

**INSTITUTE OF SCIENCE AND PUBLIC AFFAIRS (ISPA)
FACULTY PERFORMANCE EVALUATIONS, MERIT PAY INCREASE, AND
PROMOTION CRITERIA & PROCESS FOR SPECIALIZED/NON-TENURE-TRACK-
FACULTY**

REVISED FEBRUARY, 2014

I. ANNUAL FACULTY PERFORMANCE EVALUATIONS:

Criteria:

The performance of all faculty members, with the exception of those on personal leave of absence and/or those not being reappointed who have either received or are not entitled to receive a notice of non-reappointment, is evaluated annually during the Spring Semester. Faculty members receive notification that the annual evaluation will be conducted during the Spring Semester and are requested to provide evidence of their performance in the form of a memo or report to support assigned duties for the preceding calendar year. The Evidence of Performance memo/report provides the basis for the performance rating on the Annual Faculty Evaluation Summary form and might include supporting data and/or interpretive comments as appropriate in the evaluation of the faculty member's performance.

Faculty Performance Evaluations are based upon assigned duties and responsibilities, taking into consideration the nature of the assignments and quality of performance. When evaluating a faculty member's performance, the following elements are considered if applicable to the assigned duties and responsibilities:

- Ability to teach in an effective manner through oral and written instruction
- Contributions to research and other creative activity including effectiveness at securing external funding and timely completion of contractual obligations
- Effectiveness in providing professional services to the public and private sectors of the community, state, and nation
- Contributions in the area of service to ISPA and the University
- Providing effective service to public and/or private schools including judging debates, science and/or history fairs, and geography bee
- Other University duties, contributions, and/or effectiveness as appropriate to the assignment

The following five categories are used when evaluating the faculty member's performance of duties:

- Meets FSU's High Expectations – This describes an individual who demonstrates the requisite knowledge and skills in his/her field of specialty and completes assigned responsibilities in a manner that is both timely and consistent with the high expectations of the university.
- Exceeds FSU's High Expectations – This describes an individual who exceeds expectations during the evaluation period by virtue of demonstrating noted achievements, as appropriate to the assignment, in teaching, research, and service, which may include several of the following: high level of research/creative activity of national importance, attaining national achievements, awards, and recognition, willingness to accept additional responsibilities, high level of commitment to the overall mission of the Department, involvement/leadership in professional associations, initiative in solving problems or developing new ideas.
- Substantially Exceeds FSU's High Expectations – This describes a faculty member who far exceeds performance expectations during the evaluation period and achieves an extraordinary accomplishment or recognition, as appropriate to the assignment, in teaching, research, and service, which may include several

of the following: highly significant research or creative activities of international importance; demonstrated recognition of the individual by peers as an authority in his/her field; securing significant external funding; attaining significant international achievements, awards, and recognition.

- Official Concern – This describes an individual who demonstrates the requisite knowledge and skills in his/her field of specialty but is not completing assigned responsibilities in a manner that is consistent with the high standards of the university.
- Does Not Meet FSU’s High Expectations – This describes an individual who fails to demonstrate with consistency the knowledge, skills, or abilities required in his/her field of specialty and/or in completing assigned responsibilities.

Procedures:

Each faculty member will be evaluated by his/her peers within their respective Center/Institute and/or by the appropriate Center/Institute Directors. The peer review will use the criteria established by faculty performing evaluations and be conducted in accordance with a format and procedures decided by the relevant faculty.

Center/Institute Directors or the appropriate evaluator, as determined by University supervisor relationships, reviews all documentation/data submitted by the faculty member as well as pertinent information from other sources as applicable, and completes the Annual Evaluation Summary Form indicating one of the applicable five performance rating categories. If a non-tenured faculty member receives a “Does Not Meet FSU’s High Expectations” overall performance rating, a Performance Improvement Plan (PIP) will be discussed with the faculty member and submitted with the Annual Evaluation Summary Form for approval to all appropriate levels of administration. If applicable to the Center/Institute, a tenured faculty member receives an overall performance rating of “Does Not Meet FSU’s High Expectations” on three or more of the previous six performance evaluations over two of the sustained performance evaluation time periods, a Performance Improvement Plan (PIP) will be discussed with the faculty member and submitted with the Annual Evaluation Summary Form for approval to all appropriate levels of administration.

After the faculty member and evaluator meet, discuss the evaluation, and both parties sign, the evaluation form along with the evaluator’s narrative and applicable attachments are routed to the ISPA Director/Dean for review. After review and signature by the ISPA Director/Dean, the evaluation form and any attachments are returned to the appropriate Center/Institute. The faculty member receives a copy of the evaluation and the original is placed in the faculty member’s confidential evaluation file. In situations where the ISPA Director/Dean is the evaluator and reviewer, the Annual Evaluation Summary form is reviewed by the Vice President for Faculty Development and Advancement. As part of this process, all faculty members eligible for promotion are apprised in writing of their progress towards promotion. The performance evaluation process is implemented as specified by guidelines provided by the Office of the Vice President for Faculty Development and Advancement.

II. FACULTY MERIT PAY INCREASE CRITERIA/PROCEDURES:

The Institute of Science and Public Affairs is not an academic department. The majority of faculty members within ISPA are full-time research and/or provide specialized services to the University, community, public and/or private entities, and federal, state, and/or local agencies. Typically, they have assignments in limited areas.

Criteria:

Meritorious performance is defined as: “Performance that meets or exceeds the expectations for the position classification and department/unit.” The eligibility for a faculty pay increase based upon merit is established during the annual evaluation process, which occurs during the Spring Semester each year. Faculty members provide evidence of their performance, which supports their assigned duties and provides the basis for the performance rating on the Annual Faculty Evaluation Summary.

The following elements are considered if applicable to the assigned duties and responsibilities of the faculty member:

- Overall quality of performance – rating should be “Meets FSU’s High Expectations” or documented improvement should be available
- Knowledge and skills in the field of specialty
- Recognition as an authority in the field of specialty
- Contributions to research and other creative activity including effectiveness at securing external funding and timely completion of contractual responsibilities
- Ability to teach in an effective manner through oral and written instruction

The merit review/award process will support and coincide with the three different levels of performance ratings for faculty who are meeting expectations: Meets FSU’s High Expectations, Exceeds FSU’s High Expectations, and/or Substantially Exceeds FSU’s High Expectations.

Procedures:

Faculty within each relevant Center or unit will develop merit recommendations for submission to the relevant Center or unit Director based upon the criteria in this section and each Center/unit’s faculty evaluation criteria and procedures. Center/unit evaluation criteria and procedures shall ensure faculty members on approved leave are not penalized in the evaluation process. Each Center/unit must develop specific methods for distribution of merit salary increases as part of their merit procedures.

Center/Institute Directors submit faculty merit pay increase recommendations to the Director/Dean of ISPA for faculty members that satisfy relevant criteria. After approval, appropriate paperwork will be submitted to implement the pay increase as specified in guidelines provided by the Office of the Vice President for Faculty Development and Advancement and/or Budget and Analysis.

III. PROMOTION CRITERIA & PROCESS FOR SPECIALIZED FACULTY:

The Institute of Science and Public Affairs (ISPA) is a multifaceted organization that houses multiple research centers and institutes. Faculty members provide specialized services to state and government agencies and are appointed to non-tenure earning positions. These positions have titles that include, but are not limited to, the Assistant In/Associate In/Senior Research Associate series and Research Faculty I/II/III series.

Specialized faculty positions generally have assignments in limited areas. Criteria for specialized faculty promotions focus on time-in-service and demonstrated meritorious performance. Time-in-service is normally five years; however, early promotion is possible if there is sufficient justification. Demonstrated merit, not time-in-service, must be the guiding factor. Overall performance is reviewed in the annual evaluation process, which determines recommendations for promotion as well as salary actions and retention.

The following elements will be considered when recommending a specialized faculty member for promotion. These elements are in no particular order, and will be applied as appropriate based on the duties, responsibilities, and expectations of the position. These elements include, but are not limited to:

PROFESSIONAL ACCOMPLISHMENT:

Effectiveness in the performance of teaching duties

Relevant years of experience

Submission of contract and grant proposals for external funding

Timely completion of contractual and grant obligations

Publication of books, brochures, chapters in books, articles in refereed and un-refereed journals and/or professional publications

Features and/or citations in professional magazines, newsletters, or on professional websites

Demonstrated expertise in the area of research, creative activity, or field of specialty

Presentations at meetings, workshops, or conferences of professional societies

Other professional accomplishments as appropriate

PROFESSIONAL RECOGNITION:

Recognition as an authority in the area of research, creative activity, or field of specialty

Invited talks at meetings, workshops, conferences or within the University community

Organization of workshops, seminars, professional conferences, and meetings

Membership and/or positions of responsibility in professional organizations

Professional honors, awards, and other recognitions

Contract and grant funding awarded from external sources including federal, state, local, and private

Other professional recognition as appropriate

PROFESSIONAL SERVICE:

Service to ISPA and the University directing/supervising undergraduate and graduate research as well as committee and sub-committee activity related to instruction, research, creative activity, etc.

Service in providing professional services to the public and private sectors of the community, state, and nation

Service to public and/or private schools including judging debates, science and/or history fairs, and geography bees

Other service, including administrative assignments, as appropriate

ELIGIBILITY CRITERIA:

All Specialized Faculty promotion decisions shall take into account:

1. Annual evaluations.
2. Annual assignment of responsibility (AOR).
3. Fulfillment of the department/unit written promotion criteria in relation to the assignment in the supervisor's letter. (All departments/units must have written promotion criteria and procedures for all applicable Specialized Faculty available in the department/unit, posted on a single publicly accessible University Web site, and on file in the Office of the Vice President for Faculty Development and Advancement.)
4. Evidence of sustained effectiveness relative to opportunity and according to assignment in the supervisor's letter.
5. All actions are effective the beginning of the next academic year.

Research Faculty or Curator track promotions shall take into account:

1. Scholarly or creative accomplishments of high quality, appropriate to the field, in the form of books and peer-reviewed scholarly publications.
2. Success in obtaining external funding, as principal investigator or co-principal investigator on grants.
3. Recognized standing in the discipline and profession, as attested to by letters from outstanding scholars outside the university.
4. Other research-related activities, such as chapters in books, articles in refereed and non-refereed professional journals, musical compositions, exhibits of paintings and sculpture, works of performance art, papers presented at meetings of professional societies, reviews, and research and creative activity that has not yet resulted in publication, display, or performance.

Research Support Faculty promotion shall take into account:

1. Evidence of contributions in support of research, as attested by internal letters from collaborators at FSU.
2. Scholarly or creative accomplishments of high quality and appropriate to the field (books and peer-reviewed scholarly publications).
3. Success in obtaining external funding as principal or co-principal investigator on a grant.
4. Other research-related activities, such as chapters in books, articles in refereed and non-refereed professional journals, musical compositions, exhibits of paintings and sculpture, works of performance art, papers presented at meetings of professional societies, reviews, and research and creative activity that has not yet resulted in publication, display, or performance.

Ranks

1. Promotion in the specialized faculty ranks is attained through meritorious performance of assigned duties in the faculty member's present position.
2. Promotion to the *second rank* in each track shall be based on recognition of demonstrated effectiveness in the areas of assigned duties.
3. Promotion to the *third rank* in each track shall be based on recognition of superior performance in the areas of assigned duties.

In all cases, the Institute of Science and Public Affairs will adhere to Florida State University policy. A center or institute reporting to ISPA may have additional criteria to those stated above, but must be approved by the relevant faculty of the unit and the Director/Dean of ISPA, and be consistent with the criteria established by the University as well as those by ISPA. A copy of the criteria must be on file in the Office of the Vice President for Faculty Development and Advancement.

PROMOTION PROCESS:

The Institute of Science and Public Affairs will accept recommendations for promotion every year in February. Recommendations for promotion begin with the faculty member's supervisor and are submitted to the appropriate officials for review.

All faculty members are informed of their prospective candidacy by their supervisor. The supervisor may not withhold a faculty member's materials from review should the faculty member wish to be considered. If they wish to proceed, they also have an opportunity to assist in preparing their binder prior to review. The faculty member shall have the right to review the contents of the promotion binder and may attach a brief response to any material therein. Once the center/institute/departmental committee has reviewed a binder, no material may be added to it or deleted from it except under the conditions specified in the Collective Bargaining Agreement under Articles 14 and 15.

Each center/institute/department considers all faculty members who are eligible for promotion each year. Although the period of time in a given rank is normally five years, demonstrated merit, not years of service, is the guiding factor. Promotion shall not be automatic nor may it be regarded as guaranteed upon completion of a given term of service. Early promotion is possible where there is sufficient justification.

Specialized faculty members who have been assigned an administrative code shall be subject to the normal promotion criteria and procedures for the applicable rank. They may not substitute performance of their administrative duties for qualifications in teaching or research. The duty assignments of such employees shall accord them an opportunity to meet the criteria for promotion; however, the number of years it takes a faculty member to meet the criteria in teaching or research and scholarly accomplishments may be lengthened by reduced duty assignments in those areas; the number of years over which such accomplishments are spread shall not be held against the faculty member when the promotion case is evaluated.

Each center/institute/department/unit has one committee, elected by the faculty or appointed by the appropriate administrator, which is charged with the responsibility of reviewing the records of all prospective candidates for promotion in that center/institute/department/unit and recommending action on the nomination of each candidate. If a center/institute/department/unit has fewer than 10 faculty members the faculty of the center/institute/department/unit shall be combined with similarly situated center/institute/departments/units determined by the President or designee to elect or appoint a joint faculty committee.

The promotion committee for specialized faculty must include one or more peers (i.e., non-tenure track and/or specialized faculty). The promotion committee of the center/institute/department/unit reviews the binders of prospective candidates in that center/institute/department, recommends action on the nomination of each candidate by secret vote, and prepares a report of the committee's recommendations.

In addition to the center/institute/departmental committee, the department chair/director (or equivalent administrator) independently reviews the binders of all prospective candidates in that center/institute/department and recommends action on the nomination of each candidate by submitting to the dean a report of the center/institute/departmental committee recommendations and the director/chair's recommendations on all submitted binders.

Prospective candidates will be informed of the results of the recommendations at each level of review. A candidate may withdraw his or her file from consideration within five working days of being informed of the results of the consideration at a given level. If a candidate chooses to withdraw, he or she must notify in writing, through the director/chair and dean, the Office of the Vice President for Faculty Development and Advancement.

Once the center/institute/departmental committee and center/institute/department chair/director have reviewed the binder, the ISPA Director/Dean considers these recommendations, independently reviews the binders, and then submits his or her advice regarding whether the candidate meets the appropriate promotion criteria to the Office of the Vice President for Faculty Development and Advancement. The ISPA director/dean may place a letter of evaluation on the record of achievement as reflected in the binder.

The Office of the Vice President for Faculty Development and Advancement confirms that the candidate meets the eligibility requirements and then forwards its recommendation to the Provost or Vice President for Research.

The Provost or Vice President for Research considers the previous recommendations, independently reviews the binders, and then forwards his or her recommendation to the President for a final decision.

Promotion Binder

Promotion binders for all Specialized Faculty shall include:

1. Professional vita
2. Assigned duties
3. Annual evaluations
4. Director/chair/supervisor's annual letter of appraisal toward promotion
5. Letters of recommendation
6. May also include evidence of the other considerations specified in department/unit promotion criteria

Promotion binders for faculty members in the Research track (Research Faculty I, II, III) shall include:

1. Three letters of recommendation from faculty members of higher rank outside the University that attest to the quality of the candidate's research and/or other creative activities and her/his recognition in the field.
2. Descriptions of the contracts and grants for which the candidate has served as Principle Investigator (PI) or co-PI since the last promotion or initial appointment, as appropriate, including: the title of the project; the funding agency; the list of PI and co-PIs; any other institutions involved; the FSU share and amount of funding.

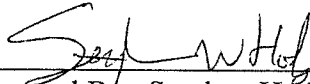
Promotion binders for faculty members in the Research Support track (Assistant/Associate In, Sr. Research Associate) shall include:

1. Two or three letters from faculty members, besides the center/institute/department/unit director/chair, who have reviewed the faculty member's service in support of research.
2. If the duty assignments over the period since last promotion included a research component, the binder shall also include evidence of the quality of the research.

The ISPA Director/Dean will be notified of the President's action(s) and will subsequently notify the applicable supervisor(s) and faculty member(s).

The promotional increase will become effective along with the title change the first day of the next academic year. However, the raise percentage and effective date are subject to change according to administrative decisions and collective bargaining. Faculty members on contracts and grants or auxiliary funding will receive salary increases equivalent to faculty members on E&G funding, provided that such salary increases are permitted by the terms of the contract or grant and adequate funds are available.

This document was approved by a vote of the ISPA faculty.


Approved By: Stephen Hodge, Interim Director/ISPA

3-27-14
Date