

East Tennessee State University

## Digital Commons @ East Tennessee State University

---

Faculty Senate Agendas and Minutes

Agendas and Minutes

---

12-1-1986

### 1986 December 1 - Faculty Senate Minutes

Faculty Senate, East Tennessee State University

Follow this and additional works at: <https://dc.etsu.edu/faculty-senate-agendas-minutes>



Part of the [Higher Education Commons](#)

---

#### Recommended Citation

Faculty Senate, East Tennessee State University, "1986 December 1 - Faculty Senate Minutes" (1986).

*Faculty Senate Agendas and Minutes*. 319.

<https://dc.etsu.edu/faculty-senate-agendas-minutes/319>

This Minutes is brought to you for free and open access by the Agendas and Minutes at Digital Commons @ East Tennessee State University. It has been accepted for inclusion in Faculty Senate Agendas and Minutes by an authorized administrator of Digital Commons @ East Tennessee State University. For more information, please contact [digilib@etsu.edu](mailto:digilib@etsu.edu).



East Tennessee State University  
Box 23534A • Johnson City, Tennessee 37614-0002

## MINUTES OF THE DECEMBER 1, 1986 FACULTY SENATE MEETING

### CALL TO ORDER

President Bill Fisher called the meeting to order at 3:35 p.m., there being a quorum present.

### APPROVAL OF THE MINUTES

A correction in the minutes of the November 17, 1986 meeting was made. Page 2, eighth paragraph, last sentence should read "Stone noted that the President of the University of Alabama spoke at the Alabama legislature two years ago against enrollment-driven funding. It is not known whether the University has since ceased this procedure."

The minutes were then approved as corrected.

### TREASURER'S REPORT

See attached report (A) for activity through October 31, 1986. Bill Fisher noted that we may not need as much funding for travel as anticipated because of the location of the next state meetings.

The treasurer's report was approved by voice vote.

### ANNOUNCEMENTS

President Fisher called attention to several hand-outs. This THEC material shows that the FTE enrollment for ETSU had 0.0% change from 1985 to 1986.

Another hand-out, a list of university committees and their open faculty slots, was given to senators. This item will be going to all faculty with a reply form to be returned as soon as possible.

The third hand-out was a copy of several pages from the Academic Equipment Requests, 1986-87 (Instructional Equipment Budget). Attention was called to the differences in prices listed by various departments for apparently the same computer equipment.

President Fisher reminded the Senate of the Spring semester starting date, January 20. Since January 19 is an official holiday, the next Faculty Senate meeting will be January 26.

Margaret Hougland reported that at the Academic Council meeting of November 6, 1986 changes in courses were approved for sociology, geology and geography and computer science. New courses were added in Military Science and Developmental Studies. The inactivation of the American Studies option in Philosophy and the Transportation and Real Estate options in the College of Business were approved. These options were dropped in order to address other

areas recommended by accrediting agencies. There was an approval of a revision in the Business Education curriculum in order to meet state certification requirements and standards for the College of Business.

In the meeting of November 20, 1986 the Academic Council approved the addition of two new courses each in the departments of Art and Human Development and Learning. The Council endorsed a proposal to waive out-of-state fees during summer term for graduate students holding an assistantship the previous spring semester. The Council approved the proposed equipment requests: Level I (Instructional Equipment and Academic and Student Support) - \$145,348 and Level II - \$35,085. Dr. Houglund noted that at the President's Council the Level I amount reported to be available had been reduced to about \$65,000. Finally, the Council noted that students should be urged to register early in January because of the January 19 holiday.

One further announcement was that the Executive Committee would meet with President Beller and Vice President Alfonso Tuesday, December 2. The agenda will include faculty evaluation progress, the \$90,000 faculty salary allocation procedures and other concerns of the colleges and schools.

#### COMMITTEE REPORTS

Al Lucero announced that the Academic Matters Committee met in November. They wish to express to the Office of Academic Affairs their desire to work with the university committee formed to deal with General Education requirements but not to assume full responsibility for the work load of the committee.

President Fisher announced that the Student Government Association had asked him to present to Faculty Senate the suggestion that the university have a standing policy on textbooks. Since there is now a search for a new bookstore manager, there is a possibility of change in procedures in the near future.

Anne LeCroy, speaking for the Concerns and Grievances Committee, announced that there will be a meeting on Friday, December 4 with Dr. Stout, at least one SGA representative and the current acting Bookstore manager to discuss textbook concerns.

She also noted that there had been no word on the memorandum sent to Dr. Beller about the recent tenure appeals case.

#### NEW BUSINESS

Anne LeCroy called to the attention of the Senators a proposal to the Senate dealing with concerns of the College of Arts and Sciences about the "Tenure and Promotion Policies for Academic Administrators". (See Attachment B)

President Fisher noted that if the new tenure policy is adopted for 1987-83 there is a requirement of a degree of student evaluation. This will be brought up in the SBR Faculty Sub-Council.

Following a discussion of the proposal, the Senate agreed that the Executive Committee should bring this proposal to the attention of President Beller at the meeting December 2.

(Senators again mentioned that four administrators are being considered for tenure this year.)

OLD BUSINESS

John Taylor commented on the hand-out "Resolutions and Motions" given to Senators. This is a listing of all resolutions and motions passed by the Senate from Fall of 1982 to summer 1986. The next step involves Senators reviewing the list. A motion was made by John Stone and seconded by Katherine Dibble that the Executive Committee determine the outcomes of these resolutions. The motion carried. This list will be given to President Beller and Vice-President Alfonso. (See Attachment C)

John Stone explained the two hand-outs, "Proposed Revisions in the FAP/FAR/FAE System" and "Merit Pay Adjustment System". Senators were asked to read these carefully, discuss with colleagues and report to the Executive Committee before Friday, December 5 if there are suggestions or changes.

Senator Zayas-Bazan moved that the Senate submit these proposals as working drafts to the University Ad-Hoc Committee reviewing the evaluation processes for their consideration. Margaret Hougland seconded and the motion was carried. (See Attachments D and E)

ADJOURNMENT

The meeting was adjourned at 4:55 p.m.

Respectfully Submitted,



Carol B. Norris, Secretary

CBN/kja

Faculty Senate Meeting  
December 1, 1986  
Attendance Record

Senators Present

Al Lucero  
Mitchell Robinson  
Gordon Ludolf  
Arne LeCroy  
Lestor Hartsell  
Paul Walwick  
John Taylor  
Betsy Williams  
Margaret Hougland  
Joseph Mattson  
Paul Monoco  
James Fields  
Donald Jones  
Greg Bishop  
Gwen Thomas  
John Stone  
Katherine Dibble  
Richard Verhegge  
David Chi  
Carole Connolly  
Donald Ferguson  
Robert Stout  
Edwardo Zayas-Bazan  
Frederick Waage  
Pat Flaherty  
Etta Saltos  
William Fisher  
Carol Norris

Senators Absent

Mark Airhart (excused)  
Peggy Cantrell  
David Close  
Glenda DeJarnette  
Betty Edwards  
Tom England  
Linda Kerley  
Ruth Ketron  
James Pleasant  
Carol Pullen  
Karen Renzaglia  
Bob Samuels

Guests

Wilsie Bishop  
Rachel Shultz

# Education pressures mounting

JCPRESS, Sun., 1-18-87,  
By Edward B. Fiske

© 1987 N.Y. Times News Service

NEW YORK — American colleges and universities, which have operated for more than three centuries on the premise that the fruits of higher education are self-evident, are facing mounting pressure to prove that their students are being educated.

Public institutions in at least half a dozen states have begun testing students, first as freshmen and then as seniors, to measure how much they have learned. Assessment of seniors' mastery of their major fields, in some cases by outside professional groups, is also on the increase.

Cheered on by the National Governors' Association, a few states have begun linking university budgets to proof of teaching efficiency. Tennessee has already distributed \$50 million on this basis, and last month Gov. John Ashcroft of Missouri announced a plan to do likewise.

"Most colleges and universities simply do not know what their students are learning," Ashcroft said.

While public institutions have felt most of the pressure for formal accountability, private colleges and universities are not immune.

Harvard University, for example, has established a faculty commission, with some non-Harvard members, to study how to improve its teaching. Other schools, including the College of New Rochelle in New York, are doing more research to document the success of their graduating seniors in winning jobs or places in graduate school.

The growing scrutiny is an extension of a nationwide movement that has so far focused on improving primary and high schools. "It was only a matter of time before government officials and other critics would cast their eye on higher education as well," said Derek Bok, the president of Harvard, in his last annual report.

Others see the trend, at least in part, as a backlash against the cost of education. With tuition at many institutions rising at double the inflation rate, legislators and families are seeking assurances that the institutions take their teaching responsibilities seriously.

Educators point out that the trend challenges some of the most fundamental principles of higher education, including the autonomy of the professor in the classroom and the authority of colleges and universities to define their missions and standards.

"Until recently the definition of a college education was obvious," said Joan E. Bailey, assistant vice president for academic affairs at the College of New Rochelle. "A college education was doing what the faculty said was necessary at a level of competence determined and measured by the faculty."

Over the last two years, at least four major reports have criticized undergraduate teaching in this country, including one last November by the Carnegie Foundation for the Advancement of Teaching that described the undergraduate college as a "troubled institution."

Political leaders have joined in the criticism, including Education Secretary William J. Bennett. In a speech at Harvard in October, he accused that institution of tolerating "too many intellectual and educational casualties," raising the spectre of "an erosion of public support" for higher education as a whole.

The National Governors' Association at a meeting last summer at Hilton Head Island, S.C., issued a report saying: "Many colleges and universities do not have a systematic way to demonstrate whether student learning is taking place. Rather, learning — and especially developing abilities to utilize knowledge — is assumed to take place as long as students take courses, accumulate hours and progress 'satisfactorily' toward a degree."

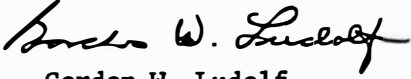
P.O. Box 224504

Carol Morris

JAN 23 1987

EAST TENNESSEE STATE UNIVERSITY FACULTY SENATE FINANCIAL REPORT

Attachment A

Budget Categories and Items	Budget 1986-87	Expenses October 1986			Total Expenses To Date 10-31-86	Remaining Balance 10-31-86
I. Travel (3009) In-state travel (3150) Encumbrances	\$2090.00	\$513.00			\$718.00 511.00	\$861.00
II. Operating Expenses (4000) Duplication-Off Campus (4140) Printing by E.T.S.U. (4110) Telephone (4210) Data Processing (4420) Supplies (4500)	2100.00	\$10.00 142.00			354.00	1746.00
III. Scholarships-RWSP (1410)	1000.00	57.00			174.00	826.00
TOTAL	\$5190.00	\$722.00			\$1757.00	\$3433.00
Respectfully submitted,   Gordon W. Ludolf Treasurer  December 1, 1986						



TENURE AND PROMOTION POLICIES FOR ACADEMIC ADMINISTRATORS  
College of Arts and Sciences

Current practice at East Tennessee State University is to hire people into academic administrative positions and to offer tenure in one of the academic departments.

Several problems are inherent in this practice:

1. Since the person was hired as a full-time administrative officer, it is not clear whether staffing needs of the tenure-granting department were considered at the time the administrative officer was hired.
2. It is also not clear whether the academic department in question played a significant role in determining the academic qualifications of the administrative officer. The staffing needs of the department and academic qualifications of its faculty are the responsibilities of each department.
3. The criteria for evaluating academic administrators are also currently unclear. For example: a faculty member applying for tenure has to be a full-time tenure-track member of a given department. Primary responsibilities of this faculty member are teaching, service, and scholarly activities. The regular full-time faculty member is evaluated in terms of his/her full-time teaching load, supplemented by other activities.

SBR policy prohibits the granting of tenure in an administrative position. Therefore, administrators, seeking tenure, must do so in a department. However, their activities within the tenure-granting department are, by and large, minimal. Moreover, the standards by which the teaching, research and service activities of administrators are evaluated may need to be different from those applied to full-time faculty members.

In general, there seems to be a need to address the criteria and procedures under which academic administrators are hired to a tenure-track position in a department as well as the criteria and evaluative standards used to judge their application. The following is an effort to address these categories of concern:

Tenure-track Appointment of Academic Administrators

1. No tenure-track position shall be offered to any person hired into an academic administrative position without the consent of the relevant department. Such consent will depend on the department's evaluation of its staffing needs and the qualifications of the candidate.
2. If the department consents to offer a tenure-track position, the department shall also recommend whether and how much prior credit (years) is to be granted toward achieving tenure.
3. If the department consents to offer a tenure-track position, the department shall also recommend an appropriate academic rank.
4. If accepted into a department, the academic administrator is to participate in the yearly FAP-FAR process.

## Granting of Tenure to Administrators

### Service

Administrative service shall not be considered as relevant criteria for promotion and tenure by department, committee, or the dean, unless a formal evaluation, as specified by the Faculty Handbook, is conducted and copies of the evaluation are provided.

### Teaching

Taught five regularly-scheduled academic courses, excluding summer sessions, as assigned by the department in which the academic administrator holds a tenure-track position.

### Research

Candidates for tenure shall be judged on the basis of a modest level of research productivity consistent with their administrative load. Candidates for promotion would demonstrate an additional level of research productivity beyond that required for tenure.

RESOLUTIONS AND MOTIONS

- Feb. 23, 1982      Returning of Test
    - a. All tests should be returned for inspection prior to any comprehensive examination.
  
  - Oct. 4, 1982      Student Evaluation of Faculty
    - a. Results are meaningless unless there are norms available to compare their ratings with others.
    - b. Was mentioned that national & local norms are available for SIR
    - c. Norms were available last year.
  
  - Nov. 1, 1982      Grade Appeal Process
    - a. Several changes in draft presented by Dr. Goodman
    - b. copy of revision attached to each senator's agenda for March 7, 83
    - c. Student may appeal grade course within one year (calendar) of day grade was assigned.
  
  - Dec. 6, 1982      Exam Schedule
    - a. Because of students work schedules, final examinations be scheduled only on a day of week that, & beginning at approximately the same time that, the class normally meets during the semester.
  
  - Feb. 7, 1983      University Governance
    - a. Committee to be composed of 12 faculty members and 6 non-faculty members.
    - b. President & Vice President of faculty senate to be standing members of President's Council.
    - c. President of F/S be standing member of President's Councils Executive committee.
- Have*
- Mar. 7, 1983      Free Inquiry, ETSU Libraries, & Special Collections
    - a. Freedom to select books and material for Library
    - b. Freedom of access to books and materials
    - c. Motion made that F/S support this (attachment #3)
  
  - April 4, 1983      Commencement Policy Alteration
    - a. Amend original proposal
    - b. Proposal to read: "this is contingent each year on approval of Dean and the graduating class."
  
  - April 4, 1983      Faculty Development
    - a. Purpose is for faculty development
    - b. Four recommended components by Dr. Aleamoni
      - 1. peer evaluation
      - 2. student perception of teaching
      - 3. self-evaluation
      - 4. level of learning
  
  - April 4, 1983      Retention of Papers
    - a. Faculty members to retain for 1 calendar year if not returned to students.
    - b. Upon departure of a faculty member, papers are to be given to departmental chairperson.

## Resolutions and Motions

Page 2

- May 2, 1983            Contracts and Grants
- a. 1/2 of overhead funds to be allocated to principal investigator's college.
  - b. 1/2 to PI's department (attach. 1&2)
- May 2, 1983            Quality Education
- a. F/S recommends & encourages the formation of an Independent Study Commission
- Sept.12, 1983          Sexual Harrassment
- a. Be approved with seven changes
  - b. Incident(s) should be reported ASAP.
  - c. Dual filing system be maintained to identify persons abusing policy.
- Sept.12, 1983          Opening of Campus Mail
- a. Incoming mail to faculty unopened unless authorized by that person
  - b. Outgoing mail not to be examined without supervision of post office upon consent of faculty member.
- Sept.12, 1983          Supplement Salary for Acting Chairmen
- a. Chairperson shall receive the stipend as provided under Chair Salary/Stipend Policy instituted this year.
  - b. Was noted that policy had already been implemented by Vice President's office.
- Oct. 19, 1983          Faculty Development & Evaluation Committee
- a. Student evaluation of faculty adopted by Management & Marketing Department
  - b. Important for self-improvement
- Nov. 21, 1983          Policy on Patents and Copyrights
- a. Be amended to include coverage of "Trademarks"
  - b. Include a mechanism by which University can pay application fees as required.
- Nov. 21, 1983          Chair Review
- a. Being reconducted to account for lost reviews for 82-83 be made and not to occur in future.
  - b. Consider both letter and intent of faculty handbook guidelines for chair review & decide if procedures have been administered in good faith.
- Dec. 5, 1983          Pass- Fail Grading Policy
- a. Amended to add graduate students pursuing degrees have approval of advisor and dean of graduate studies to take in excess of 10% of work of pass-fail option.
- March 5, 1984          Medical Plan for Faculty and Staff
- a. Plan offers fee reduction of 30% if payed at time of services.
  - b. Payable by cash, check, Visa or Master-charge
  - c. Refer to Feb.20, 1984 minutes for copy of plan. Motion endorsed.

Resolutions and Motions

Page 3

- Mar. 19, 1984      University Council
- a. President of University can hear from all constituents before final decision is made.
  - b. This would be an added layer to Univ. Governance that is really needed
  - c. Endorse proposal on Univ. Governance.
- April 16, 1984      University Bookstore's Textbook Policy
- a. Add recommendation stating "staying open first 4 class days of each semester excluding Friday's until 9 p.m.
  - b. Request formal response to recommendations from bookstore
- May 7, 1984      Definition of Research
- a. Includes scholarly & creative activities - motion passed
  - b. Each dept. prepare statement of research expectations of its faculty for promotion and tenure, etc.
  - c. Relationship between FAP/FAR/FAE documents & the promotion and tenure guidelines need to be clarified & addressed in faculty handbook.
  - d. Written rationles for decisions by dept. & college review committee & college dean be included in each promotion and tenure dossier.
  - e. "Should" means "are required to" be included
- July 2, 1984      Revision of Faculty Handbook
- a. Is of major significance to faculty
  - b. Task Force be reconstituted to include all current T.F. members willing to continue to serve & members of Academic Matters Committee of F/S.
  - c. T.F. report both to V.President for Academic Affairs and F/S. Motion made and passed.
- Aug. 6, 1984      Tenure Policy
- a. F/S have some input in tenure policy
  - b. Changes in Draft Policy on Academic Freedom, Responsibility and Tenure endorsed.
- Aug.27, 1984      Faculty Evaluation
- a. A status report on departmentally based peer & student evaluation policies be prepared by VPAA in conjunction with Deans.
  - b. Not all departments have developed policies, while some have done an admirable job.
  - c. Motion passed 29 for, 2 against and 1 not voting.
- Sept. 1984      Rules of Tenure
- a. Copies of resolutions received from MTSU and MSU
  - b. Williams moved adoption of resolution
  - c. Resolution sent to State Board of Regents

Resolutions & Motions

Page 4

- Oct. 15, 1984 Summer Teaching
- a. Academic Committee collect existing policies from departments, summarize and distribute to academic deans and chair persons, asking latter to devise own policy.
  - b. Academic council be supportative
- Oct. 15, 1984 Sexual Harrassment
- a. Report incident(s) as soon as possible
  - b. Alleged charges occuring more than 1 calendar year before being filed will be invalid unless circumstances warrant otherwise
  - c. Dual filing system to be kept for those abusing policy. Motion approved.
- Nov. 5, 1984 Parking Problems
- a. All parking & traffic regulations be consistantly enforced beginning with first day of classes each semester.
  - b. Fire lane, handicapped & no-parking be enforced 24 hours a day, seven days a week.
- Nov. 19, 1984 Pass-Fail Policy
- a. Reviewed by committee
  - b. Endorse policy as presented
  - c. Motion passed
- Dec. 3, 1984 Student Assessment Instruction
- a. Policy of calculating & reporting means and standard deviations of student responses to Student Assessment of Instruction form be abolished.
  - b. Summary of faculty members' scores consist of frequency and relative frequency distribution of student responses to each item.
  - c. Inappropriate calculation & reporting of item means and standard deviations be discontinued.
- Dec. 3, 1984 Financial Exigency Proposal
- a. Executive committee proposed the first 5 criteria remain as currently printed in proposed policy. (tenure, rank, seniority with rank, local seniority within rank & length of service at ETSU)
  - b. Following be included: Performance evaluations are an inherent part of promotion and tenure decisions. Therefore, performance is a determinant of the tenure, rank & longevity factors listed above. If equality of all the above factors exists, then a special performance evaluation covering the academic careers of the faculty members involved shall be the final deciding factor.
- April 15, 1985 Impediments to Research
- a. Release time
  - b. Travel funds
  - c. Graduate students/research assistants
  - d. Research graduates
  - e. Research expectation and evaluation
- Following lengthy discussion of survey responses, the above recommendations in form of resolutions were given to F/S for endorsement.

Resolutions and Motions

Page 5

- Sept. 9, 1985      Exit Interview Committee
- a. Resolution introduced to modify structure and membership of new, standing Exit Interview Committee previously developed by Senate.
  - b. Motion was adopted and passed
- Sept. 9, 1985      Faculty Development & Evaluation
- a. Russ West reintroduced eight resolutions which his committee had drawn up and presented earlier in year.
  - b. Resolutions passed on a voice vote.
- Feb. 3, 1986      Nuclear Weapons
- a. Increase efforts to acquire and distribute curricular material
  - b. Encourages faculty members to develop and implement courses
- Feb. 17, 1986      Intercollegiate Activities
- a. Margaret Houland moved this resolution be removed from the table.  
  . Motion was seconded and carried.
  - b. Motion reworded and appears as attachment G. Motion carried.
- student eval. guidelines*
- June 2, 1986      Research Committee/BITNET
- a. F/S endorsed and encourages connection of BITNET
  - b. An international network linking more than 300 computers at institutions of higher education and research centers.
- June 2, 1986      Research Committee/Univ. School Research
- a. All university units consider utilizing Univ. School environment for joint research projects.
  - b. New faculty members be informed of purpose of Laboratory School and encouraged to use it.
- June 2, 1986      Travel Procedures
- a. Univ. President express opposition to State Board of Regents
  - b. Philosophically undermines areas which university stands
  - c. President of Univ. requests policy be nullified

PROPOSED REVISIONS IN THE FAP/FAR/FAE SYSTEM

The proper aim of a merit pay system is to provide an incentive for everyone to do their best. Contrary to this aim, ETSU's present system of allocating merit pay encourages only those who have a good chance of out-producing their colleagues. Those who have a lesser chance not only fail to receive encouragement, they are discouraged from trying at all. To them, ETSU's present system offers only invidious and depreciating comparisons.

Justification for the present system is based, in part, on a misunderstanding of the role of competition in economic productivity. In the open market, the free enterprise system allocates rewards only to the most effective entrepreneurs. Such an arrangement is economically desirable in that those who are efficient are encouraged to continue their efforts and those who are inefficient are discouraged from wasting scarce resources.

In the open market, individuals can compete as individuals; but the economic advantages derived from specialization and scale usually favor those who work in cooperation with others and share the benefits of mutual efforts. Whether cooperation is secured through contractual arrangements among individuals or between individuals and a corporate collectivity, the aim of the arrangement is to enhance mutually shared productivity through cooperative activity. Thus, while competition within the broader marketplace is desirable, competition within the various economic collectivities which populate the marketplace is frequently counter-productive.

Such is the case with a university. For example, the reputation of an institution is a benefit or detriment to each member of the academic community regardless of whether he or she is personally responsible for the good or bad features of that reputation. Similarly the poor morale of individual workers influences the effectiveness and satisfaction of co-workers and ultimately the effectiveness of the whole institution. Saying that the individuals who are ineffective and/or demoralized deserve their fate as competitive "also-rans" does nothing to lessen the loss of shared benefit to all. Thus a system of incentives which encourages a select few while discouraging and demoralizing many others is bound to result in a diminished collective effectiveness.

Some may argue that the remedy for unproductive or demoralized personnel is to replace them. But if the competitive arrangement which rewards only the highest producers is the cause of their poor productivity and low morale (the argument advanced here), what will happen with



their replacements? Logically they too will either excel or be fired; and if they excel, then which others will become victims of such "social darwinism." And what of the effectiveness of the whole in the meanwhile? How will an optimal productivity ever be attained under such conditions?

Plainly, a competitive incentive system is not compatible with the cooperative activities sought by a university, and the present system of merit pay allocation at ETSU is such a competitive arrangement.

#### CHARACTERISTICS OF THE PRESENT SYSTEM

1. The competitive nature of the present system does not allocate equal rewards for all when all do equal and excellent work. Rather it arbitrarily forces distinctions to be made even if on the grounds of trivial and subjective considerations. Said differently, if maximized productivity by all is the ultimate purpose of using an incentive system, the present system becomes increasingly counter-productive as the goal is approached.

2. The present system does not allocate rewards which are fairly proportional to differing levels of accomplishment. Rather huge differences in reward are frequently predicated on minor differences in performance. Those who are slighted are angered and those who are rewarded are frequently embarrassed.

3. The present system routinely fails to reward those with substantial accomplishments simply because it was their bad fortune to be in an academic unit with other high achievers. Clearly such an outcome is not conducive to mutual support and cooperation.

4. The present system fails to reward steady producers and instead remunerates only those who able to outstrip their colleagues in a given year. In effect, it provides no means for carrying over to succeeding years merit credit which has been earned but not remunerated.

5. The present system fails to adjust for year-to-year differences in the availability of funds for merit pay. Thus those who are recognized for their accomplishments in some years are handsomely rewarded while those in other years receive only tokens of appreciation, if anything.

One other effect of the failure to adjust for differences in available funds is that periodic "equity" adjustments are required. At best such adjustments can be accorded only for inequities which are obvious enough to be readily identified, and even in those instances there is question as to how much of a given inequity is due to shortcomings of the system and how much is due to lack of meritorious accomplishment.

*See other hand out*

6. The present system arbitrarily assigns percentage weights to various areas of faculty effort regardless of actual effort or accomplishment in those areas. Thus for example, those who have a twelve hour teaching load are assigned an 80% weight for that area leaving a 20% weight for research and service. While exceptional accomplishments in research and service are theoretically eligible for bonus credit, such additional credit is accorded infrequently and only in obviously exceptional instances.

7. The present system numerically sums annual accomplishments in such a way that relatively weak performance in one area can obliterate the merit worth of superlative accomplishments in another area. For example, an individual may have 3 articles and a textbook published in a given year but receive only a mediocre overall evaluation because of tepid student ratings.

Given the degree and nature of the problems with the present merit system, it is difficult to argue with those who say that ETSU would be better served by a salary schedule and across the board cost-of-living-adjustments. Considering higher education as a whole, neither the changes in faculty working conditions nor those in the state of educational excellence over the past twenty years inspire confidence in "modern managerial tools" such as merit pay.

#### PRINCIPLES AND CONCEPTS FOR A REVISED SYSTEM

1. The merit value of faculty activities would be established at the time of FAP negotiations. The value would be stated in points, and the points converted to dollars by a method stated in item 4 below. Unlike the present system, the merit worth of activities would be known in advance. Even matters such as qualitative assessments would be established in terms of a range of points which might be added or subtracted to the usual sum allocated for the activity.

2. The point value of various activities would be established by individual departments with due consideration for the responsibilities, aims and priorities of the department. Routine activities would be accorded a standard number of points as stated in a schedule. The point value of unusual activities would be negotiated between individual faculty and chairperson and/or a departmental committee charged with making such determinations. Failure to negotiate a satisfactory point value for an unusual activity might result in the faculty member deciding not to pursue that activity.

The point values of activities would be unique to each department, and subject to change from year to year as

changed priorities and other considerations dictated adjustments. The record-keeping aspects of such a system could be greatly facilitated through application of spreadsheet software. The setting of point values and other details in the workings of the system would be, in part, a trial and error process requiring considerable departmental attention during the first two or three years of operation. It is likely that a consultant working out of Academic Affairs could be helpful in helping departments to shape and revise their systems. As an example, the point schedule devised by an academic department for the areas of "research" and "service" is attached.

3. If an additional activity were completed during the year, points would be added. And if an activity were planned but not completed, the individual faculty would only fail to acquire the points for that activity. By contrast, under the present system, prudence dictates conservative planning because failure to complete planned activities is viewed as a negative indicator of overall quality.

4. The dollar value of points would be determined at year's end by dividing total points earned by all faculty within the department into the merit pool (pool of merit dollars allocated to the department). As an alternative, departments might set a number of points as a minimum expectation and compute merit on the basis of points above the minimum. Merit allocations for individual faculty would be computed by multiplying the individual's earned points times the dollar value of a point. Unlike the existing arrangement, such a system would be fair in that small differences in merit would be accorded small differences in dollars. In other words, unlike the present system, everyone would receive their fair share of merit dollars regardless of whether the merit pool is large or small.

Differences in the annual point value of a merit point would be accommodated by a system of annual point value adjustments (see attached "Merit Pay Adjustment System").

5. Adjustments for activities not completed and qualitative considerations would be agreed upon by faculty and chairperson with pro rata allocations for partially completed work and pre-established point additions and deletions for qualitative adjustments. In case of disagreements between faculty and chair, a department could choose to have such matters resolved by placing them before a review committee. However, in the interest of insuring the minimal subjectivity sought by this evaluation system, a review committee would be expected to arrive at a consensus among members. This recommendation would be in distinct contrast to the widely used practice of averaging widely varying and often indefensibly subjective ratings.

*Cooperative rather than competitive. All in dept. work together.*

*avoid subjectivity*

6. Merit dollar pools would be allocated to departments at the dean's level and to colleges at the vice presidential level. The dollar amounts (or proportions of the University allocation) allocated to the various units would be subject to annual negotiations based primarily on academic unit size and secondarily on qualitative appraisals of overall unit plans. Adjustments of the dollar amounts (or proportions) at year's end would be based on completion rates of accomplishments and qualitative considerations. Again, the range of qualitative adjustments would be established in advance.

7. The merit dollar pool would be the dollars allocated above an annual cost-of-living-adjustment (COLA). Such a requirement would be a vital element in preventing the undermining of tenure rights by protecting real income from reductions due to inflation.

#### OTHER CONSIDERATIONS

The proposed system does not and cannot entirely remove the competitive aspects of merit pay allocation, but it does minimize them in a way that most faculty would perceive as fair. Such a change would be a very substantial step toward the development of a sense of loyalty, cooperation and mutual support which has often been lacking at ETSU.

The present system or a similar one might be defensible if looked at only from the standpoint of short term gains in productivity, but its longer term impact is all too apparent. By analogy, instructors at ETSU could gain a considerable degree of student productivity by routinely employing "pop quizzes." But that practice is not often used because students see it as unfair and demoralizing. Similar considerations should be taken into account in revising ETSU's merit pay system.

November 24, 1986

MERIT PAY ADJUSTMENT SYSTEM

PURPOSE

This system of cumulating earned merit points is designed to overcome salary inequities which are caused by the year to year differences in funds available for merit pay. With it, those faculty who have the bad luck of doing exceptionally good work in a year when little or no merit pay is available will be rewarded equivalently to those who excel in well-funded years.

Another advantage of this proposal is that it would greatly enhance mutual support, cooperation and faculty morale within departments by allocating merit funds to departments as a pool to be divided within the department. The amount of the departmental pool would be dependent on the overall productivity of the department in relation to the size of the department.

STRUCTURE AND CHARACTERISTICS OF THE SYSTEM

The following system translates points earned for meritorious work in teaching, research and service into dollars by dividing the cumulative total of points earned by all department members into the cumulative total merit dollar pool received by the department over the preceding years in which the system has been in operation. The resulting "current annual value of a merit point" serves as a basis for awarding merit pay in direct proportion to the cumulative merit earned by individual faculty members.

For each departmental member, a record is kept of yearly merit points earned and of cumulative merit points earned from preceding years. A record of cumulative merit pay received is similarly recorded. An estimated cumulative merit pay amount is computed by multiplying the individual's cumulative merit points times the current annual value of a merit point. The difference between cumulative merit pay received from previous years and the present estimate of cumulative merit pay earned is the amount of merit pay recommended annually.

AN EXAMPLE

The following example illustrates the operation of the proposed system as it would affect the salaries in a three person department (Professors A,B and C) during a six year period. Professor D is added to the department during years four and five as an illustration of how faculty can be added and removed from the cumulative point totals without

disturbing the equity among the other department members. Also A, B and C are shown to earn equal totals of merit points over the six years as an illustration of how the system allocates equal dollars for equal points.

Merit salary pools of varying amounts (depending on the availability of funds and overall departmental merit as evaluated annually by the dean) are awarded to the department, and the pool is divided among department members in accordance with the methods described above. Also a 4% cost-of-living-adjustment (COLA) is added annually.

The current annual value of a merit point is calculated by dividing the cumulative total merit dollar including the present year by the cumulative total merit points earned within the department, including the present year.

The only exceptions are that the data for Professor D's first year are not included in that year's departmental total. Instead it was necessary to base Professor D's merit recommendation on his share of the merit points for that year ( $4/18 * \$2431 = \$540$ ). Also it was necessary to estimate a proportional number of cumulative points by multiplying the ratio of his first year points to the annual total earned by other department members times the cumulative point total of the department ( $4/14 * 53 = 15$ ). Professor D's estimated cumulative dollars earned was calculated as 15 points times \$178.55 equaling \$2678.

One seeming anomaly should be noted in the recommended merit increases. In years 3 and 4 Professor C is the recipient of a negative merit recommendation as indicated by the sums in brackets. Such an outcome is the result of a substantial deflation of merit point values in conjunction with a decline in individual faculty productivity. Professor C earned 10 points in years 1 and 2 and only 5 points in years 3 and 4. During years 1 and 2 the merit pool was \$7572 and only \$1981 during 3 and 4.

In year 3, Professor C's negative recommended amount was of no consequence because there was no merit money allocated for anyone. In year 4 Professor C's negative amount of \$26 would result in proportional reductions (not shown) of the merit recommendations for Professors A and B. Professor C, however, would suffer no inequity from not having received a merit increase for these two years because, in truth, Professor C would have had the use of an unearned merit amount for that period of time.

Salary	Annual Points Earned	Cum. Points Earned	Cum. Dollars Earned	Cum. Dollars Received	Recommended Merit Increase
--------	----------------------------	--------------------------	---------------------------	-----------------------------	----------------------------------

YEAR 1

A \$20000	6	6	\$1000	\$0000	\$1000
B 30000	5	5	833	0000	833
C 40000	4	4	667	0000	667
Totals	<u>15</u>	<u>15</u>	<u>2500</u>	<u>0000</u>	<u>2500</u>

Departmental Pool = \$2500

Current value of merit point  $\$2500/15 = \$166.67$

YEAR 2

A \$21800	5	11	\$2975	\$1000	\$1975
B 32033	2	7	1893	833	1060
C 42267	6	10	2704	667	2037
Totals	<u>13</u>	<u>28</u>	<u>7572</u>	<u>2500</u>	<u>5072</u>

Departmental Pool = \$5072

Current value of merit point  $(\$2500 + 5072) / 28 = 270.43$

YEAR 3

A \$24647	5	16	\$3106	\$2975	\$ 131
B 34374	4	11	2136	1893	243
C 45995	2	12	2330	2704	[374]
Totals	<u>11</u>	<u>39</u>	<u>7572</u>	<u>7572</u>	<u>0000</u>

Departmental Pool = \$0000

Current value of merit point  $\$7572 + 0000 / 39 = 194.15$

Salary	Annual Points Earned	Cum. Points Earned	Cum. Dollars Earned	Cum. Dollars Received	Recommended Merit Increase
--------	----------------------------	--------------------------	---------------------------	-----------------------------	----------------------------------

YEAR 4

A \$25633	4	20	\$3571	\$2975	\$ 596
B 35749	7	18	3214	1893	1321
C 47834	3	15	2678	2704	[26]
Totals	<u>14</u>	<u>53</u>	<u>9463</u>	<u>7572</u>	<u>1891</u>

-----  
 D 20000 4 15 2678 540  
 -----

Departmental Pool = \$2431 - 540 = \$1891  
 Current value of merit point ( $\$7572 + 1891$ ) / 53 = \$178.55

YEAR 5

A \$27254	3	23	\$4049	\$3571	\$ 478
B 38500	4	22	3873	3214	659
C 49748	6	21	3697	2678	1019
D 21340	5	20	3521	2678	843
Totals	<u>18</u>	<u>86</u>	<u>15141</u>	<u>12141</u>	<u>3000</u>

Departmental Pool = \$3000  
 Current value of merit point ( $\$12141 + 3000$ ) / 86 = 176.06

YEAR 6

A \$28822	4	27	\$4706	\$4049	\$ 657
B 40699	5	27	4706	3873	833
C 52757	6	27	4706	3697	1009
Totals	<u>15</u>	<u>81</u>	<u>14118</u>	<u>11619</u>	<u>2500</u>

Departmental Pool = \$2500  
 Current value of merit point ( $\$11619 + 2500$ ) / 81 = 174.31



SUMMARY ANALYSIS OF SIX YEARS

The following table summarizes selected aspects of the financial gain experienced by Professors A,B and C. Although they received equal merit salary recommendations (item 1) for the six years, the total increase in their base salaries (item 4) and their total take-home dollars varied with their beginning salaries and the years in which they received merit increases.

Professor A had the greatest gain in base salary due to merit and the 4% COLA (item 2) because over 60% of his merit increases came in the first two years. For the same reason he also had the greatest sum of take-home dollars (item 5). By contrast, Professor C who may have been the most senior member of the department had the least take-home dollars (item 5) because over 40% of his points were earned in the last 2 years. Professor C, however, had the greatest total increase in base salary (item 4) because his high initial salary gained the greatest dollar increases from the COLA.

Finally it should be noted that all of these increases are the result of an average annual merit increase of approximately \$785 compounded by a modest COLA (4%) -- a percentage commensurate with a moderate rate of inflation.

Merit pay additions to base salary, even ones that appear to be small, make substantial differences in salary and, moreover, in take-home income.

	A	B	C
1. Total recommended merit increase	\$ 4706	\$ 4706	\$ 4706
2. Increase in base salary due to merit x COLA	5326	5201	5263
3. Increase in base salary due to COLA only	5306	7959	10613
4. Total increase in base salary	10632	13160	15876
5. Total take-home dollars due to merit x COLA	20823	17568	13282