

## **NOTICE OF PROPOSED REGULATION AMENDMENT**

Date: March 3, 2015

**REGULATION TITLE:**

Faculty Evaluation and Improvement: General Policy,  
Areas of Performance to be Evaluated, Sources of Data for  
Evaluation, Methods of Evaluation, Utilization of Evaluations,  
Junior Faculty Mentoring, Sustained Performance Evaluation and  
Administrative Evaluation

**REGULATION NO.:**

7.010

**SUMMARY:** The amendments to this regulation clarify and provide some enhancements in the evaluation process for academic administrators. Copies of the administrative evaluation process and procedures requiring input from faculty and others shall be publicly available on the relevant college or senior vice president's website as appropriate. The results of evaluation are to be filed with the appropriate senior vice president (as opposed to filing all evaluations with the Provost).

**AUTHORITY:** BOG Regulation 1.001

**COMMENTS CONCERNING THE PROPOSED REGULATION SHOULD BE  
SUBMITTED WITHIN 14 DAYS OF THE DATE OF THIS NOTICE TO THE  
CONTACT PERSON IDENTIFIED BELOW.** The comments must identify the regulation  
you are commenting on.

**THE PERSON TO BE CONTACTED REGARDING THE PROPOSED REGULATION  
IS:** Sandra L. Mitchell, Senior Administrative Assistant, 123 Tigert Hall, Post Office Box  
113125, University of Florida, Gainesville, Florida 32611, 352-392-1358 office, 352-392-4387  
facsimile, regulations@ufl.edu.

**NAME OF PERSON WHO APPROVED THE PROPOSED REGULATION:**  
Joseph Glover, Provost and Senior Vice President for Academic Affairs

**THE FULL TEXT OF THE PROPOSED REGULATION IS ATTACHED TO THIS  
NOTICE.**

**REGULATIONS OF THE  
UNIVERSITY OF FLORIDA**

7.010 Faculty Evaluation and Improvement: General Policy, Areas of Performance to be Evaluated, Sources of Data for Evaluation, Methods of Evaluation, Utilization of Evaluations, Junior Faculty Mentoring, Sustained Performance Evaluation and Administrative Evaluation.

(1) General Policy.

(a) Each faculty member shall be evaluated in writing at least once annually on the basis of an assessment of the individual's total performance in fulfilling his or her assigned duties and responsibilities to the University and fulfilling effectively those responsibilities attendant to membership in the university community. The basic purpose of this evaluation is faculty improvement in the functions of teaching, including extension work, research, service, and any other duties that may be assigned with the resulting enhancement of learning, cultural advancement, and production of new knowledge. The semester assignment reflected in the Faculty Assignment Report (FAR), found in the University's on-line effort certification system, shall be used to convey the assigned duties and responsibilities to the faculty member at the beginning of each semester or academic term. The assignment shall be made in accordance with the policy established by the Provost as required by Florida Statutes. The assignment should provide faculty members who are eligible for tenure, permanent status, and/or promotion with equitable opportunities in relation to others in the department to meet the required criteria for such status. The primary assessment of the faculty member's competency shall be in terms of the performance of assigned duties and responsibilities, including those professional responsibilities arising from the nature of the educational process, such as observing and upholding the highest

ethical standards of the faculty member's discipline, participating, as appropriate, in the shared system of collegial governance especially at department/unit level, respecting the integrity of the relationship between professor and student, and adhering to one's proper role as teacher, researcher, intellectual, mentor and counselor. The evaluation shall precede and shall be considered in making recommendations and final decisions on tenure or permanent status, promotions, and salary for tenured, permanent status, non-tenured or non-permanent status faculty members and on retention or non-renewal for non-tenured tenure- accruing or non-permanent status permanent-status accruing faculty members.

(b) The responsibility of the faculty member is the full and competent performance of all duties pertinent to his or her employment with the University. When first employed, each faculty member shall be informed in writing of what is expected of him or her, generally, in terms of teaching, including extension work, research and other creative activities, and service, and if there are any specific requirements and/or other duties involved. If and when these expectations change during the period of service of a faculty member, that faculty member shall be informed in writing of the change and shall be afforded an opportunity to discuss the assignment prior to its effective date.

(c) Application of the criteria enumerated in this policy shall not violate the faculty member's academic freedom or constitutional rights, nor shall a faculty member be punished for exercising such freedom or rights, either in the performance of University duties or duties outside the University. At the same time, a faculty member may reasonably be expected to show by his or her behavior, both in performance of University duties and duties outside the University, that he or she is aware that membership in the academic profession carries with it special responsibilities.

(d) Statement on Professional Ethics.

1. The professor, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities devolving upon members of the profession. The professor's primary responsibility to his or her field is to seek and to state the truth as he or she sees it. To this end, the professor devotes himself or herself to developing and improving his or her scholarly competence. The professor accepts the obligation to exercise critical self-discipline and judgment in using, extending and transmitting knowledge. The professor must never seriously hamper or compromise anyone's freedom of inquiry.

2. As an instructor, the professor encourages the free pursuit of learning in students.

The professor maintains and represents the best scholarly standards of his or her discipline. The professor demonstrates respect for the student as an individual, and adheres to the proper role of intellectual guide and counselor. The professor makes every reasonable effort to foster honest academic conduct and to assure that evaluation of students reflects their true merit. The professor respects the confidential nature of the relationship between professor and student. The professor avoids any exploitation of students for private advantage and acknowledges significant assistance from them. The professor protects their academic freedom.

3. As a colleague, the professor has obligations that derive from common membership in the community of scholars. The professor respects and defends the free inquiry of associates. In the exchange of criticism and ideas the professor shows due respect for the opinions of others. The professor acknowledges academic responsibilities and strives to be objective in professional judgment of colleagues. The professor accepts his or her share of faculty responsibility for the governance of the University.

4. As a member of the University, the professor seeks above-all to be an effective teacher and scholar. The professor observes the stated regulations of the institution, provided they do not contravene academic freedom, but nonetheless maintains the right to criticize and seek revision. The professor determines the amount and character of the work he or she does outside the University with due regard to his or her paramount responsibilities within it, provided such amount and character of outside employment is in compliance with State law and University and State University System's policies on outside employment. When considering the interruption or termination of employment, the professor recognizes the effect of this decision upon the programs of the University and gives due notice of his or her intentions.

5. As a member of the community, the professor has the rights and obligations of any citizen. The professor measures the urgency of these obligations in light of responsibilities to his or her field, to students, to the profession, and to the University. The professor, when speaking or acting as a private person shall avoid creating the impression that he or she speaks or acts for the college or the University. As an individual engaged in a profession that depends upon freedom for its health and integrity the professor has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

(e) The criteria and procedures set forth in this regulation pertain to the annual evaluation of faculty. In cases where serious dishonesty, incompetence, neglect of duty, or irresponsibility of a faculty member is charged, proceedings should be undertaken involving full due process guaranteed under recognized procedures and standards for dismissal or other disciplinary action as provided in the University regulations, and contained in the Constitution of the University.

(2) Areas of Performance to be Evaluated. The performance of each faculty member shall be evaluated annually in writing based on the faculty member's contribution to the orderly and effective functioning of the academic-administrative unit (program, department, school, college), those professional responsibilities arising from the nature of the education process, and/or the total University and his or her performance in each of the following areas appropriate to the terms of his or her employment and assigned duties and responsibilities.

(a) Teaching -- Teaching involves the presentation of knowledge, information, and ideas by various methods including lecture, discussion, assignment and recitation, demonstration, laboratory exercise, practical experience, direct consultation with students, etc. The utilization and effectiveness of each of these methods, when appropriate, shall be considered. The evaluation of the total effectiveness of teaching shall be related to approved written objectives of each course which shall be given to each class at the beginning of the semester or academic term. Evaluation shall include consideration of:

1. effectiveness of teaching related to knowledge and skills imparted that correspond with the objectives of the course;
2. effectiveness of teaching related to stimulation of the students' critical thinking and/or creative ability in light of the objectives of the course; and
3. the faculty members' adherence to accepted standards of professional behavior in meeting his or her responsibilities to his or her students.

(b) Extension -- The contributions of the extension faculty to the non-degree educational programs of the University shall be evaluated. The utilization and effectiveness of the following processes and methods, where appropriate, shall be considered in the evaluation: situational analysis; clientele-needs assessment; design and implementation of educational experiences

appropriate to the learner; analysis, synthesis, and adaptation of research results; packaging of such information into program materials such as bulletins, fact sheets, newsletters, mass media messages, and public displays for a wide range of audiences; and demonstration and field tests that enhance both idea adoption and development of new insights. The evaluation shall also include consideration of:

1. Effectiveness of teaching and counseling related to planned objectives in the Extension program.
2. Effectiveness of obtaining, integrating, and organizing educational resources into programs directed to define needs of clientele.

(c) Research and Other Creative Activities -- Contribution to the discovery of new knowledge, development of new educational techniques, and other forms of creative activity shall be considered and evaluated. Evidence of research and other creative activity shall include, but not be limited to: published books, articles and papers in professional journals; musical compositions, paintings, sculpture; works of performing art; papers presented at meetings of professional societies; and current research and creative activity that has not yet resulted in publication, display, or performance. The evaluation shall include consideration of:

1. Productivity, including quality and quantity of what has been done during the year, and
2. Recognition by the academic or professional community of what has been done. In making judgments pertaining to the decision to award tenure, evaluation by qualified scholars in pertinent disciplines both within and outside the University should be sought.

(d) Service -- Service shall include, but not be limited to, participation in governance processes of the University through service on departmental, college, and university committees,

councils and the senate; service to public schools; service in appropriate professional organizations; involvement in the organization and expedition of meetings, symposia, conferences, workshops; participation in radio and television; and participation on local, state and national governmental boards, agencies and commissions. Only those activities which are related to a faculty member's field of expertise or to the mission of the University shall be evaluated.

(e) Other University Duties -- Whenever reasonable duties other than those usually classified as teaching, including extension work, research or other creative activity or service, are assigned to a faculty member, such as academic administration and academic advisement, and such other responsibilities expected as may be appropriate to the faculty member's duties and responsibilities. The effective performance of these duties shall be evaluated as prescribed by the evaluation procedures of the University.

(3) Sources of Data for Evaluation -- Evaluation of a faculty member's performance shall include data from the following six (6) sources where appropriate:

- (a) The chair of the faculty member's department or other administrative unit;
- (b) Faculty;
- (c) Students;
- (d) The faculty member being evaluated;
- (e) Other university officials; and
- (f) Public school officials and/or personnel.

(4) Methods of Evaluation -- All appropriate data and evaluations, qualitative and quantitative, shall be collected by the chair of the department or other appropriate administrator.

- (a) Chair's Evaluation -- The chair of the department or the administrator of a comparable academic unit shall review and evaluate the teaching, including extension work, research, and other creative activities, service and other university duties of each member of that department or unit during each academic year.
- (b) Faculty Evaluation -- The respective college or divisions within the University will develop and implement the processes necessary to evaluate the appropriate faculty on teaching, including extension work, research and other creative activities, service and other university duties when appropriate.
- (c) Student Evaluation -- Students shall evaluate teaching and, when appropriate, other university duties. The teaching effectiveness of each faculty member may be evaluated in writing by students currently or previously enrolled in his or her classes.
- (d) Self-Evaluation -- Each faculty member may provide an evaluation of each area of his or her own total performance, and submit the evaluation, along with any appropriate substantiating evidence, to the chair of the department or other administrative unit.
- (e) Evaluation by Other University Officials -- A faculty member may be evaluated by university officials for duties performed under the supervision of Deans, Directors, the Senior Vice President for Academic Affairs, or any other university official(s) who may supervise the faculty member's activities.
- (f) Evaluation by Public School Officials and/or Personnel -- A faculty member who teaches or provides other kinds of service to the public schools may be evaluated by public school officials and/or personnel for duties performed under their supervision or in collaboration with said individuals.

(g) Evaluative Comments by Medical Students and Housestaff - The evaluation of the College of Medicine faculty shall include and incorporate into the evaluative process the evaluative comments, as well as the numerical data, submitted by medical students, housestaff (interns, residents, and clinical fellows), and physician assistant students concerning faculty members.

(5) Utilization of Evaluation.

(a) The chair of each department or other administrative unit shall collect the evaluation data for each faculty member in the department. The data, if used in the evaluation process shall be placed in the faculty member's personnel file which is normally located in the faculty member's department or unit. The chair shall provide the faculty member with a written summary of the data and shall discuss it privately with the faculty member.

(b) Existing evaluations and the data in the faculty member's personnel file upon which these evaluations are based shall be considered in recommendations and final decisions on tenure, promotions, and salary.

(c) The contents of the faculty personnel file which deal with the evaluation of performance shall be confidential and shall not be disclosed except to the affected faculty member and those whose duties require access to the file in accordance with the University's evaluation procedures or by the President or President's designee in the discharge of official duties and responsibilities or upon order of a court of competent jurisdiction. (Refer to University of Florida Regulation 3.055)

(6) The evaluations of administrators of the colleges or academic units shall be the responsibility of the dean and/or the applicable senior appropriate vice president.

(a) The ~~annual evaluation process and the~~ evaluation process and procedures involved in the evaluation of administrators requiring input from faculty and other appropriate personnel shall be the responsibility of the Dean, Director and/or ~~the applicable senior appropriate vice~~ ~~p~~President.

(b) Copies of the administrative evaluation process and procedures requiring input from faculty and others shall be ~~filed with the Office of the Provost~~ publicly available on the college or senior vice president's website, as applicable.

(c) ~~Each evaluator shall submit his or her evaluation of the Dean or Director to the Office of the Provost for tabulation.~~ The results of ~~the tabulation~~ evaluations for chairs and program directors will be forwarded to the Dean or Director, with copies to the Provost and Senior Sr. Vice President for Academic Affairs, the Senior Vice President for Health Affairs or and the Senior Sr. Vice President for Agricultural and Natural Resources, as applicableappropriate.

(7) Junior faculty mentoring program and special review for faculty in the tenure probationary period.

(a) Each college and equivalent academic unit shall establish a mentoring program for faculty in the “tenure probationary period” as defined in University of Florida Regulation 7.019. This must include consultation assessing the faculty member’s progress toward tenure. No college or equivalent academic unit mentoring program shall require any written assessments by the mentor.

(b) A special (midterm or mid-career review) review should be conducted for any faculty members in the tenure probationary period no later than the close of the third (3<sup>rd</sup>) year of academic service. Each college shall establish procedures for conducting the review. Such

procedures must require that each candidate prepare a tenure packet (without external letters). A departmental committee of tenured faculty, the department chair or equivalent administrator, and the dean or equivalent administrator must provide an evaluation of the faculty member's progress toward meeting the criteria for tenure. The outcome of the review shall be shared with the faculty member evaluated, but shall not be used in any future evaluation of the faculty member for tenure.

(8) Sustained Performance Evaluations - Tenured faculty members shall receive a sustained performance evaluation once every seven (7) years following the award of tenure or their most recent promotion. The purpose of this evaluation is to document sustained performance during the previous six (6) years of assigned duties and to encourage continued professional growth and development. A performance improvement plan shall be developed only for those employees whose performance is identified through the sustained performance evaluation as being consistently below satisfactory in one or more areas of assigned duties. It is the responsibility of the employee to attain the performance targets specified in the performance improvement plan. If the faculty member fails to meet these targets, the unit has the responsibility to take appropriate actions under the provisions of University of Florida Regulation 7.048, or the Collective Bargaining Agreement for those faculty in the bargaining unit.

Authority: BOG Regulation 1.001.

History--New 3-26-80, Amended 2-23-82, 3-6-85, Formerly 6C1-7.10, Amended 11-13-90, 6-28-98, 7-19-05, Formerly 6C1-7.010, Amended 12-1-12 (technical changes only).