

ARTICLE _

Performance Evaluation and Evaluation File

[Tied to]

_.1 General Principles

(a) Performance evaluations are intended to communicate to faculty members and academic professionals a qualitative assessment of performance of assigned duties by providing written feedback. Each faculty member's and academic professional's performance shall be evaluated annually. Faculty and academic professionals shall be evaluated according to the approved standards and procedures, provided that those standards and procedures were in place prior to the beginning of the evaluation period. Exempt from such evaluations are those whose employment is ending before the next annual evaluation.

(b) The evaluation process is intended to recognize the unique professional environment at Florida Polytechnic. It is understood that, since Florida Polytechnic employees must routinely deal with issues and challenges that are not common to traditional academic settings, any evaluation process shall acknowledge and accommodate these issues and challenges.

_.2. Sources of Evaluation Information

(a) Faculty/academic professional Annual Report. Every year, each faculty member and academic professional shall submit to the Provost a report of the employee's activities in teaching, research/ scholarship/creative activities, service, and other University duties.

(i) The University shall specify the required format and minimum content of the annual report, consistent with the provisions of Sections ___ through ___ below.

(ii) The annual report shall include any interpretive comments and/or supporting data that the faculty member or academic professional deems appropriate in evaluating the employee's performance.

(b) University Required Student Evaluations. The tabulated results and written comments of student evaluations of classroom instruction shall be available to faculty members no later than thirty (30) days following the end of classes in the semester in which the evaluation occurred.

(c) Other Information. The annual evaluation shall also consider information from the following sources as appropriate: Academic Program Coordinators (APCs),

35 faculty peers, students, faculty member/self, other university officials who have
36 responsibility for supervision of the faculty member or academic professional.,
37 and individuals to whom the faculty/academic professional may be responsible in
38 the course of a service assignment. Any materials used in the evaluation process
39 submitted by persons other than the faculty member or academic professional shall
40 be shown to that individual, who may attach a written response.

41 _3. Faculty Observation/Visitation. The University may conduct classroom observation
42 or visitation in connection with a faculty member's evaluation.

43 (a) The Provost shall notify a faculty member at least fifteen (15) days in advance of
44 the date and time of any direct classroom observation(s) or visitation(s). If the
45 faculty member determines that this date is not appropriate because of the nature
46 of the class activities scheduled for that day, the faculty member may suggest a
47 more appropriate date or dates.

48 (b) Notwithstanding the above, if the Provost has received a complaint or other
49 information that gives rise to immediate concerns about the conduct of the class,
50 the Provost may observe or visit the class at any time without notice to the faculty
51 member.

52 (c) A written report of the observation/visitation shall be submitted to the faculty
53 member within two (2) weeks of the observation/visitation. The faculty member
54 shall be offered the opportunity to discuss the report with the Provost prior to its
55 being finalized and placed in the employee's evaluation file and may submit a
56 written reply, which shall be attached to the report. If the course involved was
57 assigned to the faculty member with less than four (4) weeks' notice, the report
58 shall include this information.

59 (d) Peer Assessment. A faculty member has the right to have a peer or colleague to
60 observe/visit the faculty member's teaching and to have an assessment of that
61 observation/visitation included as part of the faculty member's annual report. The
62 Provost shall invite the peer evaluator, who may be within the University, a retired
63 colleague, or a colleague in the same discipline from another university.

64 _4. Evaluation Rating Categories. Each faculty member's performance of assigned duties
65 shall be evaluated according to rating categories defined jointly by the Provost and the
66 faculty of the Program.

67 (a) Each Program will establish its own Evaluation Rating Categories, consistent with
68 the mission and any special circumstances of that Program. The Categories will
69 with the Categories contained in the Compensation article.

70 (b) The Program faculty shall identify representative examples of the achievements or
71 performance characteristics that would earn each performance evaluation rating,
72 consistent with a faculty member’s assigned duties.

73 _5. University Criteria for Annual Faculty and Academic Professional Performance
74 Evaluations. The annual performance evaluations shall be based upon assigned duties
75 and shall consider the nature of assignments and quality of performance in terms of
76 the following criteria, where applicable:

77 (a) Teaching effectiveness, including effectiveness in presenting knowledge,
78 information, and ideas by means or methods such as lecture, discussion,
79 assignment and recitation, demonstration, laboratory exercise, practical
80 experience, student evaluations, assessment of and engagement with student work,
81 and direct consultation with students. The evaluation shall include consideration
82 of:

83 (i) Effectiveness in presenting knowledge and skills, and effectiveness in
84 stimulating students’ critical thinking and/or creative abilities, the development
85 or revision of curriculum and course structure, and adherence to accepted
86 standards of professional behavior in meeting responsibilities to students.

87 (ii) Other assigned university teaching-related duties.

88 (iii) Any relevant materials submitted by the faculty member such as class
89 notes, syllabi, student exams and assignments, a faculty member’s teaching
90 portfolio, results of peer evaluations of teaching, and any other materials
91 relevant to the faculty member’s instructional assignment.

92 (b) Contribution to the discovery of new knowledge, development of new educational
93 techniques, and other forms of research/scholarship/creative activity.

94 (i) Evidence of research/scholarship/creative activity, either print or electronic,
95 shall include, but not be limited to, published books; chapters in books; articles
96 and papers in professional journals; papers presented at meetings of
97 professional societies; reviews, research and creativity that has not yet resulted
98 in publication or presentation.

99 (ii) Evidence of efforts to improve or expand the research or technical
100 infrastructure of Florida Polytechnic will be included as a contribution to
101 research/scholarship/creative activities.

102 (iii) The evaluation shall include consideration of the overall quality of the
103 faculty member’s research/scholarship and other creative programs and

104 contributions during the evaluation period, and recognition by the academic or
105 professional community of what has been accomplished.

106 (c) Service within the university and public service that extends professional or
107 discipline-related contributions to the community; the State, including public
108 schools; and the national and international community. Such service includes
109 contributions to scholarly and professional conferences and organizations and
110 unpaid positions on governmental boards, agencies, and commissions that are
111 beneficial to such groups and individuals.

112 (d) Participation in the governance processes of Florida Polytechnic through
113 significant service on committees, councils, and senates, and the faculty member's
114 contributions to the governance of the institution through participation in regular
115 Program or college meetings.

116 (e) Service for UFF may require a significant commitment of time and shall be
117 acknowledged in the annual evaluation.

118 (f) Other assigned university duties, such as advising, counseling, supervision of
119 interns, and academic administration, or as described in a position description.

120 _6. Program Clarifications of University Criteria for Annual Faculty Performance
121 Evaluations. The APC and the faculty in each Program/unit shall jointly develop and
122 maintain written clarifications of the University criteria for annual performance
123 evaluations, in terms tailored to the Program's discipline(s), faculty positions and
124 ranks, and assigned duties.

125 (a) These discipline-specific clarifications shall:

126 (i) Take into consideration the Program's mission and the reasonable expectations
127 for the different ranks;

128 (ii) Be adaptable to various assigned duties, so that Program faculty have an
129 equitable opportunity to earn merit increases, regardless of their assignments;
130 and

131 (iii) Be detailed enough that a reasonable faculty member should understand
132 what performance or accomplishment is reasonably expected in teaching,
133 research/ scholarship/creative activity, service and other activities to earn each
134 performance evaluation rating. The clarifications shall identify for each
135 assignment area some representative examples of the achievements or
136 performance characteristics that would earn each performance evaluation
137 rating.

- 138 (b) With respect to research/scholarship/creative activity, each Program shall develop
139 discipline-specific clarifications that are consistent with the University’s publicly
140 articulated mission. These discipline-specific clarifications must also address how
141 the Program values various research/scholarship/creative activities and the outlets
142 in which candidates might be reasonably expected to publish, present or exhibit.
- 143 (c) The Program clarifications for the annual evaluation rating categories shall assume
144 that the period over which a faculty member’s performance is evaluated is the
145 preceding year. However, the Program may allow for an evaluation period for
146 research/scholarship/creative activity of up to three (3) years.
- 147 (d) The discipline-specific clarifications must be consistent with the criteria and
148 procedures described in Sections __ through __. The procedures, criteria, and
149 clarifications described in Sections __ through __ shall be the sole basis for the
150 annual faculty performance evaluation.
- 151 7. Annual Evaluation Process. The annual evaluation assesses an employee’s
152 performance of assigned duties consistent with the criteria specified in Section __5
153 above.
- 154 (a) The annual evaluation shall be conducted in the Spring semester, and shall include
155 evaluation of assigned duties for the Fall and Spring semesters of the current
156 academic year and the preceding Summer terms, if the employee had an
157 appointment in a summer term.
- 158 (b) The Provost shall provide to the employee the form or format for submission of a
159 employee’s annual report no later than January 15.
- 160 (c) The Provost shall develop a procedure for peers to evaluate employee
161 performance, consistent with other provisions of this Agreement. This procedure
162 shall be approved by the Provost, Program faculty, and academic professionals.
163 The procedure shall identify how faculty and professionals will be involved in the
164 process, how the employees will receive feedback on the peer evaluation, and
165 whether the evaluation will be included in the employee’s official evaluation file.
- 166 (i) For faculty, population of peer evaluation committees will come from
167 members of the faculty member’s Program or from faculty in other Programs,
168 depending on Program size and faculty resources. For academic professionals,
169 peer evaluation committees will come from faculty and staff who work with
170 and have knowledge of the functions of that academic professional.
- 171 (ii) The Provost will advise the peer evaluation committees regarding University-
172 wide and (as appropriate) Program-specific performance expectations

- 173 (d) Each employee shall submit to the Provost the employee's annual report no later
174 than March 30.
- 175 (e) Committees (including peer evaluation committees) or other individuals
176 submitting evaluative data that may be relevant to the annual evaluation shall
177 report to the Provost no later than April 10.
- 178 (f) The Provost's evaluation shall identify any major performance deficiencies and, if
179 any such deficiency has been identified, shall provide the employee with written
180 feedback designed to assist the faculty member in improving his/her performance.
- 181 (g) No later than June 1 the Provost shall provide to the employee the written annual
182 evaluation, and shall attach to the annual evaluation a copy of the employee's
183 annual report.
- 184 (i) The employee shall be offered the opportunity to discuss the evaluation with
185 the Provost or designee prior to its being finalized.
- 186 (ii) The evaluation shall be signed and dated by the Provost performing the
187 evaluation and by the employee being evaluated, who may attach a concise
188 comment to the evaluation.
- 189 (h) Nothing prohibits the Provost from modifying the annual evaluation based on a
190 employee's written response to the evaluation. A copy of the revised evaluation
191 shall be provided to the employee. The employee may append a response to the
192 final evaluation.

193 _8. Employee Assistance Program. Neither the fact of an employee's participation in an
194 employee assistance program nor information generated by participation in the
195 program, shall be used as evidence of a performance deficiency within the evaluation
196 process described in this Article, except for information relating to an employee's
197 failure to participate in an employee assistance program consistent with the terms to
198 which the employee and the University have agreed.

199 _9. Evaluation File. There shall be one (1) official evaluation file, containing a dated copy
200 of all documents used in the assignment and evaluation process, except for course
201 materials, publications, public speeches/presentations, or papers presented at
202 conferences. When evaluations and other personnel decisions are made, the only
203 documents that shall be considered are those contained in the official evaluation file,
204 as well as the employee's course materials, publications, public speeches/
205 presentations, or papers presented at conferences that are referenced in the official
206 evaluation file.

- 207 (a) The Provost shall be the custodian of the evaluation file, and notice specifying the
208 location of employee evaluation files shall be distributed to each Program/unit.
- 209 (b) Documents shall be placed in the evaluation file upon receipt. The employee shall
210 be notified when the document is placed in the evaluation file.
- 211 (c) No adverse employment action shall be taken against the employee based upon
212 material in the employee's evaluation file that has not been provided to the
213 employee or to which the employee has not had an opportunity to attach a
214 response.
- 215 (d) An employee may examine the evaluation file, upon reasonable advance notice,
216 during the regular business hours of the office in which the file is kept, normally
217 within the same business day, and under such conditions as are necessary to ensure
218 its integrity and safekeeping.
- 219 (i) Upon request, an employee may paginate with successive whole numbers the
220 materials in the file, and may attach a concise statement in response to any
221 item therein. The University may paginate the materials in the file and shall
222 notify the employee when that pagination will take place.
- 223 (ii) Upon request, an employee shall be provided one (1) free copy of any material
224 in the evaluation file. Additional copies may be obtained by the employee upon
225 the payment of a reasonable fee for photocopying.
- 226 (iii) A person designated by the employee may examine that employee's
227 evaluation file with the written authorization of the employee concerned, and
228 subject to the same limitations on access that are applicable to the employee.
- 229 (e) UFF agrees to indemnify and hold the University harmless from and against any
230 and all liability for any improper, illegal or unauthorized use by UFF of
231 information contained in such evaluation files.
- 232 (f) There shall be no anonymous material in the evaluation file except for numerical
233 summaries of student evaluations that are part of a regular evaluation procedure of
234 classroom instruction and/or written comments from students obtained as part of
235 that regular evaluation procedure. If written comments from students in a course
236 are included in the evaluation file, all of the comments obtained in the same course
237 must be included.
- 238 (g) Materials shown to be contrary to fact shall be removed from the file. This section
239 shall not authorize the removal of materials from the evaluation file when there is
240 a dispute concerning a matter of judgment or opinion rather than fact. Materials
241 may also be removed pursuant to the resolution of a grievance. Materials removed

242 from the evaluation pursuant to this section shall be placed in a separate file with
243 the notation of the reason for removal from the evaluation files.

244 (h) Information reflecting the evaluation of an employee's performance shall be
245 available for inspection only by the employee, the employee's representative,
246 university officials who use the information in carrying out their responsibilities,
247 peer committees responsible for evaluating the employee's performance, and
248 arbitrators or others engaged by the parties to resolve disputes, or others by court
249 order. Such limited access status shall not, however, apply to summary data, by
250 course, for the common "core" items contained in student course evaluations that
251 have been made available to the public on a regular basis.

252 (i) In the event a grievance is filed, the University, UFF grievance representatives, the
253 arbitrator, and the grievant shall have the right to use, in the grievance
254 proceedings, copies of materials from the grievant's evaluation file.