DIVISION OF UNDERGRADUATE STUDIES FACULTY PERFORMANCE EVALUATIONS, MERIT PAY INCREASES, AND SPECIALIZED FACULTY PROMOTION CRITERIA & PROCESS

Approved by a vote of the faculty on October 3, 2016.

I. OVERVIEW OF THE DIVISION

The Division of Undergraduate Studies operates as the administrative home or “Dean’s Office” for most freshmen and sophomore students until they are formally admitted into their majors. Additionally, the Division provides a wide array of high-quality academic engagement and support services available to all undergraduate students. Although the Division is not a degree-granting college, it does employ a limited number of specialized faculty eligible for promotion as recommended by the Division. The courses taught by faculty in the Division are offered through degree-granting colleges at Florida State University. All faculty and staff members are expected to be familiar with and follow the Florida State University Substantive Change Policy as found on the university web site: http://provost.fsu.edu/sacs.

II. ANNUAL FACULTY PERFORMANCE EVALUATIONS

Criteria:

All faculty members are evaluated annually during the spring semester. The only exceptions are those on personal leave of absence and/or those not being reappointed, whether they have received or are not entitled to receive a notice of non-reappointment. 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 (Assignment of Responsibilities or AOR) for the preceding calendar year. The Evidence of Performance memo/report provides supporting documentation for the performance rating on the Annual Faculty Evaluation Summary Form and might include 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 (AOR), 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:

- Effectiveness in providing professional services to the programs and students under the purview of the Division of Undergraduate Studies
- Contributions in the area of service to the Division of Undergraduate Studies and the University
- Ability to teach/communicate in an effective manner, both orally and in writing
- 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
- Providing effective service to public and/or private schools
- Other University duties, contributions, and/or effectiveness as appropriate to the assignment

Procedures:

Those faculty reporting directly to the Dean are evaluated by the Dean. Those faculty supervised by other unit supervisors are evaluated by their supervisor with review and approval of the Dean. Those faculty members with joint appointments in Undergraduate Studies and another unit will be evaluated according to the terms of
the specific appointment but in all cases the Undergraduate Studies supervisor will evaluate the faculty member’s service to the Division.

Faculty member evaluations will occur during the spring semester of each year and will take into account performance of assigned duties over the preceding calendar year. For faculty members who have been employed at the University less than that period, the annual evaluation will take into account their performance since the start of employment at the University. The evaluator reviews all documentation/data submitted by each faculty member as well as pertinent information from other sources as applicable and completes the Annual Evaluation Summary Form indicating one of the five performance rating categories below. For employees who are meeting expectations, there are three categories:

- **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 in several of the following areas: willingness to accept additional responsibilities, leadership/creativity in completing assignments, service and collaboration within and outside the Division, high level of commitment to serving students and the overall mission of the Division, involvement/leadership in the activities of a related professional association, initiative in solving problems or developing new ideas, or overall efficiency and effectiveness.

- **Significantly Exceeds High Expectations** – This describes a faculty member who far exceeds performance expectations during the evaluation period and achieves an extraordinary accomplishment or recognition such as one or more of the following: completing a significant special project or assignment; demonstrated recognition of the individual by peers as an authority in his/her field; substantive contribution to published research or creative activity; securing significant external funding; or attaining a significant national or international achievement, certification, or recognition.

If an individual’s overall performance rating falls below “Meets FSU’s High Expectations,” specific suggestions for improvement should be provided to the employee by the supervisor. There are two performance rating categories for individuals who are not meeting expectations:

- **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.

- **Unsatisfactory** – 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.

The evaluator and faculty member then meet, discuss the evaluation, and both parties sign the evaluation form and any attachments. Additionally, the evaluator will inform those faculty who are eligible for promotion of their progress annually in writing. If the evaluator is the Dean, the Annual Evaluation Summary Form is then reviewed and signed by the Vice President for Faculty Development and Advancement. If the evaluator is a unit supervisor, the Annual Evaluation Form is then reviewed and signed by the Dean of Undergraduate Studies.
III. FACULTY MERIT PAY INCREASE CRITERIA/PROCEDURES

All faculty in the Division will be evaluated and considered for merit pay increases based on the services they are providing in conjunction with their assignment within Undergraduate Studies. Those faculty members who hold tenure or are on tenure-earning appointments within an academic unit will be evaluated and considered for merit pay increases with the Division based on the services they are providing in conjunction with their assignment within Undergraduate Studies. Those faculty who hold joint appointments in Undergraduate Studies and another unit will be considered according to the terms of the specific appointment but in all cases the Undergraduate Studies supervisor will evaluate the faculty member’s service to the Division as part of this consideration.

Criteria:

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, and is governed by any stated university-wide eligibility criteria. Faculty members provide evidence of their performance, which supports their assigned duties and provides the basis for the performance rating on the Annual Evaluation Summary Form. Only those individuals with a performance rating that is at or above “Meets FSU’s High Expectations” during the most recent evaluation period will be eligible for a merit pay increase.

Procedures:

The Dean will assign and approve merit pay increases for eligible faculty members based upon the individual’s most recent performance rating that is assigned in accordance with the criteria outlined in the Annual Faculty Performance Evaluations section above. Additionally, the Dean will consider the recommendation of the direct supervisor with regard to merit pay increases. The amount of any merit pay increase will be based on available funding and an individual’s performance rating category. After approval, appropriate paperwork will be submitted to implement the pay increase as specified in guidelines provided by the Office of Faculty Development and Advancement and/or Budget and Analysis.

IV. PROMOTION CRITERIA & PROCESS

In an instance where a Division faculty member holds a joint appointment in another unit through which promotion and/or tenure is possible, the Dean of Undergraduate Studies or direct supervisor shall evaluate the faculty member only with respect to his/her responsibilities within the Division and will forward this evaluation to the administrator responsible for review of evaluations for that other unit.

Specialized faculty in the Division of Undergraduate Studies are eligible for promotion per the process outlined by the Office of Faculty Development and Advancement.

Criteria:

Promotion from a level I position to a level II position in the specialized faculty ranks is attained through meritorious performance of assigned duties as specified on the AOR while in the level I position. The definition of meritorious performance is an overall rating of “Meets FSU’s High Expectations” or above on all annual evaluations during the previous 5 years plus evidence of excellence in the areas of teaching, advising, and/or academic support; administration and service; and professional development activities relevant to the AOR as documented in the portfolio binder described below. Within the Division of Undergraduate Studies, the promotion from a level I position to a level II position requires a minimum of a master’s degree and at least 5 years of meritorious performance at the level I rank. However, early review is possible at 3 years if a candidate was hired or converted into a specialized faculty rank prior to January 1, 2014.
Promotion from a level II position to a level III position requires a doctoral/terminal degree and at least 5 years of superior performance at the level II rank or a master’s degree and at least 8 years of superior performance at the combined level I and II ranks, including 5 years of superior performance at the level II rank. The definition of superior performance is a consistent pattern of overall ratings on the annual evaluation at the “Exceeds FSU’s High Expectations” or above and no overall ratings below the level of “Meets FSU’s High Expectations” during the previous 5 years plus evidence of excellence in the areas of teaching, advising, and/or academic support; administration and service; and professional development activities relevant to the AOR as documented in the portfolio binder described below.

**Procedures:**

1. Applicants must submit notice of intent to apply for promotion no later than September 1 of the academic year during which they will be considered. This should be done via email to the direct supervisor, who will then confirm eligibility for the promotion process and notify the Dean of Undergraduate Studies of the applicant’s intention to submit a promotion portfolio. The applicant must also contact the Office of Faculty Development and Advancement to request promotion portfolio binder materials appropriate to the position (i.e., teaching or instructional support).

2. Each applicant shall submit a comprehensive promotion portfolio binder to the Dean of Undergraduate Studies or designee by November 15 of the application year. The promotion portfolio shall contain the items specified by the Office of Faculty Development and Advancement in accordance with the annual memo from that office and supporting materials available on that website.

3. Initial review and recommendation for promotion will be made separately by the Division of Undergraduate Studies promotion committee and the applicant’s supervisor by January 1. In cases of dual supervision, the primary supervisor’s recommendation will be developed in consultation with the secondary supervisor who will be encouraged to submit a separate letter. The Dean will review these recommendations and the applicant’s promotion portfolio binder and, if appropriate, then make the official nomination to the President via the Office of Faculty Development and Advancement for final action. These nominations along with the finalized promotion portfolio binders must be submitted to the Office of Faculty Development and Advancement no later than the spring semester date that office establishes by memo each year (typically mid-February).

4. The Dean of Undergraduate Studies will be notified of the President’s action and will subsequently notify the applicable supervisor and faculty member. The promotional pay increase will become effective, along with the title change, the first day of the next academic year. However, the standard raise percentage and effective date are subject to change according to administrative decisions and collective bargaining.

5. The promotion committee for the Division of Undergraduate Studies will be composed of all individuals holding a faculty appointment through the Division with the exception of the Dean and those individuals going through the application process in a given year. Those faculty who are supervising a candidate who is up for promotion in a given year will recuse themselves from the discussion and decision related to that candidate. Each year committee members will elect a chairperson who is responsible for providing the Dean with a detailed letter for each applicant that includes a summary of the committee’s recommendation (including a tally of the votes), specific evidence or deficiencies in the portfolio cited as supporting rationale, and the signature of each committee member. Voting will be conducted by secret ballot and a simple majority of the committee is required to recommend a candidate for promotion.
Contents of the Portfolio Binder:
The applicant shall submit a promotion portfolio in the form of a binder that will be divided according to the materials provided by the Office of Faculty Development and Advancement. Documents required for all portfolio binders include: professional vita, statement of assigned duties (AOR), and annual evaluations for the review period. Faculty in both tracks will provide the names of 5 potential peer evaluators to their supervisor as early as possible, but no later than September 1. Teaching track faculty will provide a list of courses taught and evidence of well-planned and delivered courses. Instructional support track faculty will provide evidence of quality instructional support activities. The portfolio binder requirements may change from year to year, so applicants are encouraged to review materials posted on the website for the Office of Faculty Development and Advancement.

V. APPROVAL OF AND AMENDMENTS TO THIS DOCUMENT

This document and any future amendments to it may be approved by a two-thirds (2/3) majority vote of the faculty provided it has been circulated at least two weeks prior to the meeting at which voting will occur. A quorum (simple majority) of the faculty must be present, and votes will be taken via secret ballot. Voting members with regard to faculty issues in the Division will include the Dean of Undergraduate Studies, faculty administrators, and all in-unit faculty. Faculty meetings will be convened and led by the Dean or designee.

This document will be reviewed and renewed at least once every ten years. If it is not reaffirmed or revised within ten years of the approval date below, this document will expire in 2026.

Approved By:
Undergraduate Studies Faculty via secret ballot on October 3, 2016

Karen L. Laughlin, Dean of Undergraduate Studies