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TO THE YEAR 2000

...A NONTRADITIONAL
SELF-STUDY

COMMITTEE REPORT
FACULTY EVALUATION AND DEVELOPMENT

FLORIDA INTERNATIONAL UNIVERSITY

FACULTY EVALUATION AND DEVELOPMENT

Summary Report of the
FIU Southern Region Education Board Committee

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Introduction

The purpose of this report is to present a summary of the history and results of the work of a committee of faculty and administrators who completed an in-depth study of the faculty evaluation system at Florida International University. Over the period of time, the committee, while dealing with the theme of evaluation of faculty, had its composition changed several different times with the major and final part of its work completed by what has been referred to as the SREB (Southern Regional Educational Board) Committee. This report is a summary of the SREB Committee's deliberations.

The report has six sections which describe both the process and products of the committee. The initial section deals with the history or process. It describes how and why the committee was formed. The evolutionary process, including the major problems which confronted the committee, is described. It reveals how a strong group of faculty attacked a major academic problem in face of a continuously changing central administration and the advent of collective bargaining.

The second section presents a complete Document of Tenure and promotion Policies and Procedures for Florida International University. In conjunction with the central administration, the committee helped pull together and clarify the series of independent policies and procedures relating to tenure and promotion. Prior to December 1978, the policies were in the form of eight separate memorandums from the Academic Vice-President and his Associate. While it is agreed that these policies and procedures still require review and possibly further revision, they now do exist in one format.

The third section of this report is presentation of a Description of an Evaluation and Development System Components. This section describes the critical components of a faculty evaluation and development system. These include resources, criteria and standards, assignment and development plans, evidence, and both formative and summative evaluation. This section further presents a description of the critical events and processes in an evaluation and development system that can be used for promotion and tenure.

The fourth section of the report presents a format for a Faculty Assignment and Development Plan. The plan provides a format for delineating faculty assignments by linking each to available resources. It should serve the faculty and chairpersons well in identifying assignments, establishing development plans and overall evaluation.

The fifth section is simply an outline of the contents of the 1978-81 Agreement between the Board of Regents of the State University System of Florida and the United Faculty of Florida. The United Faculty of Florida is the exclusive bargaining agent for the faculty in the State University System.

The sixth and final section presents a summary and series of recommendations.

Section One

History

In July of 1977, President Harold Crosby announced that he would appoint three special committees to deal with personnel evaluation issue with regards to the faculty, the career service staff, and the administrative/professional staff. These committees were to consist of members recommended by each of the four Senates from their memberships and their consistancies, plus several other members from the University-at-large for increased balance objectivity (Presidential Memo: July 11, 1977). Provost Milton Byrd was charged with recommending members to these three committees and with chairing each of them. Of these three committees, only the one involving faculty evaluation is further discussed here.

In September 1977, the Special Committee on Faculty Personnel and Evaluation was announced and given a short run charge to review all personnel procedures and policies and evaluation practices as they relate to the faculty--a project to be completed within an approximately four month time period. Committee members included the following:

Gabriel G. Aurioles, Associate Professor, Industrial Technology,
School of Technology

L. Yvonne Bacarisse, Associate Professor, Social Work, School
of Health and Social Services

Rose Brown, Student

Dr. Milton Byrd, Provost of University Assessment and Evaluation,
Chairperson

Patricia Caruso, ex-officio, Director of University Personnel
Relations

Marvin Dunn, Director, Cultural and Human Interaction Center

Penelope Easton, Chairperson, Dietetics and Nutrition, School
of Health and Social Services

Stephen M. Fain, Associate Professor, General Professional Education, School of Education

John Krobock, Associate Dean, School of Technology

William Kurtines, Assistant Professor, Psychology, Technical Advisor

Karl O. Magnusen, Associate Professor, Management, School of Business and Organizational Sciences

Manual Migagorri, Student

Norman H. Rinstrom, Professor, School of Hotel, Food and Travel Services

G. Wesley Sowards, Dean, School of Education

Babatunde Thomas, Professor, Economics, College of Arts and Sciences

Francena Thomas, ex-officio, Director, Office of Minority Affairs and Women's Concerns

Ronald Tikofsky, Chairperson, Psychology, College of Arts and Sciences

The Byrd Committee on Faculty Evaluation, as it was informally termed, met promptly to draft and send a letter to various faculty and administrators to solicit information. A copy of this letter was sent to over 90 individuals in the University community including academic deans, chairpersons of school or college personnel committees, faculty representing Black, Hispanic, and Women's interests, the academic vice president, the president's executive assistant, and all members of the Faculty Senate. The committee also collected existing promotion/tenure policies and procedures from the various schools plus the Academic Affairs Office. Based on a review of survey results and existing administrative documents, the committee developed a list of ten short run items in need of immediate attention. These included:

1. Initiating a notification process/procedure to inform faculty members under consideration for tenure or promotion of progress through various decision-making groups and individuals at each step of the process.

2. The Dean of each academic unit informing the members of the unit of the process to be followed for promotion and tenure including the responsibilities to be assumed by the faculty member in reference to his own promotion and tenure.
3. The review of the terms of the collective bargaining agreement, especially of all specific items and all language having relationship to promotion and/or tenure by all individuals seeking promotion and/or tenure this year and all those involved in the decision-making process at all levels.
4. The specifying and clarifying of the evaluation criteria in relationship to promotion and tenure.
5. Clarification of the length of time to be covered by the evaluation of the faculty member for tenure and/or promotion. Whether the time is to cover recent evaluations or the entire history of the faculty member within the institution.
6. Clarification of the relationship between promotion and tenure, the importance of each and how one may or may not influence the other.
7. Tenure transfer credit for service prior to history at Florida International University.
8. The granting of tenure and promotion to personnel who are supported fully by grant funds.
9. The clarification of letters of recommendation required as part of the process for reviewing tenure and promotion. The issue related to what those letters are to cover and from whom they are to come.

10. A calendar of activities and decisions regarding tenure and promotions, with specific target dates for major actions throughout the entire process, including the final announcement to the faculty member of the action taken by the President and the Board.

During this period, however, the central administration was under pressure to comply with collective bargaining provisions and tended to work independently of the Byrd Committee. To more closely link the committee's efforts with those of central administration, the committee applied to the Southern Region Education Board (SREB) for membership in a two year project on faculty evaluation and development. The University's SREB application was accepted but, unfortunately, the acceptance came at a time of administrative turnover. Provost Byrd left the University, a new interim Vice-President of Academic Affairs took office, and the Byrd Committee was disbanded.

The SREB commitment by the University was an accomplished fact, however, and the faculty evaluation project was reformed in the Office of the Executive Vice-President. The Executive Vice-President appointed Drs. Wendy Cheyney and Raul Moncarz to monitor the SREB Project. Drs. Cheyney, Moncarz and two "new" appointments to the group (Dr. Karl Magnusen and Dr. Penelope Easton) were asked to attend the first SREB conference in Atlanta in January 1978. After the Atlanta conference, and before the second SREB conference in Asheville, North Carolina during July 1978, the SREB group was expanded to broaden the base of faculty representation. At this point in time, the SREB group included the following individuals and schools or interest groups:

Dr. Wendy Cheyney	-	Education
Dr. Raul Moncarz	-	Arts and Sciences
Dr. Karl Magnusen	-	Business
Dr. Jerry Pierce	-	Technology
Dr. Penelope Easton	-	Health & Social Services
Dr. Irving Sicherman	-	Hospitality
Dr. Emma Rembert	-	Black Employees Association
Dr. Dean Hauenstein	-	Faculty Senate

Five of the above project members attended the Asheville workshop in July and, despite the helpfulness of the Asheville work sessions, the FIU project team returned to Miami to face additional uncertainties in university leadership. A new president and several new deans were being sought and the SREB project was moved administratively from the Executive Vice-President's office to that of Academic Affairs. During this period, the administrative assignments of Dr. Cheyney and Dr. Moncarz changed and the SREB project group was without clear direction until the Academic Affairs office became directly involved again. By November 1978, Assistant Vice-President Gallagher was overseeing the group. Once again, the SREB project group moved ahead with several members attending the third (and final) conference on faculty evaluation in New Orleans during February 1979. After this conference, the SREB group again expanded its membership, adding Dr. Vandon White (from a newly-formed School of Public Affairs) and Mr. Earnest Friday (a non-voting member acting as liaison to a university self-study group).

Within this unusual context, and complicated by a new statewide collective bargaining process, the SREB group as currently constituted has helped to synthesize basic University policies and procedures on promotion and tenure matters--producing a handbook on promotion/tenure for faculty distribution, has grappled with the complex problem of faculty assignment and development, has experimented with systematic faculty evaluation procedures, and has provided the University with a substantial "talent bank" of individuals who are aware of the ongoing difficulties of dealing with faculty assessment and development. Implementation of these various projects is incomplete but, at minimum, the SREB group has been a constructively contentious "gadfly" keeping administration and faculty alike constantly aware of the need to review the diverse approach to faculty evaluation in a manner congruent with University pluralism, individual due process, collective bargaining, and institutional quality.

Section Two

FLORIDA INTERNATIONAL UNIVERSITY

TENURE AND PROMOTION POLICIES AND PROCEDURES

DECEMBER 1978

PROMOTION AND TENURE POLICY

I. Introduction

The following policies and procedures relating to tenure and promotion were formulated under the following conditions:

- A) in accordance with the regulations of the BOR, the stipulations of the BOR-UFF Agreement, the distinctive goals of Florida International University and its affirmative action commitment;
- B) as a framework for more specific descriptions and criteria which may be developed by the College and Schools with the concurrence of the Office of Academic Affairs;
- C) with the understanding that variations may be acceptable when appropriately justified and formally approved by the President or his representative.

II. Tenure

A. Eligibility

1) Employees with the rank of assistant professor, associate professor, and professor shall be eligible for tenure.

2) Except for employees who, by virtue of prior service credited at time of appointment, are eligible for consideration earlier, an employee shall normally be considered for tenure during the fifth year of continuous service in a tenure-earning position or, at the option of the employee and with the concurrence of the appropriate administrative officials, during the sixth such year in a tenure-earning position. Any deviations from this schedule must be approved by the Vice-President for Academic Affairs. Part-time service of an

employee employed at least three academic quarters out of four in any 12-month period shall be accumulated. For example, one year (at least three quarters) of half-time service shall be considered one half year of service for purposes of tenure eligibility. By the end of six full years of service in a tenure-earning position within the State University System, an employee eligible for tenure shall either be awarded tenure or given notice that further employment will not be offered. The notice shall be accompanied by a statement of reasons by the President or representative why tenure was not granted.

3) No tenure decision will normally be considered at the time of appointment of a faculty member, nor while a faculty member is on leave from the University. Additionally, no tenure decision will normally be considered during the first year of regular appointment of a faculty member and for this reason no more than three years prior service will normally be credited towards tenure eligibility at the time of appointment. Requests for exceptions will be considered by the Vice-President for Academic Affairs upon recommendation from the Dean.

B. Credit Toward Eligibility

1) The rules of the Board provide that the President may recommend credit for time spent in a tenure-earning position at another University or certain other equivalent experience, and that "the number of years of previous service which the President may agree to recommend as credit toward a faculty member's eligibility for tenure shall be agreed upon in writing at the time of employment". These Board rules became effective in November of 1975. Prior to that time, consideration was given to the granting of credit for previous service at the time of the tenure application. The BOR-UFF Agreement (Article 15.3) also provides that prior service must be credited at the time of appointment.

2) Because of the modification of the Board rules in November of 1975, for faculty members who were hired prior to that time where no agreement was reached in writing regarding the number of years of credit for prior service, but where the representation was made that the University could consider granting credit for prior service and a faculty member has relied on that representation, the University will still consider granting credit for such prior service and will request the Board to consider any such credit allowed as sufficient justification for approval of tenure at an early time. It should be clear that the granting of credit for prior service is a separate matter from the quality of the tenure application itself.

3) For faculty members hired after November of 1975, credit for prior service which was not agreed upon in writing at the time of employment will be granted only in exceptional circumstances. Moreover, as of the academic year 1977-78 only those written agreements which have been formalized under the special conditions section of faculty members' contracts will be considered binding.

C. Interpretation of Faculty Rights and Privileges Regarding the Fifth and Sixth Years

1) For a faculty member to be granted tenure a positive, overt act by the Board of Regents is required, after receiving a positive recommendation from the President. Those faculty members who have not received tenure by the conclusion of the sixth year shall be given notice of non-renewal by the President.

2) Faculty members in their fifth year who are not on a terminal contract and who do not have tenure, are expected to apply for tenure, and must be notified in writing by the Dean, of the process to follow. A decision to defer to the sixth year should entail a specific written request by the individual of

his Dean, with permission, if any, granted in writing in advance of the relevant deadline dates. If deferral is denied, tenure recommendation(s) will be made to the President through the regular process. But should an individual express in writing his desire not to be considered for tenure, even though deferral has been denied, a letter of non-renewal must be given to him by the President before the end of his fifth year.

3) The Office of Academic Affairs will inform faculty of tenure recommendations as quickly as they have been made, prior to April 15. The appropriate chairpersons and deans will also be notified of the recommendations. When a negative recommendation is made to the President, the faculty member may withdraw his application, without prejudice. Faculty members will be cautioned that before withdrawing their fifth-year tenure applications, they should seek their Dean's approval of their request to defer to the sixth year. Such approval must be given unless the Dean has decided to recommend that the faculty member be given a letter of non-renewal.

4) A fifth-year tenure request which is disapproved by the President will result in either 1) a letter of non-renewal given by the President before the end of the fifth year, or 2) automatic reconsideration through the regular process in the sixth year even though the individual does not apply. But in this latter case should the individual express in writing his desire not to be considered for tenure, a letter of non-renewal must be given to him by the President before the end of his sixth year.

5) Faculty members in their sixth year who are not on a terminal contract and who do not have tenure, are expected to apply for tenure, and should be notified in writing by the Dean of the process to follow.

D. Tenure Criteria

1) "Tenure is that condition attained by the faculty member through highly

competent teaching and research, or other scholarly activities, service, and contributions to the university and to society." (BOR 6C-5.06(1)(a)).

"Nomination of a faculty member for tenure shall signify the President is satisfied the candidate will continue to make significant professional contributions to the university and to society." (BOR 6C-5.06(2)).

2) For tenure, highly competent performance, as considered during the entire term of employment, at the level of qualifications corresponding to the academic rank of the faculty member is required.

3) In quality, quantity and consistency, such performance must provide grounds for assurance that future performance will constitute a significant professional contribution.

4) The decision to grant tenure involves a distinct commitment on the part of the University and is, for this reason, not necessarily predetermined by a decision to promote.

III. Academic Ranks

A. Minimum Requirements for Initial Appointments to the Various Ranks

- 1) Instructor, Lecturer and Similar - Regular, non-tenure earning
 - a) The Master's degree is normally required in a field directly relevant to the corresponding program. Exceptions must be approved by the Vice-President for Academic Affairs upon recommendation from the Dean.
 - b) Qualifications for teaching, particularly in laboratory skill courses, beginning courses, and team-taught courses, at a satisfactory level of performance.
 - c) Qualifications to undertake at a satisfactory level of performance research or other creative activities, and service, which are more directly related to maintaining and developing teaching competencies.
- 2) Assistant Professor - Regular, tenure earning
 - a) The doctorate (or other terminal degree where appropriate¹) is required in the corresponding field.
 - I. If a unit recommends that this requirement be waived at the time of appointment, a specific date by which it must be met before the faculty member is eligible for tenure should be established in writing. Exceptions must be approved by the Vice-President for Academic Affairs upon recommendation from the Dean.
 - b) Qualifications for teaching a variety of courses, particularly undergraduate, at an above satisfactory level of performance.

¹ "Terminal Degree" is used as understood for purposes of higher education.

Where the doctorate is not the terminal degree, the College and Schools should specify this minimum requirement with the concurrence of the Office of Academic Affairs.

- c) Qualifications to undertake at a satisfactory level of performance research or other creative activities, which are aimed at expanding the frontiers of knowledge. These activities should receive regional and national professional recognition.
 - d) Qualifications to undertake professional service at a satisfactory level of performance. These activities should receive regional and national professional recognition.
 - e) Academic participation within the collegial system of the department or division and of the College or School, based on contributions to the effective day-to-day functioning of the same.
- 3) Associate Professor - Regular, tenure earning
- a) The doctorate (or other terminal degree where appropriate) is required in the corresponding field.
 - b) Qualifications and experience for teaching a variety of courses, including graduate courses where appropriate, at an above satisfactory level of performance.
 - c) A record of substantial accomplishments in research or other creative activities, which are aimed at expanding the frontiers of knowledge. These activities should have received regional and national professional recognition.
 - d) A record of substantial professional service. These activities should have received regional and national professional recognition.

e) Significant academic citizenship within the collegial system of the department or division and of the College or School, based on contributions to the effective day-to-day functioning of the same.

4) Professor - Regular, tenure earning

- a) The doctorate (or other terminal degree where appropriate) is required in the corresponding field.
- b) Qualifications and experience for teaching a variety of courses, including advance graduate courses where appropriate, at an above satisfactory level of performance.
- c) A substantial record of excellence in research or other creative activities, which are aimed at expanding the frontiers of knowledge. These activities should have received regional and national professional recognition.
- d) A substantial record of excellence in professional service. These activities should have received regional and national professional recognition.
- e) Academic leadership within the collegial system of the College or School and of the University, based on contributions to the effective day-to-day functioning of the same.

B. Promotion Criteria

- 1) "The criteria for faculty promotion shall include the minimum qualifications for initial appointment to the various ranks or positions. In addition, promotion shall be justified by the faculty member's increased skills in the performance of duties, increased knowledge in the field of specialty, and increased recognition of the faculty member as an authority in his/her field." (BOR 6C-5.29(s))

- 2) For any promotion, successful performance at the level of the qualifications corresponding to the higher faculty rank is required.
 - a) Teaching performance at the level corresponding to the higher faculty ranks is an indispensable condition for promotion.
 - b) The relative importance of performance in scholarly research or other creative activities and in service may vary. Nevertheless, performance in both areas at the level corresponding to the higher rank is necessary.
- 3) Promotion to Assistant Professor from Instructor, Lecturer, and similar is an unusual process, since it presupposes an administrative decision to alter significantly the functions of the faculty line in question. This decision, which requires the express approval of the Office of Academic Affairs, is distinct from any type of promotion. Normally, it should be taken independently and should lead to regular recruitment of the best qualified candidate for the position.
- 4) Promotion to Associate Professor will be considered after approximately four years in the rank of Assistant Professor, since experience indicates that such is the minimum time required to develop the corresponding qualifications. Exceptions will be considered by the Vice-President for Academic Affairs upon recommendation of the Dean.
- 5) Promotion to Professor is the highest academic distinction the

University may grant those faculty members whose level of performance is outstanding. While no specific number of years in rank can be associated with this promotion, ability to sustain such level of excellence over a significant period of time is required.

- 6) No promotion will be considered during a faculty member's first year of regular appointment at Florida International University nor while a faculty member is on leave from the University.

IV. Tenure and Promotion Application

A. A tenure and promotion application is created specifically to contain documents used for a tenure or promotion decision. The diagram below shows the steps in the creation and use of a tenure or promotion application. The following guidelines shall apply to tenure and promotion applications:

- 1) Upon expression by a faculty member of intent to seek tenure or promotion, or when a faculty member is to be considered for promotion or tenure, the department/division chairperson, or his/her designee shall be responsible for the preparation of a tenure or promotion application. In particular, the chairperson may designate the candidate to prepare his/her own tenure or promotion application. (Step A in the diagram). The only documents that may be used in the creation of the tenure or promotion application in Step A are:
 - a) those contained in the personnel evaluation application; and

- b) the completed university-wide form for Recommendation for Tenure or Recommendation for Promotion, and those documents associated with the completed form.

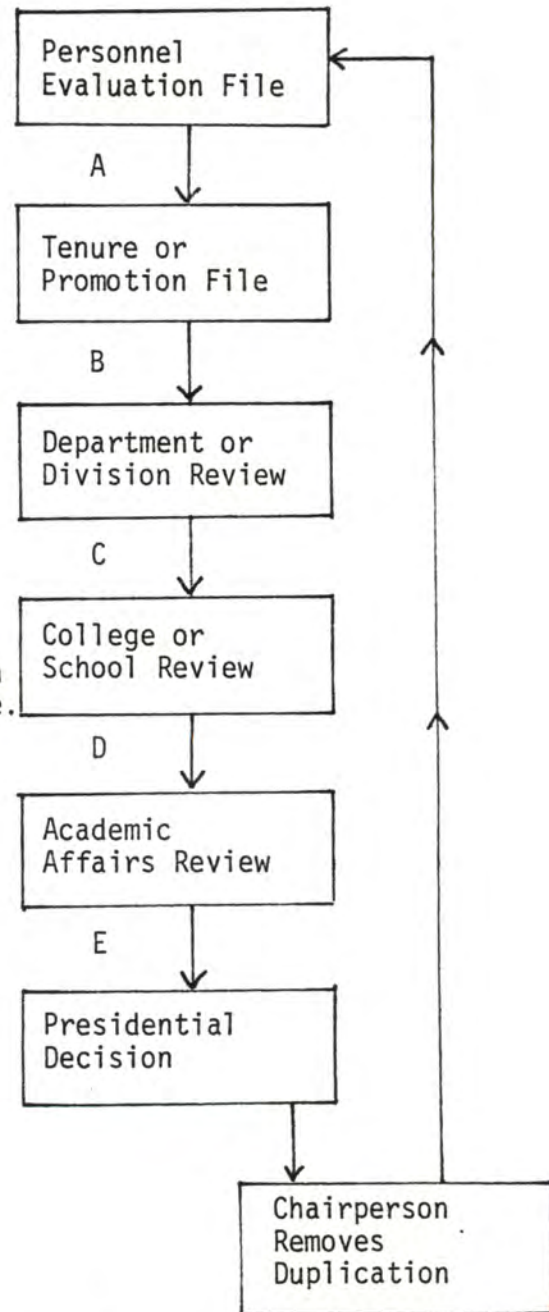
In particular, the chairperson shall be responsible for insuring that the tenure or promotion application 1) includes all documents contained in the personnel evaluation file which are relevant to the decision-making process; and 2) does not contain any document directly related to an earlier tenure review process, in the event that the faculty member had withdrawn a previous tenure application "without prejudice".

- 2) Following the creation of a tenure or promotion file the faculty candidate may review the file and insert additional factual information and relevant materials (Step B).

- 3) A copy of any material that is added to the tenure or promotion file as a result of the review process shall be provided to the applicant, and to the head of the administrative unit that has completed the review just prior to the insertion of new material. For example, a copy of any material added following the College/School review (Step D) will be sent to the Dean.

As the tenure or promotion file moves through the review process, new information or documentation may be inserted into the file by the candidate or his/her department/division chairperson until the President's decision is announce. If such new information is inserted into the file, all rules which govern the insertion of information into personnel evaluation files shall apply, e.g., no anonymous documents may be inserted, the candidate shall be informed of the insertion, shall have the right to review the inserted material, and such information shall be included in the personnel evaluation file at the same time. Such inserted documentation shall become part of the evidence upon which subsequent tenure or promotion recommendations are based.

- 4) A faculty member being considered for tenure prior to the sixth year may withdraw his/her application at any point (Step C, D or E) prior to April 15 without prejudice. When the candidate withdraws



or forty-five days after the President has made the tenure or promotion decision, the promotion or tenure file will be returned to the chairperson, who will insert into the personnel evaluation file those documents in the tenure and promotion file which are not already in the personnel evaluation file, with the exception that only an inventory of bulky documents such as books and other publications available at the library or other campus locations need be returned to the personnel evaluation file. All documents in the tenure and promotion file which are not inserted into the personnel evaluation file will be returned to the candidate.

- 5) Upon a one-day notice, the candidate shall have access to review his/her tenure or promotion file. Those who are involved in the established tenure or promotion review process shall automatically have access for timely review of tenure or promotion files.

V. Promotion and Tenure Forms

Since tenure and promotion may be sought during the same year, the form for Tenure and Promotion (A) can be used. However, since the two are not ever necessarily related, there is no requirement that the combined form be used. Separate forms for application for promotion and tenure may be used at the option of the faculty member or as required by unit committees. Using two separate forms will require the duplication of material since the tenure decision-making process is not completed before the promotion process begins.

If only tenure is sought, Form A will be used indicating "Tenure" only.

Form B should be used for promotion applications only.

Section Three

A

Revised 10/77

FLORIDA INTERNATIONAL UNIVERSITY
RECOMMENDATION FOR TENURE AND PROMOTION

- Tenure Only
 Promotion Only
 Tenure and Promotion

This form provides a format for the information to be submitted to the Office of Academic Affairs. Additional supporting information may be required by the committees or administrative officers of the Department or College and such information should be retained by the appropriate unit to be available upon request by the Office of Academic Affairs. NOTE: Department = Department or Division; College = College or School.

Name _____ Present Rank _____ Date _____

College _____ Department _____

Proposed New Rank (Promotion Only) _____

Education:

<u>Degrees (Major Field)</u>	<u>University</u>	<u>Dates</u>
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Professional Employment (chronological, list most recent employment first):

<u>Place</u>	<u>Position or Title</u>	<u>Dates</u>
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Teaching: List all courses taught at FIU. List major curriculum, program, and course development activities.

Publications and Creative or Other Scholarly Activities:

List all books (indicate any co-authors), articles (indicate referred journals), reviews, exhibitions, concerts, etc. Describe development of new educational techniques. List current research and creative activity that has not yet resulted in publication, display, or performance.

Service:

List memberships and offices held and activities in departmental, college and universities' committees as well as in professional associations. Describe professionally related community service. List other assigned duties such as advising, counseling, supervision of interns, and other professional activity.

Attach three letters of support from professional colleagues, at least two of which are from colleagues at FIU.

DEPARTMENTAL STATEMENTS

ATTACH A LETTER FROM DEPARTMENT that describes how candidate was evaluated in the area of teaching, research, and service and summarizes those evaluations.

VOTE OF TENURED MEMBERS (May be omitted if there are less than 3 tenured members in department.)

FOR TENURE _____ AGAINST _____ ABSTAIN _____ ABSENT _____

VOTE OF DEPARTMENT OR DEPARTMENTAL COMMITTEE

(Tenure vote optional if preceding item completed)

FOR PROMOTION _____ AGAINST _____ ABSTAIN _____ ABSENT _____

FOR TENURE _____ AGAINST _____ ABSTAIN _____ ABSENT _____

DEPARTMENT CHAIRMAN

PROMOTION: APPROVE _____ DISAPPROVE _____

TENURE: APPROVE _____ DISAPPROVE _____

A supporting statement must be attached if the action is to disapprove and is optional otherwise.

Signature Date

COLLEGE STATEMENTS

VOTE OF COLLEGE COMMITTEE

FOR PROMOTION _____ AGAINST _____ ABSTAIN _____ ABSENT _____

FOR TENURE _____ AGAINST _____ ABSTAIN _____ ABSENT _____

A supporting statement must be attached if the action is to disapprove and is optional otherwise.

Signature of Committee Chairman Date

DEAN OF COLLEGE

PROMOTION: APPROVE _____ DISAPPROVE _____

TENURE: APPROVE _____ DISAPPROVE _____

A supporting statement must be attached if the action is to disapprove and is optional otherwise.

Signature Date

VICE PRESIDENT FOR ACADEMIC AFFAIRS

PROMOTION: APPROVE _____ DISAPPROVE _____

TENURE: APPROVE _____ DISAPPROVE _____

A decision contrary to department and/or college decisions must be explained.

Signature Date

PRESIDENT

PROMOTION: APPROVE _____ DISAPPROVE _____

TENURE: APPROVE _____ DISAPPROVE _____

Signature Date

Tenure Applications Only

- (a) The number of years in tenure eligible positions at FIU that will be completed at the end of the current academic year is: _____.
- (b) Number of years in tenure-earning positions at another university or equivalent experience to be credited toward nomination is: _____.

NOTE: Sum of numbers in (a) and (b) must be equal to or greater than 5.

- (c) Give justification for the number of years requested in part (b).

STATEMENT OF UNIVERSITY OFFICIALS

I am satisfied that the nominee has met all of the criteria for tenure at this university and the Board of Regents, and that he has demonstrated a high degree of competence in his professional field. I believe that granting him permanent status on the university faculty will serve the best interests of the institution and the State University System of Florida.

This certifies also, that the nominee has subscribed to the oath of loyalty required by Section 4.56, Part I, Florida Board of Regents Operating Manual.

Signature of Vice President for
Academic Affairs

Signature of President

Description of Evaluation and Development System Components

1. Resources

This is a major component missing in most evaluation systems. Resources are the personnel, knowledge, budget, facilities and equipment provided by the SUS to carry on the work of the university. The limitations of the university's resources constrain the assignments and developmental activities of its faculty. Faculty cannot be held accountable for faculty development and evaluation in teaching, creative and scholarly, and service activities if the university does not provide the money, facilities, equipment, support personnel and knowledge, for example, to carry out these activities. Realistic expectations must be in accord with resources available. Realistic criteria must be drawn from an assessment of resources available to faculty in each college, school, and department/division.

2. Criteria and Standards

Criteria and Standards must be developed by each college/school and department/division from an analysis of what faculty actually do as well as an assessment of resources available to them. Expectations for what constitutes reasonable activity and quality in teaching, creative and scholarly, and service must be agreed upon and made public to all faculty.

Definitions

- a. Criteria - those common elements on which an area activity can be judged.
- b. Standard - the measures to which the extent or degree of achievement and quality can be determined.
- c. Evidence - the record for determining the extent to which the standard was met.

NOTE: See attachment A: Example Evaluation Criteria, Standards, and Evidence.

3. Faculty, Assignment and Development Plan

Faculty must have the opportunity to direct their own development according to their interests and abilities. Given the criteria and standards for their department/division, each faculty in consultation with the chairperson, will develop a written plan for their own assignment and development. The plan must also be in accord with meeting the criteria and standards for promotion and tenure in their department/division and college/school. The plan can be modified yearly as a result of formative evaluation between the faculty member and the chairperson. Cumulative yearly assignment and development plans should assure an individual of candidacy for promotion or tenure.

4. Formative Evaluation

Each faculty member should update their activities in teaching, creative and scholarly, and service yearly. Differences between the year beginning and year ending faculty assignment and development plan must be acknowledged, explained and signed by the chairperson.

Such records provide an activity summary for formative evaluation and serve as the base for redirecting activity toward improvement.

5. Evidence

When the faculty member becomes a candidate for promotion or tenure, documentation of activity and products must be compiled into a file for examination and assessment. The file should contain a narrative assessment of the department/division and college/school resources, the faculty assignment and development plan, formative evaluations and explanations of discrepancies between the year beginning and year ending assignment and development plan, and papers and products that document the candidate's activities.

6. Summative Evaluation

Summative evaluations are used to make decisions which affect a faculty member's rank or tenure status. Evaluators must take into account the resources, faculty assignment and development plan, discrepancies, formative evaluations, documentation and products to then weigh these against the criteria and standards set by the candidate's college/school and department/division. Candidates must not be denied promotion or tenure due to changes in assignments, lack of resources, and arbitrary and capricious judgements.

ATTACHMENT A

EXAMPLE EVALUATION

CRITERIA, STANDARDS, AND EVIDENCE

(Each School/College to Develop their own Criteria, Standards and Evidence)

<u>Activity</u>	<u>Criteria</u>	<u>Standard</u>	<u>Evidence</u>
1.0 Teaching			
1.1 Instruction			
1.1.1 Provide Course Syllabus	A. Course outline	A. Clear, logical	Printed Course Syllabus/materials approved by Division Chairperson
	B. Objectives of course	B. Stated clearly in writing	
	C. Grading system used in course	C. Explained, relevant to course	
	D. Textbook used	D. Cited properly, relevant	
	E. References used	E. Cited properly, relevant	
	F. Content Format	F. Following approved format	
	G. Legibility	G. Clear, readable copy, no typing errors	
	H. Content	H. Current, relevant, proper language	

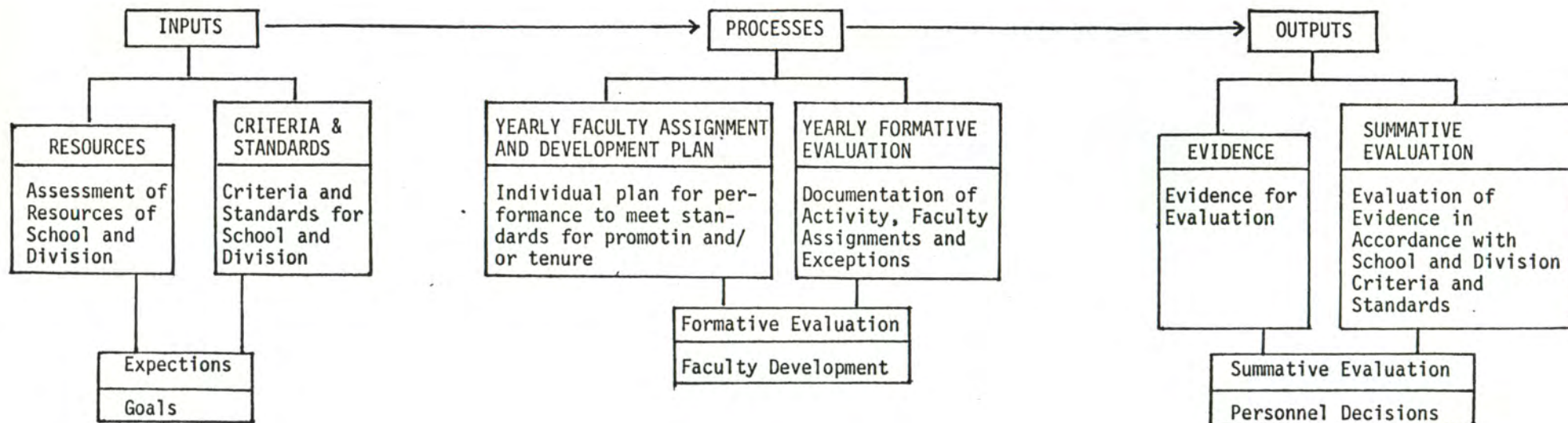
<u>Activity</u>	<u>Criteria</u>	<u>Standard</u>	<u>Evidence</u>
1.1.2 Engage in Classroom Instruction	A. Preparation for class	A. On time, materials organized, ready for class	
	B. Knowledge of subject	B. Demonstrated in lecture/presentations	Student assessment instrument and summation
	C. Method of delivery (lectures demonstration mediated role playing discussion groups individualized material)	C. Appropriate to content	Chairpersons evaluation of faculty
	D. Classroom/laboratory management	D. Materials, equipment students organized	
1.1.3 Provide for Student Evaluation	A. Means of evaluations (tests, quizzes, exams, performance checklists, papers, reports, classroom participation)	A. Means of evaluations (stated in advance, test materials well organized and administered)	Grade reports
	B. Grading system	B. Fair, relevant to course grade scale explained in writing	

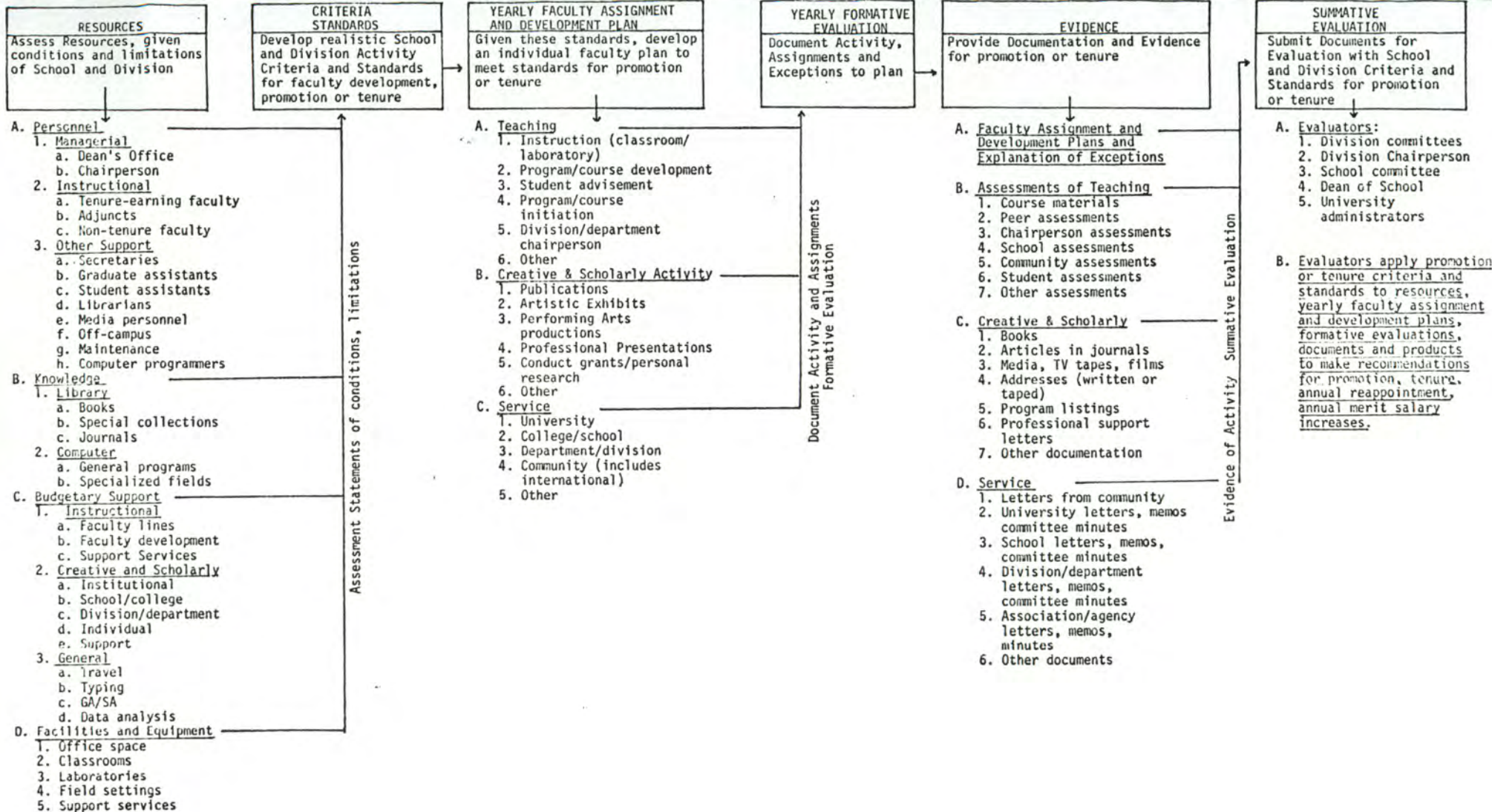
<u>Activity</u>	<u>Criteria</u>	<u>Standard</u>	<u>Evidence</u>										
1.1.4 Faculty/ Course Assessment	A. Assessment instrument which indicates teaching performance, proficiency, competence	A. Instructor receives a minimum or better score according to the following scale of his/her rank for each course 5 - excellent 4 - good 3 - average 2 - fair 1 - poor <table style="margin-left: 40px;"> <tr> <td></td> <td style="text-align: right;"><u>Min.</u></td> </tr> <tr> <td>Professor</td> <td style="text-align: right;">3.8</td> </tr> <tr> <td>Assoc. Prof.</td> <td style="text-align: right;">3.5</td> </tr> <tr> <td>Assist. Prof.</td> <td style="text-align: right;">3.2</td> </tr> <tr> <td>Instructor</td> <td style="text-align: right;">3.0</td> </tr> </table>		<u>Min.</u>	Professor	3.8	Assoc. Prof.	3.5	Assist. Prof.	3.2	Instructor	3.0	Student assessment instruments and summation
	<u>Min.</u>												
Professor	3.8												
Assoc. Prof.	3.5												
Assist. Prof.	3.2												
Instructor	3.0												
1.1.5 Conduct Clinical and Field Activities	A. Organization of clinic and student personnel and assignments B. Supervision of students in clinic/field	A. Plan of schedule, activities B. Critical observation, feedback to students, grading of performance.	Schedules, mileage, TAR, grade reports										
1.2 <u>Program/Course Development</u>													
1.2.1 Assess Feedback and Class Changes	A. Student evaluation summations B. Division chairperson evaluation C. Personal observations	A. Rating score received B. Report received C. Notes on projected changes	Materials marked for revision										

<u>Activity</u>	<u>Criteria</u>	<u>Standard</u>	<u>Evidence</u>
1.2.2 Rewrite materials as needed	A. Rewritten material before/after	A. Alleviated problems in materials	Revised material
1.2.3 Prepare for Implementation	A. Textbooks ordered, media developed/ordered, library materials ordered, bookstore notified materials printed	A. Order forms completed	Printed material for program/course Resource material available

APPENDIX B

EVALUATION AND DEVELOPMENT SYSTEM FOR PROMOTION AND TENURE





Section Four

Faculty Assignment and Development Plan

Each faculty member would complete a form that would include teaching, creative and scholarly activity and service. The document would serve as a plan of activity agreement between the faculty member and the Chairperson. Accumulatively, the plans, if fulfilled, should assure promotion and/or tenure. Additionally, the document would be used in the annual evaluation of the faculty member for purposes of future faculty development, merit salary raises and/or reappointment. When a faculty member applies for promotion and/or tenure all such annual evaluation documents would be used in the process.

APPENDIX F1

FACULTY ASSIGNMENT AND DEVELOPMENT PLAN

RESOURCE CODE

Name _____
 Rank _____
 Division/Department _____
 School/College _____
 Signature _____ Date _____
 Chairperson _____ Date _____

- 1. typing 2. duplicating
- 3. computer service
- 4. library 5. media service
- 6. classroom 7. laboratory
- 8. travel budget 9. research
- 10. office and equipment
- 11. telephone 12. printing service
- 13. file storage
- 14. general budget 15. release time
- 16. other _____

<u>Assignment</u> (circle)	<u>Activity</u> <u>Classifications</u>	<u>Resources</u> <u>Provided</u> (list as required)
1.0 TEACHING	TEACH COURSES	
1.1 <u>Instruction</u>	(list)	
F W S Su	111 Provide course syllabus _____	1,2
F W S Su	112 Engage in classroom interaction _____	4,5,6,7
F W S Su	113 Provide for student evaluation _____	1,2,3
F W S Su	114 Faculty Course Assessment _____	1,2,3
F W S Su	115 Conduct clinical/field activities _____	8
F W S Su	116 Other _____	_____
1.2 <u>Program/Course Development</u>	Program/Course	
F W S Su	121 Assess feedback and plan changes _____	1,2
	122 Rewrite material as needed _____	1,2
	123 Prepare for implementation _____	2,4,5
	124 Other _____	_____

		Program Responsibility	Resources Provided
1.3	<u>Student Advisement</u>		
F W S Su	131 Establish access	_____	10
F W S Su	132 Establish communications	_____	11
F W S Su	133 Maintain files	_____	13
F W S Su	134 Develop brochures	_____	1,12,14
F W S Su	135 Update catalog	_____	1,2
F W S Su	136 Other _____	Other _____	_____

	<u>Program/Course Initiation</u>	Program/Course	
1.4			
F W S Su	141 Assess needs	_____	1,2,3
F W S Su	142 Research scope and sequence	_____	1,2,4,9
F W S Su	143 Complete curriculum approval process	_____	1,2
F W S Su	144 Write syllabus	_____	1,2
F W S Su	145 Prepare for implementation	_____	2,4,5
F W S Su	146 Other _____	Other _____	_____

	<u>Division/Department Chairperson</u>	Division	
1.5			
F W S Su	151 Acting chairperson	_____	
F W S Su	152 Regular chairperson	_____	
F W S Su	1.6 Other _____	Other _____	_____

2.0 CREATIVE AND SCHOLARLY ACTIVITY

2.1 Publications

F W S Su	211 Conduct research	_____ Journal articles	1,2,3,4
F W S Su	212 Write manuscript	_____ Book	1,2
F W S Su	213 Edit manuscript	_____ Book chapter	1,2
F W S Su	214 Prepare final draft	_____ Monograph	1,2
F W S Su	215 Submit to publisher	_____ Proceedings	1,2
F W S Su	216 Revise copy	_____ Special Reports/ courses	1,2
F W S Su	217 Edit galleys	_____ Review/Notes	1,2
F W S Su	218 Other _____	Other _____	_____

2.2 Artistic Exhibits

F W S Su	221 Develop artwork	_____ Graphics	7,9
F W S Su	222 Develop displays/exhibits	_____ Sculptures	8,14
F W S Su	223 Present production		
F W S Su	224 Other _____	Other _____	_____

2.3 Performing Arts Productions

F W S Su	231 Develop material	___ play	1,2,7,9
F W S Su	232 Plan production	___ music	1,2,7,8,9
F W S Su	233 Prepare for production	___ film	1,2,7,8,9
F W S Su	234 Present production	___ radio brdct	1,2,7,8,9
F W S Su	235 Other _____	___ TV Brdct	2,7

2.4 Professional Presentations

F W S Su	241 Conduct research	___ conference	1,2,3,4
F W S Su	242 Write draft	___ symposia	1,2,3,4
F W S Su	243 Edit draft	___ workshop	1,2,12
F W S Su	244 Deliver presentation		8
F W S Su	245 Other _____	___ Other	—

2.5 Conduct Grants/Personal Research

F W S Su	251 Collect data	topic	1, 2, 3, 4
F W S Su	252 Write proposal		1,2
F W S Su	253 Conduct activity/research	___	1,2,3,4,9
F W S Su	254 Write report/manuscript	___	1,2
F W S Su	255 Edit report/manuscript	___	1,2
F W S Su	256 Other _____	___ Other	—

3.0 SERVICE

Senate, committees/
task forces 8 for North or
Tamiami Campus

3.1 University

F W S Su	311 Participating member	___	
F W S Su	312 Chairperson	___	1,2
F W S Su	313 Secretary	___	1,2
F W S Su	314 Other _____	___ Other	—

3.2 School/College

Committees/Task Forces

F W S Su	321 Participating member	___	
F W S Su	312 Chairperson	___	1,2
F W S Su	313 Secretary	___	1,2
F W S Su	314 Other _____	___ Other	—

3.3 Division/Department

F W S Su	331 Participating member	___	
F W S Su	332 Chairperson	___	1,2
F W S Su	333 Secretary	___	1,2
F W S Su	334 Other _____	___ Other	—

3.4 Community (includes International)

F W S Su	341 Participating member	___	
F W S Su	342 Chairperson	___	1,2
F W S Su	343 Secretary	___	1,2
F W S Su	344 Other _____	___	

Section Five

BOARD OF REGENTS - UNITED FACULTY OF FLORIDA
AGREEMENT

1978 - 81

Article

- 1 Recognition
- 2 Consultation
 - 2.1 Consultation with Chancellor
 - 2.2 Consultation with Presidents
 - 2.3 Consultation with Developmental Research School Directors
- 3 UFF Privileges
 - 3.1 Use of Facilities and Services
 - 3.2 Bulletin Boards
- 4 Reserved Rights
- 5 Academic Freedom
- 6 Nondiscrimination
- 7 Minutes, Rules and Budgets
- 8 Appointment
- 9 Assignment of Responsibilities
- 10 Annual Employee Performance Evaluation
- 11 Personnel Evaluation File
- 12 Reappointment
- 13 Layoff and Recall
- 14 Promotion Procedure
- 15 Tenure
- 16 Termination and Other Actions
- 17 Leaves
 - Compensated Leaves
 - 17.1 Accrual During Leave with Pay
 - 17.2 Holidays
 - 17.3 Sick Leave
 - 17.4 Job-related Disability Leave
 - 17.5 Annual Leave
 - 17.6 Jury Duty and Court Appearances
 - 17.7 Military Leave
 - 17.8 Uncompensated Leaves
 - 17.9 Compulsory Disability Leave
- 18 Copyrights and Patents
- 19 Outside Employment
- 20 Grievance Procedure and Arbitration
- 21 Other Employee Rights
 - 21.1 Professional Meetings
 - 21.2 Office Space
 - 21.3 Safe Conditions
 - 21.4 Tuition-free Courses
 - 21.5 Limitation on Personal Liability

22	Professional Development Program and Sabbaticals
23	Salaries
24	Fringe Benefits
25	Insurance Deduction
26	Dues Deduction
27	Maintenance of Benefits
28	Miscellaneous Provisions
	28.1 No Strike or Lockout
	28.2 Effect of Passage of Law
	28.3 Legislative Action
	28.4 Venue
	28.5 Copies of Agreement
	28.6 Class Titles
29	Severability
30	Amendment and Duration
31	Totality of Agreement
32	Definitions

Section Six

Conclusions and Recommendations

The written description of the activities and products of a group of individuals known as the SREB Committee can never express the tremendous amount of time and energy spent on this project. Faculty evaluation and development is a topic that always has and probably always will plague universities. It is a never ending process of reviewing and refining what one has in hopes of making it better. It is hoped that the work of this committee has made the policies and procedures for faculty development and evaluation at Florida International University clearer, more objective and more understandable.

In closing, the following recommendations are made:

1. The University's Promotion and Tenure Policy and Procedures Document should be updated and refined and proposed to the academic units for acceptance.
2. Each academic unit should develop and/or refine its specific criteria for promotion and tenure.
3. The academic units should develop faculty assignment and development plans for each faculty member.
4. Annual evaluations as designated in the Agreement should be conducted in relationship to specific assignment and development plans.
5. The University should continue its efforts to merge all evaluation policies from the Office of Academic Affairs, the academic units and the Agreement.
6. A series of workshops should be conducted for deans, faculty and chairpersons. Topics should include, but not be limited to:
 - a. Board of Regents - United Faculty of Florida Agreement
 - b. Promotion and tenure policies and procedures.
 - c. Faculty assignments, development and evaluation.
7. An effort should be made to develop a valid system for student input regarding the teaching effectiveness of faculty.