

**Department of Mathematics
Faculty Evaluation Procedures
(As approved February 7, 2014)**

Contents

1	FEC Folder Format	2
2	Annual Order of Business of FEC	4
3	Promotion and Tenure: General Considerations	5
4	Annual Evaluation: General Considerations	6
5	Procedures Governing Evaluation, Promotion and Tenure Recommendations, and Termination Recommendations	6
6	Communication Procedures for FEC	9
7	Evaluation of Specialized Faculty (SF) (once called NTTF)	10
8	APPENDIX Department Procedures Concerning Merit Pay Increases	10

Context

These bylaws adhere to and are consistent with the University policies found in the FSU Constitution, the BOT-UFF Collective Bargaining Agreement, the Faculty Handbook, and the annual Promotion and Tenure letter.

1 FEC Folder Format

The FEC Folder Format is electronic. All files must be uploaded, usually by the individual.

Faculty can use the Faculty Expertise and Advancement System <https://netprod.oti.fsu.edu/cvdb/Default.aspx> to maintain their vita for the FEC folder. Use of FEAS is a requirement for promotion binders. The old format is given below for reference. The FEAS system is a one-system-fits-all, something that rarely succeeds.

Vita

1. Degrees (when and where)
2. Postdoctoral awards
3. Academic positions
4. Other professional positions and activities (including consulting)
5. Professional and honorary societies

Research

1. Research Publications: This category should be restricted to papers and monographs considered to be of a research nature in a narrow sense. Normally, minimum qualification is that the work is published in refereed journals or refereed conference proceedings of national or international circulation. The data should include the title of the article, joint authors, name of journal, year of publication, and page numbers. Papers not yet published but accepted for publication in a recognized journal may be included. A copy of the acceptance letter from the editor should be made available upon request of the FEC. The FEC shall be provided with copies of papers and monographs published during the past three years.
2. Other Publications: This category should include textbooks, expository articles, etc. However, internal reports, abstracts in Notices, reviews, etc. should not be listed.
3. Work in Progress:
 - (a) This section provides for a list of papers submitted for publication. Also, recent papers not submitted for publication but available in preprint form may also be listed. A copy of any paper listed here (or in the preceding categories) should be available to FEC upon request.
 - (b) This section provides the individual with an opportunity to file a brief description, not exceeding one page in length, of current research (not in final written form). The individual may include such things as abstracts of papers presented at recent professional meetings.
4. Citations (Optional): The number of citations per year compiled by Science Citation Index or by Google Scholar can be listed. This list may be augmented (by the individual) to include citations in books and journals not covered by the Index (as well as to correct errors).
5. Research Grants
6. Honors:

- (a) Invited Addresses. These should be restricted to those based primarily on one's own research. For example, this section might include hour talks to other universities (by invitation) and one-hour addresses to the ACM, AMS, MAA, SIAM, and Sigma Xi. In addition, twenty-minute talks by invitation delivered to a Special Session of AMS may be listed accompanied by the name of the organizer of the Special Session.
 - (b) Other Honors
7. Reviews and Refereeing: Under "Reviews" a list of the number of reviews per year for Mathematical Reviews, (and certain other reviewing journals) may be included; the reviews themselves should not be listed. A list of journals for which the individual has served recently as referee may be included under "Refereeing."
 8. Letters of Recommendation: Letters providing an analysis of the individual's research may be requested from specialists in that area of research. The individual is entitled to have at least two of these letters written by persons suggested by the individual while the Department has the choice, if it wishes, of at least two. The Department will make available to the individual the names of persons from whom letters have been solicited and/or received.

Teaching

It shall be the responsibility of each faculty member to have placed in the folder all of the material that the individual wishes the committee to consider. All materials shall be dated, and before the start of each annual evaluation, all student response forms older than three years shall be removed from the FEC folder, but retained in the permanent evaluation file. Teaching evaluation data may include, but need not be restricted to, the following.

1. Student Perception of Courses and Instructors (SPCI) forms plus any other equivalent student response data concerning in-class teaching performance.
2. A list of courses taught for the last 3-5 years.
3. A detailed description of the faculty member's teaching schedule for the current academic year, including seminars led, DIS courses, honors sections, course enrollments, grade distributions, office hours and extra help sessions.
4. A list of all Ph.D. and M.S. students for which the faculty member served as a major professor.
5. A list of all Ph.D. and M.S. students for which the faculty member served as a committee member during the past 3-5 years.
6. A description of courses developed during the last 3-5 years.
7. Any record of special recognition for quality teaching.
8. Classroom visitation on an ad hoc basis, when either the FEC feels it is necessary or the faculty member requests it.

Service

1. Administrative duties and accomplishments, including those of the Chair.
2. Committee work.
3. Activities in professional organizations (such as ACM, AMS, MAA, and SIAM) in the capacity of an officer, committee member, etc.
4. Non-funded consulting.
5. Student counseling.

6. Other services related to the Department or the mission of the University.
7. Reviews and refereeing (same as item 7 under Research).

Evaluation

Results of the FEC evaluation and the Chair's evaluation of each faculty member in the department shall be filed in the faculty member's folder. These evaluations shall remain in the member's folder for three years.

Remarks

The Department and the individual should share the responsibility of keeping the individual's FEC folder up-to-date and accurate. The individual should be invited to examine the folder periodically and to attest to its accuracy as far as the objective content is concerned. Moreover, a form should be provided in the folder for the individual to make brief comments concerning evaluations and other pertinent matters without initiating an appeal.

2 Annual Order of Business of FEC

Spring Semester

The Chair shall advise the departmental faculty to review and update their FEC folders in preparation for the Spring Semester faculty evaluation. This communication should contain a description of the normal content of an FEC folder.

At the beginning of the Spring Semester, as soon as practicable and following the election of FEC members, the committee shall convene to prepare for the annual departmental faculty evaluation. The order of business for the Spring Semester will ordinarily be as follows.

- (a) A secretary will be elected.
- (b) Evaluation criteria and procedures will be reviewed. Any changes made in criteria and procedures shall be submitted to the departmental faculty for ratification.
- (c) The list of departmental faculty having graduate faculty status shall be reviewed and updated. (A necessary condition for retention of graduate faculty status is an annual rating of Satisfactory or above in research. Any additions must be approved by the Science Area Promotion, Tenure and Graduate Faculty Status Committee.)
- (d) The annual FEC departmental faculty evaluation shall be conducted. Immediately upon completion of this process, the Chair shall transmit to each faculty member his or her evaluation.
- (e) A tentative listing of promotion and tenure candidates and a determination of what letters of recommendation are required shall be made. It shall be the Chair's responsibility to acquire needed letters of recommendation in accordance with FEC Folder Format, Section 8.
- (f) The Chair's salary recommendations shall be reviewed, in accordance with the bylaws. It may be necessary to perform this review in the Summer Term though it would be highly desirable to do so during the Spring Semester.

Summer Term or Fall Semester

After letters of recommendation have been received and well in advance of any higher promotion and tenure committee deadlines, the FEC shall make promotion and tenure recommendations to the department promotion and tenure committee.

Fall Semester

With a view to preparing recommendations for the committee's consideration in the Spring Semester, and after promotion and tenure recommendations are completed, the committee will consider whether changes are called for in its adopted procedures and criteria for faculty evaluation as well as in its review and appeals procedures.

At the end of the Fall Semester, the FEC shall make a report of its activities to the departmental faculty.

3 Promotion and Tenure: General Considerations

In regard to its recommendations concerning promotion, tenure, termination, graduate faculty status, and other related matters that may come before it, FEC is charged with the responsibility of applying the standards and criteria of the Department, University, and the Collective Bargaining Agreement in a uniform and consistent manner with the intent of preserving and improving the quality and prestige of the Department and of ensuring fairness and equity to all members.

A basic tenet of the Mathematics Department's philosophy is that all promotions and awards of tenure must be earned. They will not come merely as a result of years of service.

Although promotion to an associate professor, tenure, and graduate faculty status are normally considered at about the same level of professional and academic development, they are independent of one another and deserve, and shall receive, separate consideration.

Criteria for Promotion to Associate Professor

The bylaws addendum on Annual Evaluations, Promotion, Tenure and Salary Adjustment Recommendations shall be followed. Candidates for promotion to associate professor must normally have at least met FSU's high standards in teaching at both the undergraduate and graduate levels. They must have maintained an up-to-date knowledge of their respective fields, and be able to communicate their knowledge to others. The Department will particularly value the candidate who has not merely carried out assigned tasks, but who has made innovative contributions where appropriate in introducing new materials and updating old material, including work done on the individual's own initiative. The candidate who has not already worked with graduate students on research topics should be judged interested in and capable of doing so. If appropriate, the Promotion and Tenure Committee will look for evidence that the individual has demonstrated willingness and effectiveness at working with graduate students.

Research work of high quality is necessary. It should have already received some recognition outside the University, as evidenced by citations or written support from distinguished mathematicians and/or scientists outside the University, or by grant support. There must be concrete evidence that the research will eventually achieve distinction in the candidate's field.

Criteria for Promotion to Full Professor

The bylaws addendum on Annual Evaluations, Promotion, Tenure and Salary Adjustment Recommendations shall be followed. Promotion to full professor is warranted when the promise implicit in the recommendation for appointment or promotion to associate professor has been fulfilled. The candidate must have made substantial contributions to the teaching program of the Department and should have demonstrated the ability to work with graduate students on research topics. The candidate's scholarly and research work should have achieved at least national recognition by objective standards, have breadth of interest, and be judged of considerable importance to the candidate's field of interest. It should also have contributed to the graduate programs of the Department.

Sustained Performance Evaluations

Sustained Performance Evaluations will be done in manner consistent with the department bylaws and the Collective Bargaining Agreement.

4 Annual Evaluation: General Considerations

1. The FEC shall be responsible for the Faculty Evaluation component of the required annual evaluation of the faculty members in the department.
2. It shall evaluate individual faculty performance in the areas of research and other creative activities, teaching service, and other university duties. It shall do so in the light of and weighted by the AOR, the assigned university duties and professional obligations of each individual.
3. The FEC shall also consider these other factors in accordance with Collective Bargaining Agreement procedures:
 - (a) The adequacy of the faculty member's talents and resources to fit the needs and plans of the Department, College, and University.
 - (b) The inability, for any reason, of the faculty member to maintain the level of performance which earned that person's present appointment.
 - (c) The ability of the faculty member to work with a reasonable degree of effectiveness with colleagues, students, and others in the university community.
 - (d) The manner in which the faculty member reconciles academic freedom with academic responsibility.
4. A written summary shall be prepared of the overall evaluation and the evaluation of each area of performance and other factors listed in (3) above.

5 Procedures Governing Evaluation, Promotion and Tenure Recommendations, and Termination Recommendations

I. Annual Evaluation

Each faculty member shall be evaluated annually in the areas of research, teaching, and service and shall then be assigned an overall evaluation. There are two steps in the evaluation process.

1. an individual evaluation by each FEC member; and
2. the combining of these individual evaluations into an FEC evaluation.

We shall discuss these steps in the case in which research is being evaluated. The evaluation of teaching and service shall be carried out in a manner similar to that in which the evaluation of research is made.

A. Evaluation of Research

There seems to be no exactly delineated procedure for carrying out an evaluation of research which is satisfactory for all evaluators. However, certain general statements of policy can be made and the spirit of these statements should be followed.

Statements of Policy (Evaluation of Research)

1. Individuals having comparable lengths of time in the same rank and with similar duty assignments should be evaluated using the same methods and according to the same standards and criteria, which shall be appropriate for that length of time in that rank and that duty assignment.
2. Both the quality and the quantity of the individual's activity should be considered. Both recent work and total contribution should be evaluated.

3. Judgments must be made by the evaluator. The opinions of other FEC members should be used only as expert opinion (insofar as it is expert) the way other expert opinion is used. These judgments may be made using direct evidence (that is, actually reading the items being evaluated) or indirect evidence (for example, citations, length of article, journal of publication, letters of recommendation, reviews such as in Mathematical Reviews and other expert opinion).
4. In general, the items to be evaluated are those listed under “Research” in the FEC FOLDER FORMAT. In particular, published research papers, current research contracts and consulting contracts would be evaluated using evidence which includes letters of recommendation and citations.
5. An attempt should be made to assess the national, or international, reputation of the evaluatee. This should be done using letters of recommendation, citation information, and invitations to speak at other universities, meetings, and conferences together with a list of published works.

After carrying out an evaluation of research according to the guidelines above, each FEC member shall assign to each evaluatee (except themselves, or any other department member for whom they or the FEC shall decide that such an evaluation would constitute a conflict of interest) one of fifteen ratings O+, O, O-, . . . U- according to the following scale:

[O+, O, O-] Outstanding

[S+, S, S-] Strong

[Sa+, Sa, Sa-] Satisfactory

[W+, W, W-] Weak

[U+, U, U-] Unsatisfactory

The rating assigned represents the evaluator’s individual evaluation of the given faculty member’s research.

B. Evaluation of Teaching

The fundamental criterion by which effective teaching should be measured is the instructor’s success in imparting knowledge and skills to students and in stimulating their creative abilities. Several problems arise in obtaining direct evidence of teaching effectiveness, and hence indirect evidence of teaching effectiveness must also be used. The considerations of the committee shall be broadly based, and shall seek to include all factors relevant to effective teaching. Among other things, the following shall be considered:

- (a) evidence of the effectiveness of the faculty member in the classroom teaching of undergraduate and graduate students;
- (b) evidence of the effectiveness of the faculty member in supervision of teaching and research by graduate students; contributions of the faculty member to the development of new courses or new material for existing courses.

Evaluation of teaching contributions shall be carried out in a manner similar to that in which the evaluation of research is made. In cases where individual evaluations by FEC members indicate that it may be appropriate, the Committee may assign to an individual faculty member a summary rating of Weak or Unsatisfactory in teaching. If such a rating is based primarily on classroom performance, then it shall be assigned only after a second analysis; this second analysis shall normally include reports of FEC-coordinated visits of the faculty member’s classes that have occurred during the two previous or current years.

C. Evaluation of Service

Evaluation of service contributions shall be carried out in a manner similar to that in which the evaluation of research is made.

D. Overall Evaluation

After individual Research, Teaching, and Service components of the evaluation of a faculty member have been completed, each FEC member shall take into careful consideration the FTE allocated to each part of the faculty members annual assignment, as well as the department's mission and expectations for different ranks and stages of career, and assign an initial overall evaluation. The FEC shall discuss the overall evaluations assigned by the different FEC members, and reach a consensus on the overall evaluation of that faculty member's activities.

After the faculty has been evaluated in the three areas discussed above, the FEC shall assign an overall rating to each faculty member, using the ratings: The FEC shall provide explanation on the rating of each individual in each category and on the overall rating.

5. Outstanding

4. Strong

3. Satisfactory

2. Weak

1. Unsatisfactory

The overall rating shall take into account duty assignment. All ratings (Research, Teaching, Service, and Overall) must be reported and filed as part of the annual evaluation of each faculty member. Those faculty members receiving a grade of Weak or Unsatisfactory should be given a written statement by the Chair as to what improvements might be desirable over the next few years.

The FEC shall provide a narrative for each faculty member in each category explaining the ratings.

The Annual Evaluation Summary Form format requires the use of different terms for the ratings: Substantially Exceeds FSU's High Expectations corresponds to Outstanding, Exceeds FSU's High Expectations corresponds to Strong, Meet FSU's High Expectations corresponds to Satisfactory, Official Concern corresponds to Weak, and Does Not Meet FSU's High Expectations corresponds to Unsatisfactory.

II. Promotion and Tenure

After the annual evaluation in the Spring Semester, the FEC shall determine those faculty members who will be "in contention" for promotion and/or tenure in the following fall. This preliminary rating is done in the spring so that letters of recommendation can be received at least by the beginning of the fall semester. Being placed "in contention" for promotion and/or tenure is no guarantee of a subsequent favorable decision by FEC or the department's Promotion and Tenure Committee. For promotion to associate professor, the Promotion and Tenure committee is the current collection of associate or full professors in the department. For promotion to full professor, the Promotion and Tenure committee is the current collection of full professors in the department. For tenure, the Promotion and Tenure committee is the current collection of tenured people in the department.

After letters of recommendation have been received, and after any augmentation of the "in contention" lists, each member of the FEC shall carry out a thorough evaluation of research, teaching, and service contributions using the guidelines given in the above Statements of Policy and all other information available in the evaluation files. This in-depth study shall be carried out by each FEC member on each faculty member in contention for promotion and/or tenure (except that FEC members do not evaluate themselves).

The individuals who are in contention shall be assigned to three (possibly overlapping) categories:

a) Those in contention for promotion to Associate Professor

b) Those in contention for Tenure

c) Those in contention for promotion to Full Professor

Taking each category separately, the FEC shall vote simultaneously on the individuals in that category "yes" or "no" in favor of recommendation.

III. Evaluation of Progress of Faculty Eligible for Tenure

During the Spring Semester, as soon as possible after the evaluation, the record of each faculty member eligible for tenure shall be evaluated in regard to progress toward being recommended for tenure. The results of this evaluation shall be communicated in writing to the department's Promotion and Tenure committees. The evaluation of progress towards tenure is independent of the annual evaluation.

In the second and fourth years of a tenure-earning professor employment, a more extensive review is conducted to determine the professor's progress towards tenure.

IV. Termination

When an untenured faculty member's performance is judged by the FEC as Does not meet FSU's high standards, the FEC may recommend to the Chair that the faculty member be terminated. If after five years of service an untenured faculty member who is eligible for tenure is judged unsuitable for tenure by the FEC, the FEC must recommend to the Chair that the faculty member be terminated.

When in an Annual Evaluation the overall performance of any faculty member is judged unsatisfactory by the FEC, the Faculty Evaluation Summary shall be forwarded to the President of the University via the Dean of the College of Arts and Sciences and the Vice President for Faculty Development and Advancement with appropriate recommendation by the FEC and the Chair as to action to be taken as outlined in the Collective Bargaining Agreement.

6 Communication Procedures for FEC

1. Annual Evaluation

- (a) The FEC shall transmit its evaluations each year to the Chair.
- (b) The Chair shall follow university regulations in communicating departmental evaluations to individual faculty members and to higher administrative officers. The FEC evaluations shall be the peer evaluation component in such departmental evaluations.
- (c) Access to files shall be in accordance with university regulations.

2. Promotion and Tenure

- (a) Prior to the secret ballot on tenure recommendations, all tenured faculty shall be invited to examine the FEC folders of the FEC nominees for tenure.
- (b) Nominees will be asked to examine their promotion and/or tenure folders, except for rankings and letters, and to indicate their approval of, or objections to, the folders.
- (c) Recommendations for promotion or tenure shall be transmitted to higher officers or committees by the Chair.
- (d) Nominees for promotion or tenure shall be informed by the Chair of the committee decision and actions of higher committees.

3. Termination: Warnings and notices of termination of faculty members, including reasons specified by the FEC, shall be transmitted in writing by the Chair in accordance with departmental and university regulations.

4. Minutes: FEC meeting minutes, including major actions and final decisions, shall be kept on file in the departmental office for examination by voting members of the Department.

5. Appeals:

- (a) Each individual faculty member is entitled to request a review by FEC of any recommendation made by FEC regarding the individual's promotion, termination, tenure, or annual evaluation. Such a review shall be granted upon a written request of the individual to the Chair, tendered

within two months after the recommendation of FEC in question was made known to the individual. During the review process, the individual shall have the right to present his/her case to the FEC in person if he/she wishes.

- (b) If an original recommendation regarding promotion, termination, or tenure is not changed after the review by FEC, the individual may then appeal the recommendation to the tenured faculty provided at least three members of FEC favor permitting the appeal. The vote on reconsideration by FEC shall be by roll call ballot.

7 Evaluation of Specialized Faculty (SF) (once called NTTF)

There will be a separate specialized faculty evaluation committee (SFEC) that consists of the Chair and 3 to 4 elected members of the SF. The SFEC (less the Chair) shall provide an initial assessment of the SF before the Chair's meeting with the SFEC. The Chair shall solicit input from those graduate faculty members who work with the SF for the evaluation of the SF. The SFEC and FEC will propose departmental standards for the promotion of SF in accordance with Appendix J of the Collective Bargaining Agreement http://hr.fsu.edu/?page=EmployeeRelations_CollectiveBarg_FSUSBargain

8 APPENDIX Department Procedures Concerning Merit Pay Increases

1. The bylaws addendum on Annual Evaluations, Promotion, Tenure and Salary Adjustment Recommendations shall be followed. The Chair shall determine the eligibility of each individual for merit pay, based primarily on recent annual evaluations by the FEC. Normally, an individual must be rated at least Satisfactory (Meets FSU's high standards) Overall to be eligible for a merit increase.
2. The Chair shall then prepare recommendations for merit pay, if any, for each eligible individual, using the following guiding principles: Decisions concerning merit salary increases should be consistent with the university's mission to serve as a center for advanced graduate and professional studies while emphasizing extensive research and providing excellence in undergraduate programs.
3. The Chair shall follow university regulations in communicating the final merit increase recommendations to higher administrative officers, and the final merit increases to individual faculty members. Upon request, the Chair shall supply to individual faculty members a list of current salaries of department members and of merit increases awarded.