



FLORIDA SOLAR ENERGY CENTER®

Creating Energy Independence

FSEC Annual Evaluation Standards and Procedures

Intended for first use in the 2013-2014 academic year

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A Research Institute of the University of Central Florida



FSEC Annual Evaluation Standards and Procedures

Intended for first use in the 2013-2014 evaluation period

Forward

The Florida Solar Energy Center (FSEC) is a research institute of the University of Central Florida (UCF) located in Cocoa, Florida, 35 miles from the main campus. The mission of FSEC is *to research and develop energy technologies that enhance Florida's and the Nation's economy and environment and to educate the public, students and practitioners on the results of the research*. The effectiveness of FSEC's faculty in procuring and performing research contracts and grants is a key element of FSEC's success over the past 35 years and of its reputation for excellence in the field of renewable energy and energy efficiency research. These procedures are intended to provide a standardized mechanism for the recognition of excellence of FSEC faculty.

1 Purpose

The purpose of this document is to prescribe the standards and procedures to be used in the evaluation of in unit FSEC faculty, the establishment of faculty rank and working titles and for the advancement of FSEC faculty from one rank to the next.

2 Scope

These standards and procedures apply only to FSEC in-unit faculty positions. All FSEC in-unit positions are subject to the provisions of these standards and procedures, regardless of the sources of funding for the position.

3 Faculty Evaluations

3.1 Faculty Evaluation Process

Faculty evaluations shall be completed annually using the FSEC Annual Employee Expectation, Activity and Evaluation Report Form (included as Appendix A). Evaluations shall cover employee activities for the previous reporting period. The process for annual faculty evaluation includes three components or "Parts" as follows.

3.1.1 Expectations: Part A of the FSEC Annual Employee Expectation, Activity and Evaluation Report Form is intended to document the activities an employee is expected to complete during the performance period. FSEC activities are grouped into six Performance Areas listed below, along with examples of typical activities associated with each Area.

- I. Internal Projects and Programs: Major activities that that are not part of externally funded contracts, including operations, internal committees, testing, and all other internally funded activities.

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- II. External Projects and Programs: Projects and programs funded from sources external to FSEC budget, including grants, contracts or auxiliary funded projects.
- III. Proposal Activities: Employee's involvement and funding amount on contract, grants, and proposal activities of all types.
- IV. Information Dissemination: Publication of books, papers and reports; presentations of professional papers at conferences, presentations at seminars, workshops, short courses and other educational venues.
- V. Professional Development: Courses taken as a learner, including college courses, short courses and workshops; professional conferences and meetings attended; and other professional development and service activities, including committees, professional society memberships, teaching, consulting and public service activities.
- VI. Partnerships: Team building within FSEC, including any steps taken to enhance collaboration on projects and between groups and divisions at FSEC and with departments and institutes at UCF and new and continued partnership efforts with parties external to FSEC/UCF.

Part A is a critical element of the evaluation process as it defines the assignments for which the employee's performance is evaluated. In essence, it is the "contract" between the employee and their supervisor. Part A shall be completed in accordance with Sections 3.1.1.1 through 3.1.1.4.

3.1.1.1 Part A shall be completed by the employee in consultation with their supervisor prior to the start of the upcoming evaluation period. Together they will identify specific activities to be completed in each performance area. They shall also agree upon and record a Percent Effort for each Performance Area such that the sum of Percent Effort over all Areas equals 100%. Part A shall be reviewed and, if necessary revised, prior to the start of the evaluation period (see Section 3.1.3.3). Part A may be modified by the employee and their supervisor at any time during the evaluation period if duties and responsibilities of the employee change. Quarterly meetings are recommended to ensure that employees remain in agreement with their supervisors. Such meetings may be called by either the employee or the supervisor. Records of Part A modifications shall be maintained with the evaluation file.

3.1.1.2 Due to the nature and diversity of the research conducted at FSEC, not all faculty employees are expected to conduct activities in each of the performance areas. From Part A of the FSEC Annual Employee Expectation, Activity and Evaluation Report Form, employees will understand: (1) what activities, if any, they are supposed to undertake in any given performance area; and (2) what the minimum objectives are for each activity.

Supervisors shall be mindful of this fact and shall work closely with employees to develop expectations that are consistent with the principal job activities and responsibilities of the employee and upon which they can be fairly and objectively evaluated at the end of the performance period.

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3.1.1.3 FSEC Division Directors shall be responsible for maintaining electronic copies of updated employee expectations (Part A) during the evaluation period. Division Directors shall provide updated modifications of Part A to the Center Director's office.

3.1.1.4 To the maximum extent possible, Part A shall be comprised of objective and measurable expectations. Guidelines for the development of employee expectation are provided below to assist employees and their supervisors in the development of employee expectations.

Table 3.1.1(1). Guidelines for Development of Employee Expectations (Part A).

Rank	Proposal Effort	Non-Proposal Effort	Professional Papers ¹	Professional Presentations ¹	C&G/Aux Splits ²	Prof. Develop	External Contacts
Assistant & Assistant In	0-5%	95 – 100%	2	1	0.25 × salary	12 hr	24 hr
Associate & Associate In	5-10%	90 – 95%	3	2	0.75 × salary	6 hr	48 hr
Full	10-15%	85 – 90%	3	3	1.5 × salary	6 hr	80 hr
Program Director	< 20%	> 80%	2	2	2.0 × salary	3 hr	96 hr

¹Software professionals may produce commensurate documents such as Software Design Documents, Software Test Plans, Data Flow Diagrams, System Documentation and Help Documentation in lieu of Professional Papers and Professional Presentations.

²Where salary is the fully burdened salary of the employee and the C&G/Aux splits represent the employee's contribution to funded C&G projects and Auxiliary revenues. C&G splits shall be as reported by ARGIS and Aux splits shall be as determined by the Auxiliary account manager.

Table 3.1.1(2). Rank and Working Titles for FSEC Faculty.

Rank	Title Modifier	Functional Title
Assistant	(no modifier)	Analyst
Associate	Educational	Architect*
Full (no modifier)	Governmental	Chemist*
Assistant In	Information	Coordinator
Associate In	Policy	Developer
Program Director	Research	Economist
	Software	Engineer*
	Systems	Physicist*
	Testing	Professor‡
	Other**	Programmer
		Program Director†
		Scientist
		Specialist
		Other**

* These functional titles require that the individual be educationally trained in the field or hold a valid professional license in the field. In the case of a Software Architect, an Architecture degree is not required; however, a Computer Engineering or Computer Science degree is required.

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- ‡ Professorial titles at FSEC are generally limited to non-tenure earning research assignments and include only the following: Assistant Research Professor, Associate Research Professor and Research Professor.
- † Program Director titles will not contain title modifiers or functional title but will instead specify the Program being directed – for example, Program Director for Information Technology.
- ** Other title modifiers and other functional titles may be used at the discretion of the Center Director.

3.1.2 Annual Activities Report: Part B of the evaluation comprises the employee's annual activities report for the current evaluation period. Part B is expected to correlate with and report on the expected activities of Part A for the current evaluation period. Part B shall be completed by the employee at the end of each evaluation period according to the schedule provided in Section 3.1.4.

3.1.3 Evaluation: Part C of the evaluation comprises the supervisor's evaluation of the employee's performance during the evaluation period. Part C is expected to comport with Parts A and B of the evaluation report for the evaluation period and shall comply with Sections 3.1.3.1 through 3.1.3.3.

3.1.3.1 In the completion of Part C, the supervisor shall also seek and consider input from principal investigators on whose projects the employee has conducted significant activities and from peers and funding agencies where appropriate. The supervisor may seek input from others, but ultimately has the sole responsibility for evaluating his/her employees.

3.1.3.2 Part C shall be reviewed and signed by the Center Director prior to review of the evaluation with the employee.

3.1.3.3 Following approval of the annual evaluation by the Center Director, an evaluation review shall be conducted with the employee by the supervisor. As part of the evaluation review, Part A for the upcoming evaluation period shall be jointly reviewed and, if necessary revised, by the employee and their supervisor.

3.1.4 Evaluation Schedule

3.1.4.1 The employee's Part A proposal for the upcoming evaluation period shall be completed by the employee 10 working days before the end of the current evaluation period.

3.1.4.2 Part B shall be completed by the employee within 14 days following the end of evaluation period.

3.1.4.3 Part C shall be completed by the supervisor and provided to the Center Director for review and approval within 35 days following the end of the evaluation period.

3.1.4.4 The Center Director shall provide review and approval or disapproval of employee evaluations within 56 days following the end of the evaluation period. In the event an employee

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evaluation is disapproved by the Center Director, the employee's supervisor shall have 10 working days to resolve the disapproval.

3.1.4.5 Review of employee evaluations with their supervisor and review (and, if necessary, modification) of Part A for the upcoming evaluation period shall be completed within 74 days following the end of the evaluation period.

3.2 Evaluation Standards

3.2.1 Performance Areas. Supervisors shall consider employee performance within each Performance Area (unless the area does not apply to the employee), including the correspondence between expectations and projected work effort provided in Part A and the employee activities report of Part B, as well as input from Principal Investigators, contract and grants clients and others closely associated with the work activities of the employee in development of the overall evaluation of the employee. Guidelines for assigning evaluation ratings in each of the six Performance Areas are provided below.

I. Internal Projects and Programs

Rating of 'U' (Unsatisfactory)

A faculty member whose performance during the previous evaluation year was 'C' and whose performance has not improved will receive an evaluation of 'U'.

Rating of 'C' (Conditional)

A faculty member will receive an evaluation of 'C' if they fail to meet the minimum objectives of internally-funded projects, where both the assignment and the minimum objectives are agreed upon prior to the evaluation period as documented in Part A of the FSEC Annual Employee Expectation, Activity and Evaluation Report Form.

Rating of 'S' (Satisfactory)

A faculty member will receive an evaluation of 'S' if they meet the minimum objectives of internally-funded projects, where both the assignment and the minimum objectives are agreed upon prior to the evaluation period as documented in Part A of the FSEC Annual Employee Expectation, Activity and Evaluation Report Form.

Rating of 'AS' (Above Satisfactory)

A faculty member will receive an evaluation of 'AS' if they exceed the minimum objectives of internally-funded projects, where both the assignment and the minimum objectives are agreed upon prior to the evaluation period as documented in Part A of the FSEC Annual Employee Expectation, Activity and Evaluation Report Form.

Rating of 'O' (Outstanding)

A faculty member will receive an evaluation of 'O' if they substantially exceed

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the minimum objectives of internally-funded projects (for example, by creating innovative solutions that materially enhance the cost-effectiveness of the program), where both the assignment and the minimum objectives are agreed upon prior to the evaluation period as documented in Part A of the FSEC Annual Employee Expectation, Activity and Evaluation Report Form.

II. External Projects and Programs

Rating of 'U' (Unsatisfactory)

A faculty member whose performance during the previous evaluation year was 'C' and whose performance has not improved will receive an evaluation of 'U'.

Rating of 'C' (Conditional)

Faculty members who, over a three year period, average less than 75% of their C&G/Aux Splits in accordance with Table 3.1.1(1) may receive an evaluation of 'C'.

Rating of 'S' (Satisfactory)

Faculty members who, over a three year period, average C&G/Aux Splits in accordance with Table 3.1.1(1) may receive an evaluation of 'S'.

Rating of 'AS' (Above Satisfactory)

Faculty members who, over a three year period, average 125% of the C&G/Aux Splits specified by Table 3.1.1(1) may receive an evaluation of 'AS'.

Rating of 'O' (Outstanding)

Faculty members who, over a three year period, average 200% of the C&G/Aux Splits specified by Table 3.1.1(1) may receive an evaluation of 'O'.

III. Proposals

Rating of 'U' (Unsatisfactory)

A faculty member whose performance during the previous evaluation year was 'C' and whose performance has not improved will receive an evaluation of 'U'.

Rating of 'C' (Conditional)

Faculty members who spend less than 5% of their time on proposal activities or whose proposal efforts are largely unproductive over multiple years may receive an evaluation of 'C'.

Rating of 'S' (Satisfactory)

Faculty members who spend 5% - 10% of their time on proposal activities that are moderately productive (meet the C&G/Aux Splits of Table 3.1.1(1) for their Rank) over multiple years may receive an evaluation of 'S'.

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Rating of 'AS' (Above Satisfactory)

Faculty members who spend more than 10% of their time on proposal activities that are highly productive (exceed 125% of the C&G/Aux Splits of Table 3.1.1(1) for their Rank) over multiple years may receive an evaluation of 'AS'.

Rating of 'O' (Outstanding)

Faculty members who spend more than 10% of their time on proposal activities that are both innovative and extremely productive (exceed 200% of the C&G/Aux Splits of Table 3.1.1(1) for their Rank) over multiple years may receive an evaluation of 'O'.

IV. Information Dissemination

Rating of 'U' (Unsatisfactory)

A faculty member whose performance during the previous evaluation year was 'C' and whose performance has not improved will receive an evaluation of 'U'.

Rating of 'C' (Conditional)

Faculty members who author fewer publications or make fewer presentations than specified in Table 3.1.1(1) for their Rank may receive an evaluation of 'C'.

Rating of 'S' (Satisfactory)

Faculty members who author publications and make presentations in accordance with Table 3.1.1(1) may receive an evaluation of 'S'.

Rating of 'AS' (Above Satisfactory)

Faculty members who author publications and make presentations at a rate 125% of Table 3.1.1(1) specifications for their Rank may receive an evaluation of 'AS'.

Rating of 'O' (Outstanding)

Faculty members who author publications and make presentations at a rate 200% of Table 3.1.1(1) specifications for their Rank may receive an evaluation of 'O'.

V. Professional Development

Rating of 'U' (Unsatisfactory)

A faculty member whose performance during the previous evaluation year was 'C' and whose performance has not improved will receive an evaluation of 'U'.

Rating of 'C' (Conditional)x

Faculty members who devote less hours over a period of one year to Professional Development than specified by Table 3.1.1(1) may receive an evaluation of 'C'.

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Rating of 'S' (Satisfactory)

Faculty members who devote hours in accordance with Table 3.1.1(1) over a period of one year to Professional Development may receive an evaluation of **'S'**.

Rating of 'AS' (Above Satisfactory)

Faculty members who devote 125% of the hours specified in Table 3.1.1(1) over a period of one year to Professional Development may receive an evaluation of **'AS'**.

Rating of 'O' (Outstanding)

Faculty members who devote 200% of the hours specified in Table 3.1.1(1) over a period of one year to Professional Development may receive an evaluation of **'O'**.

VI. Partnerships

Rating of 'U' (Unsatisfactory)

A faculty member whose performance during the previous evaluation year was **'C'** and whose performance has not improved will receive an evaluation of **'U'**.

Rating of 'C' (Conditional)

Faculty members who create one internal or external partnership in a given year may receive an evaluation of **'C'**.

Rating of 'S' (Satisfactory)

Faculty members who create two internal or external partnerships in a given year may receive an evaluation of **'S'**.

Rating of 'AS' (Above Satisfactory)

Faculty members who create three to four internal or external partnerships in a given year may receive an evaluation of **'AS'**.

Rating of 'O' (Outstanding)

Faculty members who create five or more internal or external partnerships in a given year may receive an evaluation of **'O'**.

3.2.2 Overall Evaluation. The overall evaluation (Part VIII of the FSEC Annual Employee Expectation, Activity and Evaluation Report Form, see Appendix A) will be determined based on the evaluations earned in each of the Performance Areas weighted by the Percent Effort in that Area. The ratings in each Performance Area are assigned a numerical score as defined in Table 3.2.2(1).

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Table 3.2.2(1). Evaluations and corresponding numerical scores which can be earned in any given Performance Area.

Outstanding:	4
Above Satisfactory:	3
Satisfactory:	2
Conditional:	1
Unsatisfactory:	0

The Overall Score is obtained by multiplying the numerical score for each Performance Area by the corresponding Percent Effort and summing over all six Performance Areas. The Overall Score is then used to assign the Overall Evaluation according to the ranges defined in Table 3.2.2(2).

Table 3.2.2(2). Ranges for assigning an Overall Evaluation from an Overall Score.

Outstanding:	$3.5 \leq \text{Overall Score} < 4.0$
Above Satisfactory:	$2.5 \leq \text{Overall Score} < 3.5$
Satisfactory:	$1.50 \leq \text{Overall Score} < 2.5$
Conditional:	$0.50 \leq \text{Overall Score} < 1.5$
Unsatisfactory:	$0 \leq \text{Overall Score} < 0.50$

The procedure described above is illustrated with the following example. Consider a faculty member who has assignments, corresponding Percent Effort, and end-of-the-year evaluations in each Performance Area as follows.

<i>Performance Area</i>	<i>Percent Effort</i>	<i>Evaluation</i>	<i>Area Score</i>
I. Internal Projects and Programs	10%	Outstanding	4
II. External Projects and Programs	30%	Above Satisfactory	3
III. Proposals	28%	Above Satisfactory	3
IV. Information Dissemination	22%	Conditional	1
V. Professional Development	6%	Satisfactory	2
VI. Partnerships	4%	Outstanding	4

Total effort = 100%

The Overall Score for this faculty member is:

$$\begin{aligned} \text{Overall Score} &= (10\% \times 4) + (30\% \times 3) + (28\% \times 3) + (22\% \times 1) + (6\% \times 2) + (4\% \times 4) \\ &= 2.64. \end{aligned}$$

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From Table 3.2.2(2), an Overall Score of 2.64 results in the faculty member being assigned an Overall Evaluation of "Above Satisfactory (AS)".

3.3 Recourse

3.3.1 In the event that there is disagreement between the employee and their supervisor regarding any part of the evaluation (Part A, Part B, or Part C), which cannot be mutually resolved, the employee shall have 10 working days from the date of the evaluation review to submit a petition with documentation that supports the employee's position in the matter to the Center Director. At that point, the employee's petition shall be provided to the employee's supervisor and the supervisor shall have 10 working days to provide any rebuttal deemed appropriate by the supervisor. Once the petition and any rebuttal have been received by the Center Director, the Center Director shall decide the matter and that decision shall be final.

3.3.2 Notwithstanding the above, the employee shall maintain the absolute right to submission of a formal grievance using normal University grievance procedures.

FLORIDA SOLAR ENERGY CENTER
Annual Employee Expectation, Activity & Evaluation Report

Intended for first use May 8, 2013 through May 7, 2014

Name: _____ Title: _____

Division: _____ Date: _____

The following format is to be used to summarize work activities and evaluate progress. Please use the given format. Comments and statements in each category should be concise and brief. Employees are unlikely to have expectations and activities to report in every area. If no expectation and activity occurs in a given area, indicate by specifying no expectation in Part A and no activity in Part B. Supervisor comments are not required in each category.

Instructions for completing this report:
Part A: Completed by employee and supervisor prior to the start of evaluation period.
Part B: Completed by employee at the conclusion of evaluation period.
Part C: Completed by supervisor after completion of **Part B** by employee.

I. Internal Projects and Programs - Include in this section all major activities that you have performed that are not part of externally funded contracts. Include operations, internal committees, testing and all other activities here.

Part A. Expected activities, responsibilities, and minimum objectives Percent Effort

Part B. Activities and accomplishments for this year:

Part C. Supervisor evaluation and comments:

NA (Not Applicable)	U (Unsatisfactory)	C (Conditional)	S (Satisfactory)	AS (Above Satisfactory)	O (Outstanding)

II. Externally Funded Projects and Programs - (From sources external to FSEC budget; grants, contracts or Auxiliary funded projects) - Title, funding source, employee's responsibilities, employee's effort (FTE).

Part A. Expected activities, responsibilities, and minimum objectives Percent Effort

Part B. Activities and accomplishments for this year:

Part C. Supervisor evaluation and comments:

NA (Not Applicable)	U (Unsatisfactory)	C (Conditional)	S (Satisfactory)	AS (Above Satisfactory)	O (Outstanding)

III. Proposal Activities - List separately to indicate title, type of proposal (letter, formal), agency submitted to, status or result, employee's involvement and dollar amount involved.

Part A. Expected activities, responsibilities, and minimum objectives Percent Effort

Part B. Activities and accomplishments for this year: (include here your C&G and Auxiliary splits for the evaluation year)

Part C. Supervisor evaluation and comments:

NA (Not Applicable)	U (Unsatisfactory)	C (Conditional)	S (Satisfactory)	AS (Above Satisfactory)	O (Outstanding)

IV. Information Dissemination – List in this section all activities related to publications, presentations, short courses, workshops and other information dissemination.

- i. Publications of books, papers and reports - **Required format:** Author(s), Title, Publisher, Conference or Agency published by, location, date. Indicate if peer reviewed, or if invited publication. (Include FSEC documents also.)
- ii. Presentation of Professional Papers - **Required format:** Author(s), Title, Conference or Agency where presented, location, date, regional, national or international.

- iii. Other Presentations (no publications) - Include here summary of presentations in workshops, numbers of such presentations and total contact hours.

Part A. Expected activities, responsibilities, and minimum objectives Percent Effort

Part B. Activities and accomplishments for this year:

Part C. Supervisor evaluation and comments:

NA (Not Applicable)	U (Unsatisfactory)	C (Conditional)	S (Satisfactory)	AS (Above Satisfactory)	O (Outstanding)

V. Professional Development

- i. Educational Development - Courses taken as a learner, including college courses, short courses and workshops).
- ii. Conferences and Professional Meetings Attended (no presentations)
- iii. Other Professional Development and Service Activities - (Committees, professional society memberships, teaching, consulting, public service, etc.). Indicate level of active involvement.

Part A. Expected activities, responsibilities, and minimum objectives Percent Effort

Part B. Activities and accomplishments for this year:

Part C. Supervisor evaluation and comments:

NA (Not Applicable)	U (Unsatisfactory)	C (Conditional)	S (Satisfactory)	AS (Above Satisfactory)	O (Outstanding)

VI. Partnerships

- i. Internal - Describe efforts on team building within FSEC. Indicate any steps taken to enhance collaboration on projects and between groups and divisions at FSEC and with departments and institutes at UCF.
- ii. External - List any new and continued partnership efforts with parties external to FSEC/UCF. Include importance of the partnerships to FSEC’s mission and vision.

Part A. Expected activities, responsibilities, and minimum objectives Percent Effort

Part B. Activities and accomplishments for this year:

Part C. Supervisor evaluation and comments:

NA (Not Applicable)	U (Unsatisfactory)	C (Conditional)	S (Satisfactory)	AS (Above Satisfactory)	O (Outstanding)

VII. Expectation (Part A) Approvals and Modifications

Supervisor’s Name

Date

Division Director’s Name

Date

VIII. Overall Evaluation

Part B. Employee’s comments on this year’s activities:

Part C. Supervisor's Overall Evaluation (Initial appropriate box)

U (Unsatisfactory)	C (Conditional)	S (Satisfactory)	AS (Above Satisfactory)	O (Outstanding)

Evaluation Input:

Input on this evaluation was provided by the following individuals or entities:

Supervisor's Comments:

Evaluation completed by: _____
Supervisor's Signature Date

Reviewed and approved by: _____
FSEC Director's Signature Date

Employee's Comments:

Evaluation received: _____
Employee's Signature Date

Distribution:

- _____ Center Director
- _____ Division Director
- _____ Personnel Office (original)
- _____ Employee