

APPENDIX I The SOM Compensation Appeals Committee

AN APPEALS COMMITTEE AND APPEALS PROCEDURE FOR THE SOM FACULTY COMPENSATION PLAN.

An Appeals Committee will be formed by the election of 7 faculty members from the School of Medicine (SOM). It will be called the **SOM Compensation Appeals Committee**. It is charged with hearing appeals and grievances that arise from the Compensation Plan for the SOM. The rules and procedures to handle appeals about compensation will be developed by the Compensation Appeals Committee and are subject to the approval of the SOM Dean's Council.

Outline of the Appeal Procedure

1. Appeals related to annual merit ratings, and decisions to award or not award merit increases or clinical incentives must be made directly to the Appeals Committee within thirty calendar days of the receipt of the written notification of the decision.
2. The Compensation Appeals Committee will make a determination of the merit of an appeal and will refer its decision to the Dean of the School of Medicine for final action. The Appeals Committee may consider only data that were originally submitted to the Executive Committee. No additional data or CREAM profile changes will be considered.
3. Further appeals are possible to the Health Center Appeals Committee and the Health Center Board of Directors as defined by the Bylaws of the University.

Membership

Three members of the Compensation Appeals Committee will be from Basic Science Departments and four members will be from Clinical Departments. All full-time SOM faculty who are covered by the compensation plan are eligible to serve on the Compensation Appeals Committee except those who serve on the Executive Committee of the Compensation Plan, and the Health Center Appeals Committee, and Deans of any rank, Department Heads, and Type 2 Center Directors cannot serve on the Appeals Committee. Members will serve for a three-year term with one third of the committee elected each year.

The Dean's Council will conduct an election to select the membership of the Compensation Appeals Committee. In each election, the faculty with the most votes will be elected.

Appendix II. RULES AND PROCEDURES OF THE SOM COMPENSATION APPEALS COMMITTEE

A. The appellant:

1. Must submit a written appeal with all supporting documents to the office of the Associate Dean for Faculty Affairs within 30 calendar days of receiving written notification of his/her merit rating and/or compensation award. Exceptions may be made by the Associate Dean for Faculty Affairs for extraordinary circumstances (i.e. delayed notification, leave, illness, etc.);

2. Is responsible for ensuring that all pertinent materials related to the appeal are submitted to the Associate Dean for Faculty Affairs.
3. Supporting documents must at a minimum include the following from the year pertaining to the appeal:
 - a. an explanation of the appellant's reason(s) for submitting the appeal (maximum one page);
 - b. the appellant's annual merit forms (if applicable);
 - c. grant abstracts (if applicable);
 - d. full copy of publications (if applicable);
 - e. summary of ongoing/completed clinical trials (if applicable);
 - f. teaching/curricular materials (if applicable);
 - f. list of awards (if applicable)

B. The committee:

1. Will attempt to render a decision within 60 days of receiving an appeal and all supporting documents. The committee will render a decision on an appeal no more than 180 days after an appeal and all supporting documents are received by the committee;
2. Will review appeals in the order they are received;
3. Reserves the right to interview the appellant, appellant's chairperson (Chair or Center Head), and anyone who might provide pertinent information related to the appeal;
4. Will have access to and may review the details of the compensation awards and procedures from other members of the applicant's division/department/center and for other members of the SOM;
5. Will meet as needed to hear appeals.
6. A quorum (5 or more voting members) will be required for a meeting to take place.
7. Each committee member will review all submitted materials.
8. Committee members will be permitted to recuse themselves from voting.
9. A majority vote will be necessary to recommend approval of the appeal.
10. Once the Appeals Committee has voted, its recommendation will be sent, in writing, with a rationale, to the Associate Dean for Faculty Affairs (ADFAF), as liaison for the grievance process. The ADFAF will convey the recommendation to the Dean of the SOM. Once the Dean has rendered a decision to accept or reject the

recommendation, the ADFAF will give the Appeals' Committee's recommendations together with the Dean's decision to the appellant, Compensation Plan Administrator, and appropriate department chairperson/center head will be notified in writing. In addition, if the outcome affects salary or merit pay, the Chief Financial Officer of the SOM will be notified.