seeking, even when not successful, will be a factor for assessing merit.

Often scholarship is accompanied by public presentations of the work. Those opportunities grow communities of scholars, sharpen our work and ideas, and ensure that our contributions are disseminated. Therefore, scholarship is a key part of any merit assessment. Scholarship also benefits from the presence of faculty in the building to discuss ideas and provide guidance on scholarship with colleagues. Unless there are unavoidable conflicts, faculty should attend Faculty Development Talks and TeRSe Talks, engage in active participation in those talks, and serve as a presenter. Faculty are also strongly urged to participate and present in summer Half-Baked Ideas talks and new-faculty scholarship workshops.

Teaching

Wake Forest, more than any law school that I have been a part of, not only proudly states that it values teaching but manifests it in the care in which we nurture teachers, think about innovative teaching techniques, focus on meaningful learning outcomes, refresh our teaching materials to ensure that we focus on student learning, make ourselves available for our students, and provide support for those who are struggling. We describe these values in our tenure standards and, unlike scholarship, we have tangible evaluations of our teaching through student evaluations. That is only a starting point for assessment of merit in this area. Student evaluations sometimes reflect implicit bias that disadvantages faculty. The production of innovative teaching methods, clearly stated and achievable learning outcomes, meaningful assessment techniques and your teaching loads, including FTEs, also are critical to evaluating excellent teaching. Faculty should particularly document their use of formative assessment mechanisms consistent with ABA requirements.

Teaching includes communicating learning outcomes to students. It also includes being available to students to answer questions about class--either with regular office hours or some similar ready and regular method that is clearly communicated to students. We also

must meet with students, upon request, to review graded assignments and should assure that we offer students some way to engage in self-assessment by posting grading rubrics, a narrative about what constitutes an excellent answer to an exam or posting best exams for student review. Our interaction with students as their teachers does not end in our classroom or in our subject matter. We should serve as a proactive faculty advisor to students with regard to class registration and general law school advice. Faculty should seek to share the load in being advisors to LLM students and as dissertation advisors for SJDs as well as serving as supervisors for independent studies and externships. We also offer several MSL courses and I anticipate that these offerings will grow given student demand and the income stream these certificate and MSL degree programs offer. To ensure quality, faculty should share the load in teaching in the MSL program and supporting the program through collaboration with the MSL Director in curricular development. All faculty should assist in supervising MSL students in Capstone projects, and those teaching in the program should attend MSL residential events. Teaching is critical to our identity as Wake Forest Law School, and therefore it will have substantial weight in merit evaluations.

Service

A law school and a university does not run without substantial service by faculty. Unless there is an unavoidable conflict, faculty should attend all faculty meetings. Law school committee work, including taking on the chair positions when asked, are critical to the functioning of the law school and ensuring faculty governance. In addition, being willing to be on University Committees is important service because it helps preserve our input and relationship with the larger University. Service is usually not an activity that brings glory (or even recognition) to the individual. It also is an activity in which free-riding can abound. Any merit evaluation will include an assessment of the quantity and quality of committee work.

There is some service that I think of as critical to the functioning of the law school and to showing respect for students. Absent a compelling excuse, I expect every faculty to participate in graduation hooding. Faculty are also strongly encouraged to come to the main graduation ceremony, to serve as judge in our various moot court and mock trial preps and competitions, to attend events with school-wide speakers such as the Dean's Lecture, Conversation With, Sager Series, University-wide events honoring law faculty or staff, and student organization speakers. Willingness to read journal articles and make considered judgment on their worth is also valued service. If possible, faculty should participate at orientation events like the Habitat build and meals with the new students.

There are other obligations that I see as a basic requirement of being a member of the faculty and the failure to meet them will have an effect on merit assessment. A faculty member should serve as a reference/recommender for students for jobs. This may include advising students on career choices and making calls for the students. Faculty should attend a substantial number of student events and alumni events, especially admitted student events. I anticipate that we will have a substantial number of job talks over the next few years. Faculty should participate in hiring activities - interviews, job talks, meetings in which candidates are discussed. In addition, faculty should volunteer to mentor young faculty and, where

appropriate, provide critique and feedback to fellow faculty members on their scholarship and teaching.

A good deal of service is essentially academic housework, often “invisible” and therefore the most difficult to quantify. Many faculty members are approached by students for advice on more personal matters in addition to the standard academic advising. In our society, invisible labor often falls to women and people of color. Many social science studies have noted that progress toward tenure or other advancement for women, LGBTQ and people of color is frequently impeded by invisible labor such as non-academic advising or being asked to be the diverse member of a committee on top of other obligations. It is my job to be cognizant of that. It is your job to help make your invisible labor visible to me.

I am attaching a checklist of the kinds of things you might want to include in an end of the year memo in which you alert me to your activity in all of these areas and do a self-assessment. Your plans going forward in the next year will also be useful to me. Thank you.

Checklist

Scholarship

Articles or books published from June to June of the academic year (please attach)

Forthcoming books or articles

Works in Progress and anticipated completion dates

Blogs or Blog Posts

Podcasts

Op-Eds

Other scholarly work

Speaking Engagements

Drafting amicus briefs (or under Service)

Do you engage in a scholarly manner with social media?

Other

Teaching

Courses taught and enrollment:

Course evaluation numbers for each course:

Independent study, supervised research for credit or Practicum Addition

Innovative teaching methods used:

Interdisciplinary courses:

Office Hour Times:

Number of permanent advisees and number of times met during the year:

Informal advising:

Describe number of teaching assistants and work with TA's

Work with LL.Ms, SJD's and MSLs

Other

Service

Formal Committee Assignments (Law and University, designate member or chair)

Ad-Hoc committee service:

Student Organization Sponsor

Coach for Competitions

Judging Competitions

Presenting at TeRSe talks (as opposed to attendance)

Attendance at Major Law School Events

- Graduation Hooding
- Graduation Ceremony
- Faculty Meetings
- Faculty Recruitment Events
- Faculty Development lunches


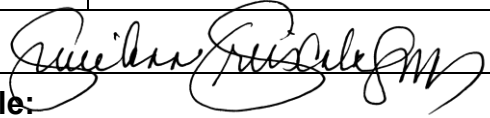
- TeRSe Talks:
- Sager Series:
- “Conversation With” Event:
- Law Alumni Weekend/Law Boards Business Meetings
- Law Alumni/ Boards’ Social Events
- Student Speaker/Activity Events (describe)
- Inns of Court:
- Symposia (describe)
- Teach-Ins

Work with the AALS, ALI, ABA, NCBE, local or state bar (describe)

Community Service

- Local service (describe)
- National service (describe)

Other Contributions Not Listed Above

	Faculty Compensation Policy	Type:	Tier 2
		Original Effective Date:	
		Current (Revised) Date:	
		Contact:	Associate Vice President Compensation
Approval Signature: 		Date Approved:	5/23/2019
Typed Name and Title:			

1) General Policy Statement

The policy of Wake Forest Baptist Medical Center is to comply with all federal, state, and local laws governing the workweek, breaks, and payment of hours worked.

- a) Scope: All WFBMC faculty
- b) Responsible Department/Party/Parties:
 - i. Policy Owner: Human Resources Department, Associate Vice President Compensation
 - ii. Procedure: Director, Clinical and Faculty Compensation
 - iii. Supervision: Human Resources Department, Associate Vice President Compensation
 - iv. Implementation: Associate Vice President Compensation

2) Definitions

For purposes of this policy, the following terms and definitions apply:

- a) **WFBMC:** Wake Forest Baptist Medical Center and all affiliated organizations including Wake Forest University Health Sciences (WFUHS), North Carolina Baptist Hospital (NCBH), all on-site subsidiaries as well as those off-site governed by WFBMC policies and procedures.
- b) **RVU:** Relative Value Units are nonmonetary, numerical values that depict the amount of physician effort, risk and resources of different medical procedures.
- c) **wRVU:** Work Relative Value Units measure a provider's time, skill, effort and degree of decision-making complexity required for performing a procedure; includes pre-intra-post service time.
- d) **ACGME:** Accreditation Council for Graduate Medical Education responsible for the accreditation of institutions that sponsor residency programs in the United States.
- e) **RRC:** Residency Review Committee sets accreditation standards and provides peer evaluation of residency programs and fellowships.
- f) **Wake Forest School of Medicine (WFSM) Salary Cap:** The Dean sets the WFSM salary cap that will define the upper funding levels on some institutionally funded administrative, education and research efforts.

3) Policy Guidelines

a) General Guidelines

- i. The overall goal of the Wake Forest Baptist Medical Center (WFBMC) faculty compensation policy is to provide for the recruitment and retention of high-quality faculty who collectively and individually advance the overall mission of the institution to improve health of our region, state and nation, through research, education and patient care.

- ii. Compensation for Wake Forest School of Medicine (WFSM) faculty and non-faculty department managed physicians include financial reward for clinical care, administration, education and/or research, which in the case of tenured faculty, may be linked to defined processes that protect academic freedom and related compensation.

b) Objectives

The specific objectives of the Plan include:

- i. Application of specialty-appropriate national benchmarks will be used to evaluate total cash compensation paid to faculty within each fiscal year. Compensation benchmarks provided by the Association of American Medical Colleges (AAMC, All Schools) by rank, degree and discipline are the standard unless a more robust benchmark survey is identified and approved by the Dean of the School of Medicine and the President of Wake Forest Baptist Health (WFBH).
 - a. Total compensation may exceed the 50th percentile, but total compensation for a faculty member exceeding the AAMC 75th percentile must be approved by the Dean and/or the President of WFBH.
 - b. Total compensation for a faculty member exceeding the 90th percentile is reviewed by the Governance and Compensation Committee of the WFBMC Board of Directors.
- ii. Promotion of the academic and clinical missions of WFBMC.
- iii. Assurance of a strong relationship between compensation and faculty members' performance against external and internal measures of excellence (clinical, research and education) and productivity.
- iv. Assurance that faculty variable compensation, when offered, is based upon criteria that are objective, measurable, clear, and consistent with WFBMC's multiple missions.
- v. Recognition that the faculty has an obligation to participate in basic citizenship activities as part of their usual scope of duties.
- vi. Consistency with an economic model that is viable for WFBMC, based on a conservative and reasonably predictable economic outlook.

c) CARE Model of Compensation

- i. Faculty compensation is based upon work in the following categories: clinical care, administration (including service), research, and education. Please see Appendix.
 - i. Clinical care: The clinical care component for faculty with direct clinical care responsibilities shall be based upon clinical productivity, quality, patient outcomes, institutional performance and administrative

assignments specific to the given department, subject to the general rights of all faculty physicians receiving salary support for patient-care activities.

- ii. Administration: Administrative responsibilities are defined as those activities that are supported by WFBH or WFSM resources directly.
 - a. Compensation for this activity will reflect a percentage of effort using external salary benchmarks, current base salary, or other administratively determined methodologies and in some instances, funding will be up to the WFSM salary cap
 - b. If a faculty member discontinues a major administrative role during the course of the year, this component of salary may be reduced or discontinued immediately.
- iii. Research: Research funding for faculty salary may be derived from extramural and/or intramural grants, subject to the regulations of funding agencies and overseen by the Office of Sponsored Programs and the Dean's Office. Both clinical and research-intensive faculty may receive a portion or all of salary from grant funding, with expectations defined by faculty track.
- iv. Education
 - 1. Faculty with significant teaching roles with tuition-paying students in WFSM or in the Graduate School may be eligible for purchased effort for course direction, curriculum design and oversight, and other leadership needs.
 - a. Compensation for this activity will reflect a percentage of effort using external salary benchmarks, current base salary, or other administratively determined methodologies and in some instances, funding will be up to the WFSM salary cap.
 - b. If a faculty member discontinues a major educational role during the course of the year, this component of salary may be reduced or discontinued immediately.
 - c. Faculty on bridge funding are not eligible for this funding source.
 - 2. Graduate Medical Education (GME) program administration is funded centrally with payments determined each year by the Dean and President of WFBH.
 - a. The administrative effort of ACGME-approved program directors, associate program directors, and key faculty will be determined based upon RRC requirements.
 - b. Compensation for this activity will reflect a percentage of effort using external salary benchmarks, current base salary, or other administratively determined

methodologies and in some instances, funding will be up to the WFSM salary cap.

- c. If a faculty member discontinues a major educational role during the course of the year, this component of salary may be reduced or discontinued immediately.
 - d. The chair may exercise discretion in the distribution of central GME support funds within the department.
- 3. Other defined educational components may be approved by the Dean as required for the successful execution of the institution's overall educational mission.
- ii. Allocation of effort within the CARE model is determined initially at the time of hire in discussion with the hiring chair and can be altered according to faculty interest and department needs, in discussion with the chair.
- iii. All faculty members are assigned to a promotion track at the time of hire, which also defines general job expectations. Please refer to the policy on Appointments, Promotion, and Tenure and to the Clinical Pathway Policy.

d) Compensation guidelines

- i. Clinical Faculty
 - a. Clinical faculty members are those employees whose primary appointment is in a clinical department and/or whose compensation is derived mainly from patient care.
 - b. Total cash compensation for clinical faculty is generally composed of base and variable components to yield a targeted annual total compensation.
 - 1. Targeted annual total compensation will be determined by the chair, approved by the President of WFBH, and outlined in the department compensation plan on an annual basis.
 - 2. With the exception of specifically defined supplements, annual base salary cannot be decreased within the fiscal year.
 - 1. Performance expectations for receiving base salary can be amended yearly after the initial term conditions have expired.
 - 2. Base salary is always conditional on the faculty member meeting the FTE expectation as agreed upon in the offer letter or contract, after the initial term.
 - 3. Variable compensation is the component of total compensation that is dependent upon a combination of clinical productivity, quality, financial performance, teaching, research, and administrative activities as defined in individual department compensations plans.

1. General guidelines for department specific plans will be provided to the chairs on an annual basis after review and input from the Faculty Compensation Advisory Committee
2. Variable compensation for a new faculty member may be deferred in the initial term in favor of a higher fixed salary that allows a ramp-up period for clinical and academic productivity.
3. Specific supplements, as defined in initial offer letter or contract or in a subsequent reappointment letter, may be subject to change through a year but are not considered part of variable compensation as defined in this section.
4. A faculty member who leaves the organization will be paid a pro-rated portion of variable compensation based on work performed while employed and then applied against the approved departmental compensation plan. All payouts for departing faculty will be paid on the next quarterly payment date following the faculty members last day.

ii. **Research faculty**

- a. Research-intensive faculty may be based in basic science or clinical departments.
- b. Tenure track faculty salaries are comprised of varying funding sources. For the faculty member's research effort, at least 65% of the fixed research component should be funded from extramural grants and up to 35% from institutional matching funds. For clinical faculty, these percentages apply to research effort, which should be 50% or greater FTE, up to the WFSM salary cap. Clinical departments may choose to supplement tenure track faculty above the WFSM salary cap from clinical revenues.
 1. If extramural funding drops below 65%, the faculty member may apply for bridge funding. Bridge funding guidelines are addressed in the Research Faculty Compensation Plan, which may be amended from time to time. Bridge funding is not guaranteed.
 2. Salary decreases for faculty with tenure are addressed in the APT policy.
- c. Research Scholar track faculty are hired and paid on a contingent basis. Salary is funded 100% through grants, the vast majority expected to be extramural in nature. Participation in separately funded teaching efforts within WFSM may be allowable for a fixed period of time.

iii. **Other Components of Annual Salary**

- a. A defined administrative component shall be provided to faculty who are

asked by WFSM or WFBH leadership to assume major management or general administrative duties for the Medical Center. Administrative roles with salary support are listed in the Appendix.

1. The Dean and (for clinical departments) the President WFBH, or their designees, shall set the administrative FTE percentage for each position.
 2. Associate and Assistant Deans with less than 0.50 FTE for WFSM administration, research center directors, members (excluding ex-officio) of specified institutional committees that require substantial time commitment shall receive an administrative component of salary proportionate to their administrative time, as determined by the Dean. Committees and position receiving salary support in this category are determined by the Dean and may change from time to time.
 3. If a faculty member discontinues a major administrative role during the course of the year, this component of salary may be reduced or discontinued immediately.
- b. Other components of annual salary may include supplements offered by the Dean of WFSM and the President of WFBH for recruitment and retention of key faculty and for acknowledgement of effort directed on a time- or position-limited basis.
1. Time-limited support for a new faculty member shall be defined in the initial offer letter and/or contract, with appropriate performance milestones clearly outlined.
 2. Salary supplements deemed necessary by the Dean or the President of WFBH for strategically defined recruitment or retention of key faculty. Such supplements are subject to final approval by the Chief Executive Officer and, if such payments lead to projected compensation in excess of the 90th percentile of applicable external compensation benchmark, review by the Governance and Compensation Committee of the WFBMC Board of Directors.
 3. Externally funded salary support derived from contractual agreements with non-medical center entities, e.g. the Veterans Administration, medical directorships at other healthcare facilities, stipends provided for leadership in professional societies and editorships.
 4. Supplemental salary support for activities deemed critical to the institution and not otherwise supported by the given departmental compensation plan. The President of WFBH must approve such salary supplements.

iv. Additional Compensation – Paid Annually

If health system financial margin warrants, additional year end payments may be made within available funds based on quality, production above budget, value-

based achievements, academic performance metrics and other criteria defined in specific departmental compensation plans.

- a. The President of WFBH and the Dean will establish annual guidelines for distribution to the departments following review by the Faculty Compensation Advisory Committee.
- b. A faculty member must be actively employed by the Medical Center on the scheduled date of distributions to be eligible for payment which are usually made in the month following the end of a fiscal year.

v. Reductions in Annual Compensation

Proposed reductions in annual base compensation must be communicated to the faculty member in writing no later than 30 days prior to the effective date. Appeals may be made to the department chair. If the chair and faculty member cannot reach resolution, the faculty member may appeal to the Faculty Compensation Advisory Committee. The Dean and the President of WFBH will have the final decision.

- a. Exceptions to this communication and appeal process include Research Scholar track faculty whose compensation is contingent on grant funding. Reduction in salary may occur at any time.
- b. Discontinuation of supplements for educational or administrative roles may also occur at any time.
- c. Faculty may not appeal reductions in compensation that are determined mathematically (e.g., wRVU-based compensation, institutional funding match for tenure track faculty) or defined by institution-wide standards (e.g., clinical funds flows, educational and administrative components).

vi. Compensation and Tenured Faculty

- a. The Appointment, Promotion, and Tenure Policy for WFSM outlines the definition of tenure, those eligible for tenure, the requirements of tenured faculty members after achieving tenure, and the procedure for post-tenure review, including salary reductions as appropriate.
- b. Tenured faculty may appeal salary reductions to the Faculty Compensation Advisory Committee; the Dean of the School of Medicine will have final authority.
- c. Compensation support provided by Wake Forest Baptist Health for patient care activities, specified educational and administrative supplements and variable and bonus payments are not subject to these limitations.

4) Questions

Questions regarding how the policy applies to a specific situation should be directed to Human Resources Compensation and/or Faculty Affairs.

5) Review/Revision/Implementation

- a) Review Cycle: The Faculty Compensation Advisory Committee or equivalent body shall review this policy at least every three (3) years from the effective date.
- b) Office of Record: After authorization, the Associate Vice President Compensation shall house this policy in a policy database and shall be the office of record for this policy.

6) Related Policies and Processes

- i. **Appointment, Promotion, and Tenure Policy**
- ii. **Clinical Pathway Policy**
- iii. **Clinical Department Compensation Plans**
- iv. **Research Faculty Compensation Plan**
- v. **Education and Administration Compensation Guidelines**

7) Governing Law or Regulations

The Physician Self-Referral Law (or Stark Law)
Internal Revenue Service guidelines
Federal Anti-Kickback Statute

Exhibit: CARE Model of Compensation

CLINICAL	ADMIN	RESEARCH	EDUCATION
<u>Primary Activities</u>	<u>Primary Activities</u>	<u>Primary Activities</u>	<u>Primary Activities</u>
Fixed Clinical Production	Chair/Section Chief/Service Line Directors	Externally Funded Research	Graduate Medical Education
Variable Clinical Production	MD Program Administration	Institutional Match	PhD Program Effort
Purchased Service and Clinical Service Agreements	Medical Directorships	Bridge Funding Programs	Clerkships
Cash Based Volumes	Dean Positions	Research Excellence Awards	Undergraduate Medical Education
Other Clinical Activity		Early Career Salary Support	
		Start-Up Packages	
		Center/Core Directors	

AAUP Faculty Compensation Survey Data by Reynolda Campus School, 2020-21

This table reflects full time instructional faculty as defined by the AAUP Faculty Compensation Survey. Medical Campus faculty are excluded per AAUP instructions.

Special Note:

The averages in each rank category below should not be compared to those of prior years. Prior to 2020-21 WFU reported only tenured and tenure track faculty to AAUP in the Professor, Associate Professor, and Assistant Professor categories. In 2020-21, in response to clarifications that AAUP made to the instructions for their survey, WFU began reporting Teaching Professors and Professors of the Practice in the AAUP category corresponding to their title. For example, Associate Teaching Professors are included in the AAUP category of "Associate Professor."

AAUP Faculty Compensation Survey Rank Category	Arts & Sciences		Business		Divinity		Law		Other [^]		All Reynolda Campus	
	mean	n	mean	n	mean	n	mean	n	mean	n	mean	n
Professor	\$137,310	167	\$205,265	26	#	#	\$173,318	24	#	#	\$149,178	218
Associate	\$88,355	163	\$175,450	27	#	#			#	#	\$100,665	192
Assistant	\$71,662	124	\$183,718	9	#	#	#	3	#	#	\$80,937	141
Instructor	\$50,579	44	#	3	#	#	\$110,546	16	#	#	\$67,878	64
Lecturer	#	2	#	3	#	#			#	#	\$91,729	5
No Rank					#	#			#	#	\$50,150	5
ALL RANKS	\$97,122	500	\$181,935	68	\$87,127	6	\$147,764	43	\$63,137	8	\$109,303	625

[^] faculty with Cost Center that does not fall within one of the Reynolda Campus schools listed

Some data points are suppressed to protect individual privacy. Cells that reflect fewer than five persons are suppressed. Additionally, cells are suppressed that would allow the calculation of the average salary in another cell that reflects fewer than five persons -- some exceptions are made in order to retain enough data in the table for it to remain meaningful.