



THE FLORIDA STATE UNIVERSITY
FACULTY SENATE

MINUTES
FACULTY SENATE MEETING
SEPTEMBER 21, 2011
DODD HALL AUDITORIUM
3:35 P.M.

I. Regular Session

The regular session of the 2011-12 Faculty Senate was held on Wednesday, September 21, 2011. Faculty Senate President Sandra Lewis presided.

The following members attended the Senate meeting:

J. Adams, S. Aggarwal, B. Altman, D. Armstrong, TJ Atwood, P. Beerli, E. Bernat, J. Bowers, T. Chapin, E. Chicken, J. Clendinning, J. Cobbe, D. Cooper, A. Darabi, A. Darrow, L. DeBrunner, L. deHaven Smith, R. Dumm, I. Eberstein, C. Edrington, L. Edwards, B. Ellingson, K. Erndl, S. Fiorito, W. Francis, A. Gaiser, J. Geringer, M. Hanline, C. Hofacker, G. Houlihan, R. Horton-Ikard, B. Jackson, F. Jordan, M. Kapp, T. Keller, Y. Kim, W. Landing D. Latham, R. Lee, M. Leeser, S. Lewis, J. Lickson, T. Lindbloom, W. Logan, L. Lyons, T. Ma, C. Madsen, R. Marrinan, M. Mascagni, H. Mattoussi, T. McQuade, M. Mesterton-Gibbons, U. Meyer-Baese, R. Mizelle, D. Moore, J. Ohlin, J. O'Rourke, V. Richard Auzenne, J. Saltiel, N. Schmidt, K. Schmitt, R. Schwartz, J. Sickinger, L. Spainhour, J. Standley, L. Stepina, M. Teasley, G. Tenebaum, J. Tull, G. Tyson, C. Upchurch, M. Uzendoski, O. Vafek, S. Valisa, D. Von-Glahn, W. Weissert.

The following members were absent. Alternates are listed in parenthesis:

J. Ahlquist, E. Aldrovandi, A. Askew, E. Baumer (**S. Siennick**), W. Carlson, R. Coleman, M. Craig, J. Dawkins, J. Diaz, J. Doran, G. Erickson, K. Harper (**A. Avina**), A. Hirsch, J. Ilich-Ernst, J. Leiber, S. Leitch, C. Lonigan, B. Menchetti (A. Gallard), W. Mio (**A. Kercheval**), A. Mullis (**C. Readdick**), G. Rogachev, P. Steinberg, F. Tolson, E. Treharne, D. Tsilimingras.

II. Approval of the Minutes

The minutes of the September 21, 2011 meeting were approved as distributed.

III. Approval of the Agenda

The agenda was approved as distributed.

IV. Special Order: Remarks by the Faculty Senate President, S. Lewis

It is customary for the Faculty Senate President to make some remarks at this point in the first meeting of the semester. Those of you who know me well are aware that I am someone who doesn't like to break with tradition, and yet I'm not all that sure that there is any real

value in my standing up here and giving you a “State of the Senate” speech. It would be of such greater benefit to me—and I suspect you—if we could find a more direct way for you all, as elected representatives from the colleges, departments, or units where you live your professional lives, to be able to share what is important to you with regard to the issues that face us as a professorate and as faculty at Florida State University. In the five months since you elected me, I have often been asked, “What does the faculty think,” and my first thought—always unspoken—has always been “geeze, I wish I knew.” I am just one senator among many and my voice is just one among the hundreds of opinions that are spoken on this campus every day, most of which I never hear. And I don’t hear them, because, like you, I am pretty busy doing my regular job of teaching, conducting research, and contributing to my professional communities—a job that (no matter what anyone outside of academia may think), keeps most of us quite busy.

I have been at FSU now for 18 years and pretty much, have spent most of my time in the Stone Building on the far west end of campus. In this new position, though, I am fortunate to have the opportunity to spend time in other parts of campus and to meet with you, my colleagues. While my knowledge of the issues faced by other faculty members is growing, it is still inadequate and I am still very interested in being able to more honestly answer the question about what faculty think. I urge you to share your thoughts directly with me in whatever way works best for you, so that I can serve you better as your representative.

As long as I am up here, I will take this opportunity to make a few comments about my own sense of where we are right now. That sense is optimistic, which worries me a bit because, by nature, I am not someone who tends to look at the world from a negative perspective and I’m never sure if my optimism is based in reality or my fantasy of what I’d like that reality to be. But I’m convinced that there is a lot right now that we as faculty at FSU can perceive as being in our favor, so to speak. I think that one of the most compelling contributors to that optimism is our President. I have now sat through several meetings with Eric Barron and after every meeting I have gone away thinking that this man is a faculty member—this man knows faculty—has lived in a place similar to where you and I spend our work lives. And I think that’s different from what we’ve experienced in the last several years. In every dealing with him, I have been encouraged to see that he wants what is best for faculty—that he is honestly believes that FSU will be made stronger as its faculty is made stronger and that improving the conditions under which faculty work is a high priority.

I also believe—have evidence—that Eric Barron is a man of true integrity. He wants his word to be believed and makes certain that what he says is clearly understood and can be trusted. Obviously, in his position, he has to use caution in what he says and how he says it, but it’s my impression that if he announces, for example, that he is just exploring the possibility of splitting the College of Arts and Sciences, he really hasn’t made up his mind.

My interactions with the new Provost have also been very positive. Of course, she has only been here a short time. She is still in that mode where she knows she needs to make lots of connections at FSU and hasn’t had to make any unpopular decisions yet. Still, she seems to me to be a person who is human, who is excited about her new role here and who is interested in sharing with us in faculty governance. And, the combination of this President and this Provost has the potential to be very powerful. So, there is much about which to be optimistic here—much to cause me to think that perhaps that this feeling of goodwill is indeed grounded in more than my fantasies.

Which isn't to say that FSU administrators and the Faculty Senate don't have some serious problems ahead. Obviously, we don't know what the economic situation is going to be and although the current estimates are that the state will not be facing a deficit this year, there is no way to really know what changes might result from the legislative activities that will occur. It could be that the Legislature enacts new policies that return any surplus to taxpayers, which would create additional fiscal challenges for the University. As you know, cuts of over 100 million dollars over the past several years have left the University with almost nothing in the way of "rainy day funds" and options for dealing with further cuts are extremely limited and basically will involve reducing our student population, which will (of course) impact the faculty and our programs. In addition, there's no doubt that universities in the state are being scrutinized carefully and we will be asked to prove our worth to our citizens—that we will be asked to account for what we do—for our time, the resources that are spent on our behalf, the knowledge and skills of our graduates—and that situation is going to cause some stress for us.

FSU has a history of strong faculty governance. We will need to use our shared role in the governance of the University to exert influence over the decisions that will be considered as a result of these stressors. A powerful way for you to make our voices heard is by contributing to the welfare of the University by serving on Faculty Senate committees, on committees established by the Provost or President, or committees within your Colleges. It is through this work that the sense of the faculty is communicated and we are able to influence academic policies on our campus.

It is also through service to the University that faculty preserve their academic freedom. Academic freedom, as you know, is a principle that is under considerable attack these days by others outside of higher education—others who believe that we fear accountability and hide mediocrity behind this principle. To the extent that we allow that perspective to be perpetuated, I believe that we undermine our future. As you know, there are indignant cries from throughout the nation—and in this town—to end tenure. Tenure exists not to allow us to work without worrying about joining the unemployment ranks, but in order to assure our ability to think responsibly and creatively outside of the mainstream of our professions' tenets. Academic freedom allows us to research unpopular notions and to challenge conventional thought. Tenure is only the mechanism through which our academic freedom is assured. Individuals in the past have established this protection for us—we need to do what we can to assure that academic freedom remains intact not just for the faculty of today, but for the professorate that will succeed us.

We are fortunate right now that we have a University President and a Provost who agree with us that tenured faculty—faculty who are protected in their rights to academic freedom—should be the mainstay of our institution. We need to do what we can to help them answer the cries for accountability and to embrace policies that help us to demonstrate to others that that we are in fact effective educators, efficient researchers, and that we are using the public's funds responsibly. We will accomplish these goals through our research and teaching, for sure, but also through our service. It is through our committee work that we assure that our curriculum is sound and that we have mechanisms to determine that our students are graduating with the skills that they need to be culturally competent, that they can effectively use technology, think critically, and write persuasively within their chosen fields. We need to help our administration find fair, honest, meaningful ways of measuring our productivity. It is through our committee work that we can find ways to do what we do here at FSU even better.

I'd like to conclude by thanking all of you who have responded to my request to serve on Committees. Your work makes this university strong. I was totally amazed that so many of you immediately agreed to my invitation to add to your workload and can't thank you enough for making this part of my job so much easier than I thought it would be. Those who declined clearly had legitimate reasons—they were out of the country, they had just had a baby, or were dealing with ill parents. I want to thank you, too, for your honesty and express my gratitude that you didn't take on an important task knowing it would be impossible to fulfill. For those senators who are thinking "well I dodged that bullet," you will see later that I still have a few holes to fill, and I hope that you will be as generous with your time as your colleagues have been.

So the message from here is that we need to make the most of this year. The atmosphere is positive—we have much about which to be optimistic. Let's commit to increasing our role in shared governance to protect our academic freedoms. Let's encourage our colleagues to contribute to our deliberations of productivity and accountability and in the rebuilding of what is best about FSU.

Thank you so much for this opportunity to serve as your President.

V. Report of the Steering Committee, S. Fiorito

Following the April Senate meeting, the steering committee met weekly during May and through the middle of June and resumed our scheduled weekly meetings on August 26th. In addition, the Steering Committee met once with President Barron during the summer and once this fall semester and once with Provost Stokes (immediately preceding this meeting). Issues that the Steering committee dealt with during these meetings include:

- The election of Susan Fiorito as Vice Chair at the first May meeting.
- Faculty participation in the Koch Foundation Gift committee, and the resulting report that came out in July that ease concerns of academic freedom violations and set up recommendations that are being implemented so that future agreements will have more faculty participation. The Steering Committee would like to wholeheartedly thank the committee for all their hard work.
- The Anthropology Department continues discussions with all levels of the administration regarding their reinstatement. We should hear something shortly about this decision.
- At the summer meeting of the Advisory Committee of Faculty Senates (ACFS), a document of shared governance has been produced that all members agreed to in principle, and that is being fine-tuned and will be brought before the Faculty Senate for discussion.
- A revision of the university-wide standards for Teaching Assistants was presented to the Steering Committee and will be discussed at this meeting by David Johnson.
- The Foundation Board of Trustees met and announced that a new Student Foundation was organized.
- The Salary Plan for Professor (SPP) was given to 51 Full Professors. The SPP will not be given in 2012 but is being renegotiated for the academic year of 2012-13.
- One dean search is underway, for the College of Engineering. The Dean search for the Dean of Faculties has been put on hold and will be discussed further by Provost Stokes at this meeting.

- Faculty member suggestions have been forwarded from the Faculty Senate Steering to President Barron for membership on investigation into the possibility of the reorganization of the College of Arts and Sciences. President Barron will communicate with us as he moves forward with these committee appointments.
- Appointments have been made to all standing Faculty Senate committees as well as an Ad Hoc Committee called Campus Solution that will review various proposed changes to academic policy that might be needed as the University moves forward with the implementation of its new student systems.
- Many initiatives are taking place that have been suggested by the Ad Hoc Committee on Academic Integrity such as:
 - The purchase of Turn-it-in.com
 - A plan is being developed to use other computer labs across campus for testing purposes, and
 - Tegrity, a lecture capture system, has been purchased by FSU and will help to facilitate remote testing with more assurance of honesty.
- Digital Publishing, a subcommittee of the Library committee met with the FSS to discuss the importance of faculty publishing in open access journals and archiving publications in a digital repository.
- Interdisciplinary course issues have been and will continue to be discussed regarding the granting of student credit hours, funding and resource allocation.
- Quality control issues dealing with Gordon rule Classes have been brought before the FSS and are being investigated.

In addition to our regular meetings, members of the Steering committee represented you on the Board of Trustees meeting in May and last week. I remind you that President Lewis sits as a member of the board of Trustees ex officio; in addition, the Vice Chair presents remarks from the faculty early on the agenda of each meeting.

The Steering committee would like to propose a resolution that FSU recognize the extraordinary service of faculty members who have taught continuously for 50 years or more by providing these individuals with a free reserved parking space.

VI. Reports of Standing Committees

- a. Graduate Policy Committee, D. Johnson (See addendum 1.)

The motion passed unanimously.

VII. Old Business

There were no items of old business.

VIII. New Business

There were no items of new business.

IX. University Welfare

- a. Updates on Bargaining and Related Matters, J. Fiorito

Collective Bargaining

The Collective Bargaining Agreement (CBA) for 2010-13 was finally printed and distributed. If you do not have your copy please let me know.

Bargaining on re-openers for 2011-12 commenced in May, with salaries (Art. 23) automatically re-opened and each side allowed to select two more articles. The Administration/BOT team chose Performance Evaluation (Art. 10) and Tenure (Art. 15), while the UFF faculty team chose Academic Freedom and Responsibility (Art. 5) and Benefits (Art. 24). By mutual agreement, the teams will also re-negotiate the Salary Plan for Professors (Art. 25), and long-gestating Non-Tenure Track Faculty issues that cut across several articles.

Bargaining teams met throughout the summer and signed Memoranda of Agreement (MOAs) on implementing the Salary Plan for Professors, merit bonuses, and Winter Holidays, and reached a tentative agreement (TA) on salaries. Key terms in the salary and merit agreements are:

- 3% performance-based base pay increases with a \$1500 minimum
- \$900 per FTE faculty member merit bonuses with \$750 of that to be distributed on the basis of established faculty-developed merit criteria and procedures, but subject to administrative review, and the remaining \$150 for deans' to distribute based on merit
- Promotion increases at the usual rates (9 or 12 percent)
- Up to 0.50% (roughly \$600K) of the salary base for Administrative Discretionary Increases (ADI) in base pay for in-unit faculty

Discussions continue on non-salary issues. Conversations have focused on evaluation, but we expect to take up tenure, SPP, and NITF issues soon.

Consultation

A consultation with President Barron at the end of June included helpful discussions on several of the issues just mentioned as well as others.

Contract Enforcement

“It’s just a bunch o’ words if you don’t enforce it.” Contract enforcement activities continue. For example, as noted in our recent *State* announcement, our Grievance Chair managed to persuade the administration to reverse a misguided negative promotion and tenure decision for a deserving assistant professor. A reminder of a previous instance of successful contract enforcement arose in a Trustee’s recent comment, in referring to the 2009 layoff plan, that “I was disappointed that such a carefully crafted plan by the Provost, which the Board overwhelmingly approved for faculty reductions, was totally thwarted in arbitration through the CBA.”

At the Ledge

Are you ready to be lashed? Our future state Senate President Gaetz was quoted in yesterday’s media reports saying that the Legislature should “lash Florida’s higher education system ... to the needs and realities our economy.” Although perhaps to many an innocuous statement by itself, in the context of others’ enthusiasm for the “Texas Plan” and other ill-considered initiatives, this remark underscores that we are in for many challenges in the months ahead. This seems like a good time to restate the maxim “In unity there is strength.” We must be united.

Upcoming Events

- A few seats remain available for our catered luncheon next Wednesday featuring “A Conversation with Our New Provost.” Brown-baggers and dieters are welcome, of course, if space is available.
- A consultation between UFF faculty and FSU administration representatives is scheduled for Friday the 30th.
- Bargaining, contract enforcement, and building strength through unity continue. Please note that bargaining sessions are public meetings and the UFF faculty team would welcome any Senator who might like to sit in.

X. Announcements by Deans and Other Administrative Officers

There were no announcements by Deans or Other Administrative Officers.

XI. Announcements by Provost Stokes

I can tell you I've been pushing since I got here to meet as many people as I could. I was put on a task force for the Board of Trustees related to regionalization of campuses, and I can tell you it looks like we don't have to worry about that anymore. I've gone to Board of Trustees meetings, Board of Governor's meetings, I've met with the faculty Senate steering Committee, and I've been getting my visits to colleges and departments so I can meet the faculty and staff in each of the units, so if I haven't met you yet and I still have a long way to go, but I will make my way across this campus and get a chance to hear what is on the mind of the faculty in the various departments on campus. I've discovered a life full of meetings, I've discovered a culture, and perhaps its not shared across the entire campus, but a culture that has meetings that begin at 8 in the morning. But I'm getting used to it and starting to arrive to work on time and leaving my computer.

So I mostly wanted to say that I'm looking forward to working with you and I'm delighted to be a FL State University. I did want to give you an update on the one thing that was mentioned earlier. I think my first day here we had a charge meeting for the search committee for the Dean of Faculties, I talked with the head of that search committee early Monday morning and we had a situation where there were a lot of nominees, and what we had were 3 people who decided to apply who were internal candidates. We also oddly enough had 2 external people apply for Dean of Faculties. From my perspective this was not an external search, but I think what happened was it was posted on the website and we had a couple people outside apply. I spoke with the search committee and steering committee today. I notified the candidates that I was new to this campus and this was a very crucial position for the faculty and the administration and I had hoped that we would attract a large group of people who would consider to apply for the Dean of Faculties. What I had hoped for and had asked the search committee for is that we would get a large group of people and then be able to interview from that group. So when I saw that we had 3 people applied, I decided that I needed some time to think about what was going on with this position that would lead only 3 people to be considered. Being new to Florida State and not knowing a lot of people, I thought it would be a wiser action for me to halt the search, for me to do what work I needed to do to figure out how we can best serve the university through a process that we can do later. So I wanted to tell you that a lot of people have asked me what my timeline is, and I can't be sure what my timeline is. I told the steering committee that I wanted to have time to meet with people and sort through the issues with

the hope that we would restart the process sometime in the spring. I don't want to leave this position vacant for too long and I think it's an important position. I'm glad we've had an interim serve in this role and I think things are going along smoothly from all that I hear and I'm really pleased we've had someone willing to take on 2 jobs, and as I've talked to her about, more than 2 jobs... but I think that I'm going to need some time to make sure I do what is best for the university.

That's all, but if anyone has any questions, I'll be happy to stay for a while. My plan is to attend all these meetings and you'll find I like to take questions.

XII. Announcements by President Barron

See addendum 2.

XIII. Adjournment

The meeting adjourned at 5:13p.m.



Melissa Crawford
Faculty Senate Coordinator

University-wide Standards for Teaching Assistants at Florida State University

These are University-wide standards that any student must meet prior to assuming one of the various instructional roles. These are meant to be university-wide minimum standards; departments may adopt additional or more stringent standards. Graduate Programs which do not use graduate students in instructional roles would not be affected by these standards. They are meant to cover the formal use of teaching assistants in course instruction. Extra help sessions and voluntary tutorials in addition to regular class meetings would not normally fall under these requirements.

Certification of General Teaching Competence:

Each semester in accordance with guidelines of the Commission on Colleges (SACS) and the standards outlined in the following sections, the Academic Dean of each College is required to certify in writing to the Dean of the Faculties and the Dean of The Graduate Studies School that each student who serves as a Teaching Assistant is competent to teach and for International Teaching Assistants that they are also competent to teach in spoken English.

General:

It is recommended that each program have a discipline-specific teaching manual for its teaching assistants to supplement the university teaching manual, *Instruction at FSU* which can be viewed on line (<http://learningforlife.fsu.edu/ctl/explore/onlineresources/I@FSU.cfm>).

Minimum Requirements for Different Levels of Instruction:

1. *Grader*
 - a program specific statement of standards for graders
2. *Proctor for Computerized Exams and Laboratories*
 - undergraduate majoring in the discipline
 - PIE fall conference or departmental equivalent
 - PIE workshop on Sexual Harassment or equivalent (see below)
 - supervision by the faculty member teaching the course
3. *Lab section*
 - undergraduate majoring in the discipline
 - specific instruction in laboratory demonstration
 - PIE fall conference or departmental equivalent
 - PIE workshop on Sexual Harassment or equivalent (see below)
 - direct supervision by senior lab assistant /or faculty member in the teaching discipline
 - planned and periodic evaluations of the teaching assistant
4. *Recitation/discussion section*

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- undergraduate degree in discipline or related field
- some graduate work completed or enrolled for
- PIE fall conference or departmental equivalent
- PIE workshop on Sexual Harassment or equivalent (see below)
- direct supervision by faculty member in the teaching discipline
- planned and periodic evaluations of the teaching assistant

Course level types 5-8 presume the teaching assistant is providing the primary instruction in the course.

5. Lower-level course

- 18 hours of graduate work in teaching discipline
- PIE fall conference or departmental equivalent PIE workshop on Sexual Harassment or equivalent (see below)
- student participation in a “teaching in the discipline” course or equivalent departmental orientation
- direct supervision by faculty member in the teaching discipline
- planned and periodic evaluations of the teaching assistant

6. Liberal studies course

- 18 hours of graduate work in teaching discipline
- PIE fall conference or departmental equivalent
- PIE workshop on Sexual Harassment or equivalent (see below)
- student participation in a “teaching in the discipline” course or equivalent departmental orientation
- direct supervision by faculty member in the teaching discipline
- planned and periodic evaluations of the teaching assistant

7. Upper-level non-major non-liberal studies course

- Master's degree or equivalent
- PIE fall conference or departmental equivalent
- PIE workshop on Sexual Harassment or equivalent (see below)
- student participation in a “teaching in the discipline” course or equivalent departmental orientation
- direct supervision by faculty member in the teaching discipline
- planned and periodic evaluations of the teaching assistant*

8. Upper-level major course

- Master's degree or equivalent
- enrolled in doctoral level course work and strongly encouraged to have completed two semesters of doctoral level course work
- PIE fall conference or departmental equivalent
- PIE workshop on Sexual Harassment or equivalent (see below)
- student participation in a “teaching in the discipline” course or equivalent departmental orientation

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- direct supervision by faculty member in the teaching discipline
- planned and periodic evaluations of the teaching assistant

Certification of Spoken English for Graduate Teaching Assistants:

As noted above Academic Deans are required to certify to the Dean of the Faculties and the Dean of The Graduate Studies School that the TAs in the college are competent to teach. This statement should also include certification that all graduate TAs whose native language is not English are competent to teach in spoken English.

All international graduate students who are not native speakers of English, and who are going to be TAs, should take the SPEAK test when they arrive on campus (as noted below, students who scored 26 or higher on the speaking portion of the IBTOEFL may be exempted from taking the SPEAK test). The Center for Intensive English Studies (CIES) administers and scores the SPEAK test, CIES also offers courses in spoken English (EAP courses). The SPEAK test is administered several times in the week(s) prior to the beginning of each semester, and the scores are available within three to four days of the date the test is administered. Departments are urged to take advantage of this opportunity to receive an initial estimate of speaking ability. In addition, the SPEAK is routinely administered as an end-of-term evaluation for students enrolled in EAP courses. TAs not enrolled in EAP courses may also take the test at that time. Course offerings, as well as test dates for SPEAK tests, are published in fliers distributed periodically to departments, as well as via email to TA coordinators. This information is also available on the CIES Web site (www.cies.fsu.edu).

The standards for certification of spoken English are as follows:

- A score of 50 or higher on the SPEAK test, or 26 or higher on the speaking portion of the IBTOEFL, certifies a student to teach at any level.
- A score of 45 on SPEAK, or 23-24 on the Speaking section of TOEFL iBT, certifies a student to teach at levels 1 & 2; and to teach at levels 3 & 4 for up to two semesters if also concurrently enrolled in an appropriate CIES English language course. By no later than the end of these two semesters, if the student's skills have not improved sufficiently to achieve a score of 50 on the SPEAK exam, the student will be eligible to only teach at levels 1 & 2. The student will only be allowed to teach at a higher level once they achieve a score of 50 on SPEAK.
- Student's scoring 40 or below on SPEAK should enroll in the appropriate CIES English language course(s) if the goal is to be a TA. Once a 45 on SPEAK is achieved such a student will be certified to teach at levels 1 & 2; and to teach at levels 3 & 4 for up to two semesters if also concurrently enrolled in an appropriate CIES English language course. By no later than the end of these two semesters, if the student's skills have not improved sufficiently to achieve a score of 50 on the SPEAK exam, the student will be eligible to only teach at levels 1 & 2. The student will only be allowed to teach at a higher level once they achieve a score of 50 on SPEAK.

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- ~~• A score of 45 certifies a student to teach at levels 1-2, and to teach at levels 3-4 if also enrolled in an appropriate CIES English language course.~~

In unique instances a Department Chair or Dean may appeal the application of these standards by submitting a request to the Dean of The Graduate Studies School. The Dean of The Graduate Studies School will convene a committee to consider the request. The committee will consist of the Director of the FSU Center for Intensive English Studies; the Chair (or designee) of the Undergraduate Policy Committee; the person making the appeal; and the Dean of The Graduate Studies School.

Equivalent Previous Experience and Emergencies:

With the exception of the 18-hours-in-the-discipline rule for primary instruction and in accordance with guidelines provided by the Commission on Colleges (SACS), the following options will be available to deal with special circumstances:

A student who through previous preparation or teaching experience has demonstrated knowledge and strong teaching skills, can be exempt from some of the requirements in 3-8, as appropriate, by certification of the program chair.

In an emergency a department may appoint a graduate teaching assistant who has not met all the University-wide requirements for that level of appointment if there is an assurance that the student will meet the requirements by the end of the term in which the student is teaching.

PIE workshop on sexual harassment policies and equivalency:

University policy on sexual harassment training is provided by Office of Audit Services (<http://www.auditservices.fsu.edu/services/training/index.html>). The office provides training sessions at the PIE Fall Teaching Conference. In addition PIE sponsors a workshop in the spring usually during the second week of classes. Departments can also set up departmental training by contacting the Office of Audit Services, and this office also offers training online.

Breakthrough Solutions For Higher Education: Florida Can Do Better than Texas

Presented to and modified by the FSU Board of Trustees

Eric J. Barron

September 8, 2011

EXECUTIVE SUMMARY

A significant part of the prosperity of the United States over the last 50 years has been attributed in large measure to the national investment in universities, and in science and technology (*Rising Above the Gathering Storm*). Public universities and colleges play an important and demonstrable role in the economic competitiveness of every state in the Union. Yet, over the last decade, our nation has experienced a number of troubling trends. We have lost our lead in manufacturing, in technology, in information technology, in space, in the production of engineering degrees, and a host of other areas. The largest producers of new jobs in America are fast food companies, big box retailers like Wal-Mart, and other enterprises that require low-skill workers. The investment in public colleges and universities has also decreased substantially, limiting their ability to promote innovation and making them less nimble in moving resources into areas that will enable the U.S. to compete effectively in a global marketplace. At the same time, public tuition costs in most states have increased significantly, creating worries that higher education will become less accessible.

There is no doubt – public universities and colleges must become more effective and more efficient, and they must take on an expanded role in developing an educated workforce that supports economic development. Our nation’s governors have called for stronger accountability systems, efficiency gains that are achieved without sacrificing student learning, and more emphasis on meeting workforce needs. The State of Florida should become a leader in creating a more efficient and effective system of higher education.

The Texas “7 Breakthrough Solutions” for Higher Education is a prominent example of a proposal designed to change the landscape of higher education through a set of accountability metrics.

The Texas Solutions are focused on

- Measuring the efficiency of individual teachers based on the number of students they teach and their teaching quality as measured by student evaluations.
- Rewarding extraordinary teachers based on student teaching evaluations.
- Separating the roles of teaching and research.
- Requiring evidence for teaching skill for tenure.
- Using results-based contracts between teachers and students.
- Putting state funding directly in the hands of students, and
- Creating a results-based accrediting alternative.

The objectives of the Texas proposal have merit – decrease the cost of educating students while maintaining teaching quality. The Texas proposal draws heavily on the community college model. Community colleges are a workhorse of U.S. higher education, enrolling approximately

45% of all college-bound students and educating them at a low cost. Much like community colleges, the metrics in the Texas proposal encourage larger class sizes, higher teaching loads for faculty, and a use of adjuncts as a way to increase the number of students being taught while lowering the cost. The Texas proposal supports accountability almost exclusively by focusing on the roles of individual faculty members and by measuring quality based on a single index at one point in the education process – the student course evaluation. An assessment of the Texas proposal yields two important conclusions. First, accountability measures should be designed to fit the strategic mission of the university. The mission of research universities and their role in economic development is very different than the mission and role of community colleges. Second, the set of accountability measures proposed in the Texas model are not sufficiently comprehensive to serve the state of Florida.

Florida can do better than Texas.

The Texas proposal is primarily focused on efficiency – the number of students taught per \$ of cost. Experiences in industry demonstrate that the use of simple “speed per cost” metrics has a number of unintended consequences – this type of metric, if they stand alone, sacrifice effectiveness for efficiency. As a case in point, community colleges teach large numbers of students at low cost, but they also have dismal retention (nationally more than one-half of all students drop-out) and graduation rates (only 25% graduate in three years). Low retention and graduation rates at a university level are a significant waste of taxpayer dollars. Further, the Texas proposal uses student course evaluations to assess effectiveness. A wide variety of studies suggest that these evaluations are important, but are insufficient to promote an effective education. We propose an expanded number of accountability measures for Florida so that we promote both efficiency and effectiveness. These metrics include:

- Freshman retention rate
- Student evaluations
- Credit-hour cost effectiveness measures
- Graduation rate
- Post-graduation surveys.

The proposed efficiency, reward, and accounting systems in the Texas proposal stress class sizes, teaching loads, and the creation of faculty with either teaching or research missions. Although the objectives are worthy, the outcomes for research universities and the economy are problematic. The Texas proposal would significantly disadvantage the production of degrees in science, technology, engineering, and medicine which require high levels of expertise, access to cutting-edge research, and smaller student-faculty ratios. Research universities have a fundamentally different role to play in the economy than do community colleges. Even very large community colleges may have only basic science classes that can be taught in high volume classrooms by adjuncts, as their objective in science and engineering is only to enable students to transition to an upper level university, as opposed to creating chemists, physicists, engineers or doctors. The Texas proposal would also disadvantage the teaching of honors students, yet honors sections are a key ingredient in keeping the best and brightest students in Florida. Losing the top of the Florida talent pool to other states is an unacceptable consequence. It would also disadvantage education in the arts, which requires large numbers of contact hours with students. We propose a more comprehensive model for rewarding effective teaching, based on measuring outcomes and rewarding improvement. Our proposed measures of teaching effectiveness go beyond student course evaluations, and will be applied to every instructor as the basis of a comprehensive reward system. The measures include:

- Student evaluations

- Peer evaluations
- Pre-course and post-course knowledge tests
- Evaluation of the persistence of knowledge in the major
- Post-graduation assessment

The Texas proposal calls for a separation of teaching and research budgets and reward systems, and for departmental and college budgets to be based on the number of students taught and research funding received. Florida already requires the separation of teaching and research in budgeting and Florida State University uses this accounting in its reward system. More than 30 universities have adopted a version of the Texas budgeting model, yielding a large number of case studies. We propose to:

- Continue, as required by State law, the separate accounting and reward system for faculty time in research and teaching
- Generate a budget model, based on lessons learned from other institutions, that reflects the true cost of educating students, making budgets more transparent
- Increase our emphasis on performance based pay

The Texas proposal calls for evidence of teaching skill for tenure. No faculty member is tenured at Florida State without a demonstrated record of teaching excellence. However, the Texas proposal provides a class size, teaching load, and student evaluation litmus test for tenure that separates teaching faculty from research faculty. We propose a more comprehensive measure of teaching effectiveness than simply student evaluations, as well as a breadth of evidence of teaching skill.

The Texas proposal calls for contracts between students and faculty and places funding directly in the hands of students. In many regards, Florida's Academic Learning Compacts and the Bright Futures program place Florida ahead of Texas. The successes of the Florida's programs are demonstrable. We propose further strengthening these programs in a way that ensures students understand expectations and how their performance will be measured, and incentivizes students to complete degree requirements in a timely fashion, while making universities more competitive in serving the needs of students.

The Texas proposal argues for more of an outcomes-based approach to accreditation. Florida State supports this objective.

Finally, in focusing solely on the performance of individual teachers and on student evaluations, the Texas proposal fails to incentivize universities to compete at a national and international level to keep the best and brightest students in Florida and to ensure that universities are nimble and effective in meeting the needs of Florida's economy. We propose the development of "enterprise universities" where universities gain increased autonomy and flexibility to innovate in exchange for a much higher level of accountability in meeting the needs of Florida.

The Florida Solutions are based on:

- Promoting cost-efficient and effective graduation of Florida students using five metrics based on retention rates, student evaluations, credit-hour cost analysis, graduation rates, and post-graduation assessment.

- Rewarding of effective teaching as an incentive for continuous improvement using student evaluations, pre-course and post-course knowledge assessment, and retention of knowledge in the major.
- Emphasizing performance-based pay.
- Enhancing measures that ensure teaching excellence is required for tenure.
- Expanding Academic Learning Compacts with students.
- Expanding the Bright Futures scholarship program, promoting students as partners and customers in their education, while also promoting timely graduation.
- Ensuring that accreditation is based on outcomes.
- Creating “Enterprise Universities” in Florida by exchanging flexibility in managing finances and operations for clear, measureable and unambiguous accountability in meeting the needs of the State of Florida.

In each case, these proposed Florida Solutions strengthen accountability and incentivize both efficiency and effectiveness. A discussion of each Texas Solution leading to the improved set of Florida Solutions is contained in the text that follows.



Texas Solution #1. Measure Teaching Efficiency and Effectiveness and Publicly Recognize Extraordinary Teachers

The Texas Solution #1 is focused on measuring and publicizing teaching efficiency and effectiveness:

- (1) Gather the data and measure teaching efficiency and effectiveness
 - a. Compile the following information for each teacher
 - i. Salary and benefit costs
 - ii. Number of students taught in last 12 months
 - iii. Average student satisfaction rating
 - iv. Average percentage of A's and B's awarded
 - b. Divide the total employment cost for each teacher by the number of students taught, and force rank from highest cost per student to lowest cost per student taught
 - c. Compare student satisfaction ratings and grade distributions
 - d. For high-cost faculty, collect and read all research articles published in the last twelve months
- (2) Publicly post the student satisfaction ratings and number of students taught for each teacher in several prominent locations at their respective colleges

Discussion

The goal of Texas Solution #1, to measure efficiency and effectiveness, and to use this data to drive improvement in teaching, has merit. However, Solution #1 is primarily focused on the efficiency of individual faculty through a single metric – number of students taught per \$ of cost. Industry has a long history of developing similar efficiency metrics. Case studies presented by E.I. DuPont to the American Chemical Society (2003) and to the Corporate Technology Council (2000) are particularly illustrative with respect to Texas Solution #1. DuPont's early focus was on simple metrics that combined total expenses or resources employed and the number of chemical compounds processed. Many of these early metrics failed because they were not well connected to corporate strategic objectives and because the use of single stand-alone metrics to study complex systems often have unintended consequences. For example, as might be expected, DuPont became extremely fast in processing compounds, but the use of a single "speed" metric actually discouraged them from focusing attention on particular promising families of chemical compounds. The end result was that they became less effective in delivering worthwhile products to the marketplace. Essentially, a single metric that promoted only efficiency within an overall process had a negative impact on effectiveness. They eventually replaced these early metrics with a more balanced set that were based on the strategic directions of the corporation using more of a "stage-gate" process, intended to break up an assessment of product development into a series of stages that could be reviewed in sequence.

The Texas Solution #1 needs to be modified to prevent similar unintended consequences. As written, this Solution is basically a single metric that would drive universities to offer larger and larger sections for courses, more courses per faculty, and to teach these courses with adjuncts with lower salaries and less expertise, in order to appear efficient. This is happening in many universities in some subject areas, in direct response to budget cuts. And, in many cases, large classes have proven to be effective for teaching a great deal of subject matter. However, a single metric for all faculty – number of students taught per \$ – would do more than accelerate this trend, it would have negative consequences for science (laboratory classes), medicine, engineering, mathematics, and other highly complex topics which are poorly served by large

classes or online classes. In addition, considerable study is available that suggests that undergraduates who engage in research that features intensive faculty-student interactions and who are involved in worthwhile non-classroom activities are more likely to be engaged in post-baccalaureate education essential to these STEM fields. The emphasis on undergraduate research is one of the most promising developments in undergraduate education in recent years. So, Texas Solution #1 would have a significant negative impact on the STEM fields that are likely to be the most significant for Florida in generating high paying jobs and attracting innovative corporations. Other majors and other areas of the educational enterprise would also be disadvantaged. Efforts to focus on honors students would be undercut. Consider another example, the arts requires high levels of contact hours between faculty and students, and these contact hours are not included in a traditional classroom counts. Similarly, graduate education requires significant interaction between faculty and students, and again, these contact hours are not included in a traditional classroom count.

Texas Solution #1 might also create faculty competition to teach courses that are less difficult. The use of a fixed number of A's and B's in grading for every class could act as an equalizer to prevent some professors from giving out more A's than other professors in order to get a better student evaluation, but it is unlikely to act as an equalizer between a general education course that teaches science using, say, the "the chemistry in the world around you" compared to a course that teaches the rigors of organic chemistry required for many majors including medicine, chemistry and materials sciences. Having faculty compete to teach the "fun stuff" because they will get a higher ranking than a faculty member who ensures that the next STEM major is well prepared would certainly be an unfortunate consequence. Finally, a metric that is basically "number of students processed" much like DuPont's "number of compounds processed" could encourage universities to accept more students and to get them into classrooms without regard to graduation rate or overall effectiveness since volume is the only driving metric.

At the same time, this metric also has unintended consequences for university physical plants. In most universities, large classrooms are already fully booked and are expensive to build. This could serve as an incentive to increase on-line learning, but it would discourage those aspects of on-line education that have proven to be effective, such as the use of associated coaches and course mentors.

Ironically, the universities consistently ranked as providing the highest quality education for students are those with the lowest faculty-student ratios and higher contact hours with students. Many of these universities are recognized for providing excellent value even though their costs are higher. The list of the top 50 colleges and universities provided by Forbes magazine all have tuition levels that are 3 to 10 times higher than Florida public universities. Metrics that encourage state universities toward larger classes and higher faculty-student ratios will lower Florida universities' rankings and make them less attractive to strong Florida students. The negative reputational effect will also make national and international businesses less interested in locating in Florida.

We can do better than Texas by taking advantage of the lessons learned by industry. Industry has promoted the use of:

- (a) multiple, easily understood indices that can be evaluated through time
- (b) metrics that are tied directly to the strategic needs of the corporations, and
- (c) evaluations that address the stages of product development rather than a single point in the production line.

Clearly students aren't equivalent to industrial products but the successes and failures in industry can be used to guide higher education, yielding the following solution:

Florida Solution #1

Strategic Goal: Cost-efficient, effective graduation of Florida students

Design of Metrics: A stage-gate process of assessment from entry, to in-process, to degree completion, and including post-degree.

Metric 1.1. Freshman retention rate. Student drop-outs are costly to taxpayers and therefore retention rates should be a key metric to assess educational efficiencies. In addition, retention rates go beyond single classroom student evaluations by integrating the student experience from advising to multiple classroom experiences. In a stage-gate process, this metric is an early barometer of institutional effectiveness. Because this metric maximizes the university commitment to the student, it tends to incentivize universities to maximize student success.

Metric 1.2. Student evaluations. Universities like Florida State have a long history of student evaluation and use of student evaluations as a basis of faculty evaluation and promotion. Their impact can be enhanced through a rigorous statistical approach to faculty evaluation, using grade distribution, class sizes, type of class (general education vs. pre-requisite vs. major), and other factors to equalize evaluations based on the factors that influence student assessment outside of the quality of course delivery. In many cases, pre-testing and post-testing can be utilized to determine knowledge gained within a class. In addition, we can compare student evaluations with success in subsequent courses that build upon knowledge gained in earlier classes as a measure of effectiveness. Path-breaking research by the U.S. Air Force Academy demonstrates that student satisfaction isn't a predictor for success in later classes. A more rigorous analysis has greater potential to measure effectiveness. Assessing the persistence of knowledge gained in a class would provide a breakthrough solution to understanding teaching effectiveness. Such a solution would require additional investment in evaluation systems at universities.

Metric 1.3. Credit-hour cost effectiveness analysis. A "cost per student" metric for individual faculty may have some negative unintended consequences, and it also fails to assess learning outcomes. However, if student credit hour data is combined with measures of persistence (retention of knowledge), then the true cost of delivering a curriculum can be assessed. This type of analysis can be completed at multiple levels (major, department, college), providing the type of data that can be used to improve efficiencies at a programmatic level. Assessing efficiency at a program level will serve to improve the rigor of curriculum delivery, without the unintended consequences of the Texas solution.

Metric 1.4. Graduation rate. The higher the graduation rate, the more effective the use of the State dollar in graduating Florida students. Improvements in graduation rate are a clear way of improving efficiencies without adversely impacting quality. Graduation rate can be evaluated at programmatic levels, departmental, and college levels as well as a whole university level. Again, this metric integrates the entire student experience, and in a "stage-gate" process, reflects end success in the effective use of the taxpayer dollar.

Metric 1.5. Post-graduation survey. Many institutions, including Florida State University, are developing a consistent, on-going process of post-graduation survey, with the objective of capturing student opinion on the value of particular classes and faculty after having the experience of employment or graduate/profession school training. In addition, many programs

also survey employers to determine the preparedness of graduates or use other indices like student placement. Again, in a “stage-gate” process, this metric reflects end success in effective education.

These five metrics have the advantage of providing a more integrated approach to evaluating the efficiency and effectiveness of any educational institution, primarily because the assessments are not at a single point (student evaluations at the end of a class) but rather include a staged process, and because the metrics are not at a single level (faculty) but rather include faculty, programs, departments, colleges and whole institutional levels. These metrics form the basis of an assessment system that can withstand the type of risk analysis required before undertaking a high stakes deployment of any truly breakthrough solution. The potential for unintended negative consequences of employing a single metric (speed in processing students) is significantly reduced. These metrics will move the State of Florida significantly beyond the Texas Solution.

Public dissemination of this information on efficiency and effectiveness at all levels would only further enhance the impact of employing these metrics and should be a part of Florida’s Solution #1.

Texas Solution #2. Recognize and Reward Extraordinary Teachers

The Texas Solution #2 is focused on rewarding teaching excellence as an incentive for continuous improvement:

- (1) Use existing student evaluation forms to determine the teachers of classes who rank in the top 25% for each semester.
- (2) Provide awards of up to \$10,000 for the top 3%, \$5,000 for teachers of classes rated from 3% to 10%, and \$2,500 for ratings from the top 10% to the top 25%.
- (3) Awards would be based on ratings and the number of students taught to encourage teachers to teach as many classes and students as possible.
- (4) Make the awards voluntary so faculty could refuse the bonus
- (5) Include voluntary limits on A's and B's as part of the bonus plan to curb grade inflation and prevent a "popularity contest."
- (6) Make all teachers eligible for bonuses, whether adjuncts, teaching assistants or tenure/tenure track faculty.
- (7) Use the bonus structure as a mechanism to encourage faculty to teach more students, achieving sufficient financial benefit to pay for the cost of the bonus plan.
- (8) Give the awards in a public ceremony and publicize the results.

Discussion

The goal of recognizing and rewarding extraordinary teachers is truly worthwhile. Florida State University has a long history of providing financial rewards for teaching excellence, as evaluated by students. The University is eager to increase the expenditures for reward of faculty for teaching excellence with the objective of promoting even stronger teaching. However, the design of Texas Solution #2 is problematic for several reasons.

The bonus structure is based on evaluations of individual classes and not individual faculty excellence. The number of eligible classes grows substantially because it is open to all teachers, including graduate assistants. Given these criteria, Florida State would have as many as 21,000 eligible classes each year. FSU teaches approximately 9,670 courses per year, with a large number of sections for laboratories or recitation taught by graduate assistants each with independent course evaluations. The Texas Solution #2 would require more than \$20,000,000 of bonus funds per year based on the eligibility criteria. Alternatively, a bonus fund that is based on the number of courses would yield costs that would approach \$10,000,000 annually.

As recognized by the Texas proposal, a bonus structure of this magnitude would almost certainly drive faculty to want to teach more students as well as to teach in ways calculated to achieve high student evaluations. The Texas proposal argues that the full cost of the awards could be realized by savings generated by increased efficiency from larger class sizes, by having faculty teach more sections, or by replacing regular faculty members with adjuncts as long as they score well on student evaluations. In fact, community colleges demonstrate that the Texas Solution #2 could pay for itself - higher teaching loads and/or use of adjuncts can be used to serve a larger student body (although their completion rates are low). Again, large classes and use of non-tenure track faculty has merit in many cases. However, research universities are functionally different than community colleges.

First, the Texas Solution #2 sends a signal that teaching Honors sections is not valued. Honors programs have become a key ingredient to attract strong students – the incentive for the student is

smaller classrooms and higher contact hours with the faculty. The teaching of small honors sections for gifted students becomes a disincentive for faculty (they are unlikely to receive bonuses that are based on excellence and number of students), yet honors sections are a key ingredient in keeping the best and brightest students in Florida. Students who leave the state are much less likely to return to Florida if they graduate from an institution in another state. Losing the top of the Florida talent pool to other states is an unacceptable consequence.

Second, consider the mission of training the next generation of scientists and engineers. The training of physicists provides a case in point. Research universities not only teach undergraduates to be physicists and to excel in other sciences, they must also train graduate students to be future instructors. In contrast, even large community colleges may only offer two physics courses, because their objective is only to teach physics fundamentals at a level that will allow students to transition to an upper division university. These introductory classes can be taught at a high volume (although lab sections should still be required) and some adjunct faculty may have the expertise to teach these sections very well. A very different breadth of classes and expertise is required for physics majors or graduate studies in physics.

FSU is ranked in the top ten for National Science Foundation funding in the physical sciences (e.g. physics, chemistry, etc.) among public universities and has the strongest physics program in the State of Florida. Physics has 40 faculty that deliver the physics curriculum. The department delivers service courses for non-science majors. In addition, the department offers five courses with lab sections that provide the level of detailed knowledge required for biology, chemistry, medicine and engineering majors. In contrast, undergraduate physics majors choose from a set of 25 courses, including 12 that all physics majors must take, while graduate students had 32 course options during the last year. Student training in physics spans several areas of concentrated study. For example, graduate students can choose full courses of study in eight areas, including atomic physics, astrophysics and cosmology, biophysics, condensed matter physics, high energy physics, material sciences and nanotechnology, and nuclear physics. The level of knowledge required to educate experts in these fields requires a significant number of different courses. The department averages about 110 undergraduate majors and 115 graduate students and therefore the majority of classes in the major and at a graduate level are small.

So, how does a physics faculty respond to incentives that are based on teaching a volume of students as well as teaching excellence? First, the only opportunities for teaching a high volume of students are in physics courses for non-science majors and for physical science majors. The Texas Solution #2 system of rewards will reward physics faculty who teach at the lowest level - general education physics courses - if they do it well. Given the level of expertise required to train physicists, the breadth of physics options in demand by employers, and also the small number of students engaged in the study of physics (even at a top notch department), the vast majority of physics faculty would not and could not be eligible for reward. The only opportunity for physics faculty to be rewarded would be to have faculty at the highest level in their respective disciplines teach physics for non-science majors. The only significant option for saving money would be to have fewer faculty teaching the large introductory courses to enable FSU to provide significant bonuses for the remaining faculty that teach more sections of the introductory courses. Another option is to eliminate areas of physics expertise, or to have physics professors teach in areas of study that are not their expertise. This option decreases the quality of the program. The majority of the faculty remain ineligible for bonuses in either option for saving dollars.

As stated in the prior discussion of Texas Solution #1, teaching larger classes has merit in many subject areas, however, the goal to promote larger and larger class sections or more classes is problematic in other areas. It diminishes the effectiveness of teaching in science, medicine,

mathematics, engineering, technology and the arts which require smaller sections, laboratory sections, highly specialized training and high contact hours between the faculty and the students. It further acts as a disincentive for graduate education. Instead, the incentive is to teach large sections that are general education courses and there is a limit to the number of general education courses that are needed.

In short, Texas Solution #2 acts as a disincentive for maintaining a talent pool that is equivalent to generating high paying jobs.

Florida Solution #2

Strategic Goal: Reward effective teaching as an incentive for continuous improvement:

- (1) Use a comprehensive set of teaching effectiveness tools, including student evaluation forms, peer assessment, pre-course and post-course knowledge tests, and persistence of knowledge in the major, to determine the top 25% of teachers each year.
- (2) Provide awards for teachers rather than course sections, with up to \$10,000 for the top 3%, \$5,000 for ratings from 3% to 10%, and \$2,500 for ratings from the top 10% to the top 25%.
- (3) Awards would distributed at all levels required to deliver a curriculum – general education, introductory courses for majors, and courses in the major
- (4) Teachers could be eligible in more than one category, promoting increased interest in teaching at all levels.
- (5) Make all teachers eligible for bonuses, whether adjuncts, teaching assistants or tenure/tenure track faculty.
- (6) Use the bonus structure as a mechanism to encourage faculty to teach more effectively
- (7) Give the awards in a public ceremony and publicize the results.

Texas Solution #3. Split Research and Teaching Budgets to Encourage Excellence

The Texas Solution #3 is focused on rewarding exceptional individuals in research and in education:

- (1) Separate budgets and reward systems will be created to pay teachers to teach and to pay researchers to conduct valuable research
- (2) Faculty with tenure would have the option of shifting to the new, more lucrative reward system but would not be required to do so
- (3) Departmental and college budgets would be based on the number of students taught and sponsored research dollars
- (4) Encourage a culture shift to performance pay

Discussion

The goal of Texas Solution #3 is to encourage excellence in research and teaching, but also encourage more transparency and accountability. The objective of Texas Solution #3 is laudable.

Currently, Florida Statute 1012.945 defines each full-time equivalent teaching faculty member duties in terms of a minimum number of classroom contact hours per week. The statute requires an accounting that distinguishes teaching and research and requires universities to develop and apply a formula designed to equate the time associated with these duties. It also recognizes full-time equivalent positions assigned to research, public service and administration. Annual reviews for faculty are based on assigned duties, which differentiate between the time associated with teaching, research and service. Faculty with instructional assignments are given research assignments precisely because it is the expectation that faculty research will inform teaching of cutting edge scholarship and creativity.

Most universities have a history of changing budget allocations based on changes in enrollments. A significant number of universities have already adopted a variant of the philosophy of Texas Solution #3 through a formal process of budgeting based on student credit hour generation and sponsored research dollars – essentially to define budgets based on the “income” generated by a department or a college. This budget model has various names, including Responsibility Center Management, Resource Based Budgeting, and Resource Centered Budgeting. This type of budgeting process was first implemented by Indiana University in 1987 in order to develop a formal means to distribute resources fairly and equitably. The University of Florida is one of the most recent adherents to this form of budgeting, also citing the goal of “promoting innovative and entrepreneurial activities that are financially viable.” More than 30 universities have adopted this budget model and so there are a significant number of lessons learned from their transition.

First, “pure” income based approaches will disadvantage some programs of high value. For example, music education has a high number of student contact hours which are not reflected as student credit hours from the classroom. Music tends not to be an area supported by significant sponsored research dollars. A pure income approach would, therefore, make it difficult to support music programs regardless of their excellence. Ohio State University, in implementing a pure income approach, also saw significant shifts in funding to the humanities from the sciences when the budgets were first implemented. First, every Ohio State student had more general education requirements in the humanities than they did in the sciences. General education courses generate a large number of student credit hours (large enrollments) and are viewed as the “cash cows” of resource based budgeting. Hence, the income generated from student credit hours was far greater in the humanities than in the sciences or engineering. Consider the fact that

engineering is not a required part of a general education in most universities. The science departments and engineering departments have limited potential to generate income from student credit hour generation. Individual science departments developed new general education courses to gain income, but they were actually involved in a zero sum game in competition with other science departments, since their resource potential was limited by the number of science credits required by all the non-science majors on campus. In addition, Ohio State recognized that the actual cost of teaching mathematics and laboratory science education was much higher per credit hour than the average course at the university. Essentially, the income from a universal tuition rate was too little to support science education but was more than sufficient to support humanities courses.

The disadvantages cited above can be mitigated through one of two mechanisms. First, a base budget allocation can be provided or a separate distribution of a state appropriation can be given to departments and colleges, specifically to ensure that a pure income model does not disadvantage STEM majors or areas of excellence whose inherent cost is higher than other majors. Many universities have taken this route. Second, universities can charge tuition that reflects the true cost of educating a student in a specific major. Majors that cost more (for instance, because of small lab sections) would have a higher tuition. In this case, a separate “base” allocation outside of a pure income model would not be required. Currently, Florida charges tuition rates that are the same for all majors regardless of their true costs of each major.

Most universities report challenges in implementing this type of budget model, but report success after making adjustments to protect important programs or compensate for inherent differences in the cost of delivery of a curriculum.

Florida Solution #3

Strategic Goal: Create a rewards system that reflects and encourages excellence in research and teaching.

- (1) Continue, as required by state law, the separate accounting of faculty time for research and teaching, and the evaluation of performance based on this accounting.
- (2) Base departmental and college budgets on student credit hour generation and sponsored research dollars, as well as other measures of contribution, with an effort to ensure that the true cost of education in specific majors is incorporated either by allocation or change in tuition rate, and provided the department is effective in educating its students (Florida Solution #1).
- (3) Reward departments as well as faculty for efficient and effective education of students.
- (4) Increase the emphasis on performance-based pay to enhance the recognition of excellence in research and teaching.

Texas Solution #4. Require Evidence of Teaching Skill for Tenure

The Texas Solution #4 is designed to ensure that teaching will be considered as an important qualification for tenure:

- (1) Require evidence of teaching skill for tenure
- (2) Customer (student) satisfaction ratings would be used to determine teaching effectiveness

Discussion

The goal of Texas Solution #4 is already recognized in practice at Florida State University. Student teaching evaluations are a part of the faculty record for promotion and tenure, and teaching skill is a requirement for achieving tenure. Faculty simply are not tenured without a record of success in the classroom. Student perceptions of teaching, however, are not the sole criteria for evaluating teaching excellence.

Although the philosophy of Texas Solution #4 is already in practice, the Texas plan provides much more stringent guidelines.

First, the Texas Solution #4 requires that 75% of new tenure appointments will be granted to professors who have proven that they can teach well by having taught on average three classes per semester and thirty students per class for the seven or more years that the teacher is on the tenure track. Although the Texas plan suggests that research will be enhanced because up to 25% of faculty who are tenured can be dedicated to research, some of the most extraordinary teachers are also excellent researchers. The Texas plan seems to force faculty to choose teaching or to choose research in order to gain tenure. Top tier universities like Florida State pride themselves on being able to bring cutting edge research into the classroom and into student-faculty interactions. Literally thousands of students are actively engaged in one-on-one research with faculty through classes called “directed individual study,” a key factor in generating interest in graduate study and preparing students for high-level jobs. We also ask faculty to demonstrate a teaching capability at multiple levels, including both large classes, classes directed at majors, and at the graduate level. The majority of graduate classes are smaller than 30 students. Many majors have lower enrollment, but are highly valued by employers. Upper division classes in such majors rarely have 30 or more students in a classroom. Other majors, such as music, dance, and other fine arts, rarely have 30 students in a class because the level of contact required between faculty and students. The Texas plan, by tying tenure to teaching particular class sizes, may tilt tenure to specific large enrollment majors, and eventually to faculty that teach lower level classes. Teaching effectiveness, as measured by student evaluations, pre and post testing, measures of persistence of knowledge, and post-graduation surveys would be a far better metric to assess teaching skill prior to the award of tenure.

Second, the Texas Solution #4 requires that the average teaching ratings must be a minimum of 4.5 on a 5.0 scale for seven years to award tenure. This ignores some critical realities. Few new faculty achieve the level of score required to receive above a 4.5 on their first classes – practice, experience, and mentoring translate to improved teaching skill. Consequently, to achieve tenure, the faculty member may have to significantly exceed the 4.5 score for all subsequent classes. In a class of 30, if 67% of the students rate a teacher with the highest possible score (5), and 27% of the students rank a teacher with a 4, it only takes two students (perhaps they have failed the course) who rate a teacher with a 1, for the teacher to have a score that is below 4.5. By any measure, a member of the faculty who achieves the highest score possible by two-thirds of the

students is performing well in the eyes of the students, yet this faculty member would not be eligible for tenure. Florida State University prides itself on commitment to teaching, yet our strongest evaluations (the “90% club” where 90% of student respondents give the faculty the highest score) recognize between 7 and 18% of faculty in any semester. Interestingly, summer courses have the lowest % of faculty in the 90% club. In contrast, 80% of faculty receive scores of excellent or very good. This data suggests that average scores of 4.5 and above may be difficult to achieve, especially for new faculty.

Florida Solution #4

Strategic Goal: Ensure that teaching excellence is required for tenure.

- (1) Require a breadth of evidence of teaching skill and effectiveness for tenure
- (2) Customer (student) satisfaction ratings are one tool to determine teaching effectiveness, but evaluations should include other significant measures, including persistence of knowledge, pre and post testing of knowledge, and post-graduation surveys.
- (3) Undertake a systematic, on-going review of teaching performance in pre-tenure faculty and continue assessments as a part of meaningful post-tenure review of faculty.

Texas Solution #5. Use “Results-Based” Contracts with Students to Measure Quality

The Texas Solution #5 is designed to require contracts between Deans, department heads, and teachers so that the promises of each degree program are clearly stated to every student:

- (1) Universities will provide each applicant with a “learning contract” that discloses, at a minimum:
 - a. The graduate rate, placement rate and average starting salaries for each student with equivalent entering test scores and major
 - b. The average class size
 - c. Teaching evaluations for the faculty who will be teaching their classes
 - d. Grade distributions
 - e. The skills, tools and lessons that the curriculum is designed to transmit
 - f. How education value will be measured
- (2) Teachers will provide for each student enrolling in a course a classroom learning contract that discloses, at a minimum:
 - a. The skills, tools and lessons that the course is designed to transmit
 - b. The grading policy for the course
 - c. The method that the students will use to evaluate the course and the teacher on whether the learning promise was met.
- (3) Students and teachers must sign a copy of the contract.

Discussion

Although the use of the term “contract” begs the question of whether universities will be subjected to a barrage of litigation, many universities (including Florida State University) are actively moving toward providing the information outlined in Texas Solution #5 and are providing information that serves as a “compact” with the students. Florida’s State Board of Governors has directed each university to develop Academic Learning Compacts (ALCs). Florida State University goes beyond this requirement by providing students with a more extensive Academic Program Guide. For each of the majors in the guide, students have access to:

- a) a detailed program description
 - a. Description of the major
 - b. All requirements for completion
 - c. Competency requirements
 - d. Minimum program requirements
 - e. Employment information
- b) an academic map that is designed to promote timely graduation and a full understanding of all pre-requisites
 - a. Schedule of courses for 8 terms that will enable graduation, with completion of all requirements in 4 years
 - b. Milestones required (e.g. a GPA requirement or pre-requisite)
- c) a link to the department
- d) access to the Academic Learning Compact
 - a. Learning expectations
 - b. Assessment to determine how well the student learning matches those articulated expectations

At Florida State, only a limited set of information in Texas Solution #5 is not currently provided to students. First, the university has access to starting salaries for only a portion of its students. Second, the university maintains class size information but we have not posted this information by major although there is no reason not to do so. Third, teaching evaluations at FSU are currently protected by collective bargaining agreement, but many peer universities are releasing summary data. Finally, grade distributions are not released, but these are a topic of statistical analysis to assess university performance and there is no reason not to release such information.

Florida Solution #5

Strategic Goal: Ensure that students can understand expectations, understand how they will be measured, and are enabled to complete degree requirements in a timely fashion.

- (1) Expand the Academic Learning Compacts with students and the Academic Program guide to include additional characteristics of programs (class sizes, teaching evaluation summaries, grade distributions, and employment data where available).

Texas Solution #6. Put State Funding Directly in the Hands of Students

The Texas Solution #6 is designed to change the allocation of higher education funding by directing money to students – making students the real customers, providing universities with a new incentive to compete for students, and by increasing access by demystifying the cost of college.

- (1) Provide each in-state student with a scholarship for undergraduate and graduate education – they lose the resources if they don't go to college
- (2) Fund scholarships using current direct appropriations to universities
- (3) Increase college access by marketing the scholarships in middle school
- (4) The scholarship is not financial aid – all students get the same dollar amount; need-based aid is in addition to the state appropriation to each student
- (5) Encourage timely graduation by capping the number of credit hours

Discussion

Some states, including Florida, already provide some funding directly into the hands of students. Bright Futures scholarships essentially put scholarship funds directly in the hands of more than 175,000 college-bound high school students. The lowest level award in Bright Futures (Gold Seal) has a minimum GPA of 3.0 and minimum combined scores on the SAT in critical reading and in math of 980. These minimums promote access through scholarships to Florida's colleges and universities for a large number of state students. Bright Futures has demonstrably increased the number of students staying in-state to go to college and has increased access to college. Bright Futures also has restrictions on the number of credits that will be funded and is applicable for only 5 years, in both cases to encourage timely graduation.

In many ways, Florida's Bright Futures program is a model for placing taxpayer dollars directly in the hands of students and places Florida ahead of Texas in implementing Solution #6.

It is also interesting to examine where Bright Futures students attend university. The distribution of Bright Futures students is overwhelming focused on Florida's tier-one research universities that provide comprehensive academic programs and bring cutting edge research into the classroom. The distribution of scholars also mirrors the national rank of the institution. The indices used to rank U.S. universities include: incoming student test scores and grade point averages, freshman retention rate, financial resources for the faculty, student-faculty ratios, peer rankings, graduation rate, predicted graduation rate based on student scores vs. actual graduation rate, grants and contracts to faculty, faculty awards, and alumni giving rate. It is instructive that colleges and universities that promote high teaching loads for faculty and large class sizes are not the choice of students that have state funding directly placed into their hands. Texas Solutions 1-3, if implemented as stated, appear to be counter to creating universities that effectively compete for students in the marketplace.

Florida Solution #6

Strategic Goal: Make sure students are true partners in the educational process.

- (1) Expand the Bright Futures scholarship program while maintaining strict standards on credit hours allowed and years to complete the degree to promote timely graduation

- (2) Increase the incentives to complete degrees in 4 years, as well as use Bright Futures scholarships and accelerated credits to acquire a Masters Degree in 4 years.

Texas Solution #7. Create Results-Based Accrediting Alternatives

The Texas Solution #7 is designed to support the creation of a new results-based national accrediting process to replace a current system that is based on inputs or processes.

- (1) Establish a Securities and Exchange Commission model for accreditation
- (2) This outcomes-based approach focuses on results, not the inputs and processes
- (3) Texas Universities could participate in a pilot while staying under SACS accreditation

Discussion

Accreditation has traditionally focused on inputs and demonstration that appropriate processes are being followed, in large part because these are the easiest measures to collect and to evaluate. Over the last seven years, accreditation has increasingly centered on utilizing data on student learning outcomes to improve student programs, although substantial amounts of information collected is still focused on inputs and processes. Quality of programs is much more difficult to assess. Outcomes-based approaches provide greater evidence for quality.

Florida Solution #7

Strategic Goal: Improve universities by creating a results-based accrediting system.

- (1) Establish an alternative model for accreditation or act to make SACS accreditation more outcomes-based.
- (2) This outcomes-based approach should focus on results, and less extensively on inputs and processes
- (3) Florida Universities could participate in a pilot while staying under SACS accreditation

An additional Breakthrough Solution.

The Texas Solutions are focused primarily on the performance of the individual teacher, and then on empowering students by magnifying the importance of student evaluations, creating contracts with students, and by placing state appropriations directly in the hands of students. The only direct mention of quality in the Texas Solutions occurs in the title of Texas Solution #5, where it refers to the measurement of quality. The proposed Florida version of these solutions presented above, argues for both efficiency and effectiveness at all levels of an institution, and presents a broader set of accountability standards. Even so, these solutions fail to incentivize universities to compete at a national and international level.

Most public education institutions have a growing burden of regulations and restrictions, combined with decreased funding, that limit their ability to compete in the marketplace. Several states are addressing this issue by exchanging increased flexibility in managing finances and operations for clear, measureable and unambiguous accountability in meeting the state's needs. By relaxing regulations and rules in exchange for accountability, these states are attempting to create more nimble universities that are more competitive nationally. There are already several examples:

The State of Virginia signed the Restructured Higher Education Financial and Administrative Operations Act to enable the University of Virginia, Virginia Tech, and the College of William and Mary to become charter universities, granting them increased autonomy in exchange for a much higher level of accountability in meeting the needs of Virginia's citizens. The Governor of Ohio and the Chancellor of the Ohio University System have proposed to create "Enterprise Universities," to "free our great universities from burdensome, duplicative, and sometimes outdated laws that restrict universities' abilities to innovate as entrepreneurial enterprises." This mandate relief is associated with increased accountability and productivity expectations for the universities, as well as a Preeminent Scholars Award Foundation focused on keeping the brightest students in-state.

Areas discussed as offering increased autonomy for universities include:

- Ability to buy and sell property
- Exemptions from state construction procurement requirements
- Exemptions on state purchasing requirements
- Review of rules and regulations requiring the preparation of numerous reports to determine their need
- Ability to set different tuition and fees
- Ability of a Board of Trustees to go into executive session
- Ability of universities to self-insure
- Explicit authority for the Board of Trustees to purchase, sell, lease, and grant easements
- Ability to set tuition based on actual costs of academic programs
- Ability to develop Human Resource structures and employee incentive programs
- Increase in bid limits
- Ability to issue debt

Areas discussed as requirements to achieve increased autonomy (for example the Ohio plan names 9 benchmarks for which universities need to exceed 7 in order to be eligible):

- Exceed a benchmark for freshman retention rate
- Exceed a benchmark for 5-year graduation rate
- Endowment assets above a threshold (a % of total operating expenses)
- Exceed a benchmark for unallocated funds
- Exceed a benchmark for research expenditures (e.g. Carnegie Tier-One status)
- STEM degree production rate
- Affordability or accessibility (e.g. % of budget allocated to need-based aid or tuition benchmarks to peer institutions, or tuition growth relative to the CPI)
- Articulation agreements with community colleges
- Exceed a benchmark for participation in internships

Florida Solution #8

Strategic Goal: Incentivize universities to compete at a national and international level.

- (1) Establish Enterprise Universities, releasing universities from costly mandates in exchange for greater accountability, and as a reward for reaching benchmarks that demonstrate excellence
- (2) Build technology-rich university experiences in which all students acquire the tools to succeed in the 21st century
- (3) Incentivize increased deployment of professional degrees and post-graduate activities integrated with business and educational opportunities