


MEMORANDUM

TO: College Dean

FROM: Brenda J. Claiborne 
Provost and Chief Academic Officer

DATE: May 31, 2012

SUBJECT: PROMOTION AND TENURE FOR 2012-2013

Once again it is time to consider promotion and tenure of faculty members. This is one of the most important deliberations that a faculty undertakes. The decisions that are made have a very long-term impact on both the university and the individual. Thus careful preparation is needed for portfolios and letters of recommendation, as are diligent evaluative efforts on the part of all individuals involved in the decision process. To facilitate decisions at all levels, the chairperson's/director's and dean's letters of recommendation should be in adequate detail to insure a presentation of the relationship between the academic assignment and accomplishments. Evaluations should be conducted in accordance with appropriate criteria.

Portfolios for tenure, tenure and promotion, and promotion follow the same time lines and are reviewed by the appropriate committees during the same time frame. If a candidate is applying for both tenure and promotion, the applications may be considered at the same time but they require separate votes, one for tenure and one for promotion. If a candidate is applying for both tenure and promotion to Associate Professor, the review and vote on the promotion must precede the vote on tenure, since no candidate who does not meet the relevant criteria for promotion to Associate Professor is eligible for tenure.

Included in this document please find:

1. University Promotion and Tenure Portfolio Preparation
2. Promotion and Tenure Time Lines
3. Certification of Promotion and Tenure Portfolio Documentation
4. Guidelines for Appointment, Promotion and Tenure of Faculty.
5. Principles for Creating Criteria and Standards for Promotion and Tenure

If you have any questions on any of this material or need assistance, please contact Diane Alperin at 561-297-2959 or by email alperind@fau.edu.

UNIVERSITY PROMOTION AND TENURE PORTFOLIO PREPARATION

April 2012

INTRODUCTION

The attached materials provide the outline and instructions for the preparation of promotion and tenure portfolios for 2012-2013. All participating parties are encouraged to review the *Guidelines for Appointment, Promotion and Tenure of Faculty* and the *Principles for Creating Criteria and Standards for Promotion and Tenure* for information on the process to be used and the responsibilities of all parties. Candidates should also review the promotion and or tenure documents of their own unit (i.e., college, department, school, Library, FAUS, HBOI).

It should be noted that:

Prior to the consideration of the employee's promotion (or tenure), the employee shall have the right to review the contents of the promotion (or tenure) file and may attach a brief response to any material therein. **It shall be the responsibility of the employee to see that the file is complete. Misrepresentation of the candidate's record in the portfolio, either by false information or omission of information, will result in disciplinary action, which might include termination.**

THE PROMOTION/TENURE PORTFOLIO

The candidate shall prepare two copies of the portfolio. Each should be bound in a single loose-leaf binder.

Materials are to be bound (loose-leaf style) in the order listed below, with indexed separations. If the college or department requires another kind of ordering please rearrange prior to submission to this office. Do not include material other than that requested. Label the spines of all binders with the applicant's name and college; on the same label, indicate the nature of the application (e.g., tenure, promotion to Associate Professor). Do not put pages in plastic sleeves as this makes the folders too bulky.

Any packets delivered to Academic Affairs that fail to meet the stated requirements will NOT be accepted for consideration.

SUPPLEMENTARY PORTFOLIO

As a supplement to the portfolio, the candidate shall prepare a packet that includes examples of his or her accomplishments in scholarship, research and/or other creative activity. The label on the spine should have: the candidate's name; college or unit; the nature of the application (e.g., tenure, promotion to Associate Professor). It should include a copy of his or her most significant books, journal articles, etc. When appropriate, the packet may include material that requires viewing or listening. If A/V equipment is necessary, please be sure to indicate this on the label of the spine of the supplementary portfolio. If possible, the material shall be placed in a loose-leaf binder. This binder may include plastic sleeves to hold material; it may also include envelopes to hold books or tapes. Candidates should make every effort to ensure that the material in this supplementary portfolio is bound securely. Only a single copy of this supplementary portfolio is requested.

Some candidates may choose to add additional sections on instruction and service/administration to their supplementary portfolio. These additional sections would provide documents relevant to sections five and seven of the promotion/tenure portfolio. These additional sections would be necessary only for those with

unusual assignments to instruction and/or service or those whose cases for promotion/tenure rely heavily on their accomplishments in these areas. The inclusion of selective, positive comments from students does not necessarily enhance the portfolio. Written comments from SPOT forms do not enhance the portfolio and generally should only be included if helpful to improve the candidate's portfolio. If, however, a candidate wishes to include these, they should be in the Supplementary Portfolio only.

**THE ORDERING OF MATERIALS IN THE PROMOTION/TENURE PORTFOLIO
(Refer to following pages for explanation)**

1. Certification of *Completeness of Promotion and Tenure Portfolio Form*
(This form is on last page of this document - must be signed and included in portfolio.)
2. Status letter(s)
3. Up-to-Date Vita
4. Annual Assignments
5. Instruction (Table; SPOT summary reports; Peer evaluation of teaching materials and classroom instruction)
6. Scholarship, research and/or other creative activity
7. Assigned service and/or administrative activity
8. Self-evaluation (candidates for promotion to Professor must state their area of distinction)
9. Letters of Recommendation from independent evaluators
10. Report of the Department/School
11. Chairperson's/Director's letter
12. Report of the College Promotion and Tenure Committee
13. Dean's letter
14. Department/Unit Criteria for Promotion and Tenure
15. Annual Employee Performance Evaluations
16. Third Year Review Reports
17. Optional:
 - A. Tenure and/or Promotion Appraisals
 - B. Replies to any Material in the Portfolio

EXPLANATION OF ABOVE LISTED ITEMS

1. Certification of Completeness of Promotion and Tenure Portfolio Form

Contained on the last page of this document is the *Certification of Completeness of Promotion and Tenure Portfolio Form* that the candidate signs and declares that the P&T Portfolio file is complete. The candidate must address all the required materials listed below (Items 1 – 16) to obtain a complete document. In addition to the candidate's signature, the P&T departmental and/or college representative are to review the file for completeness and also sign off on the Certification of Completeness Form on the last page. This is an important task for the candidate as Promotion and Tenure Committees will not review incomplete files.

2. STATUS LETTER

The candidate's appointment letter must be included. If there are letters or memoranda that document promotion and tenure, years awarded toward tenure and promotion, and delay of the tenure clock, etc., these need to be included here.

3. UP-TO-DATE VITA, with sequentially numbered pages.

In that section of the vita devoted to Research and Other Creative Activity, please

A. Provide complete citations

B. Categorize as follows unless the nature of the scholarly activity requires additional categories:

Refereed Works

Journal publications

Book and chapters in books

Presentations

Other publications

Contracts or Grants Received

Non-Refereed Works (categorize as above)

Proceedings (categorize as above)

All citations need to clearly indicate the status: Published; Accepted, Not Published; Submitted for Review.

4. COPY OF ANNUAL ASSIGNMENTS:

These should be included for the period under consideration. For promotion to Professor, they should cover the period from promotion to Associate Professor or, if appointed as Associate Professor, years at FAU. For promotion to Associate Professor, they should cover the years as an Assistant Professor at FAU.

The Chairperson has the responsibility, if requested, to assist the faculty member in obtaining copies of Annual Assignments.

5. INSTRUCTION: Classroom teaching, dissertation/thesis committees, senior projects, advising of student clubs; curriculum and course development; peer evaluation; professional development of teaching; other

documentable contributions to the quality of instruction at the university or in the profession. Provide this information for the entire period under consideration for promotion to Associate Professor and tenure; applications for promotion to Professor should provide this information for the period since promotion to Associate Professor.

Provide the information in the following order. Include only the information as requested; if necessary, additional documentation can be provided in the supplementary portfolio. Mandatory categories are indicated with an asterisk*.

- A. Teaching and/or Advising Awards. Explain the nature of the award and the selection process.
- B. Quantitative data on teaching*. At a minimum, for the years under consideration, this section must include the summary item (before Fall 1999, item 17; Fall 1999, Spring 2005, item 8) from Student Perception of Teaching (SPOT). For faculty using the Distance Education SPOT, item #18 was the appropriate summary item. During the 2005-2006 academic year, a new SPOT form came into use; items #20 and 21 became the summary items for SPOT at that time; items #16 and #17 became the summary items for the Distance Learning SPOT. For Distance Learning SPOT, average response rates and scores of SPOTs for other Distance Learning courses in the college should be included.

Candidates who have recently been appointed to the FAU faculty should present the results of student evaluations conducted at their prior place of employment. If department/school or college instruments for student evaluation of instruction differ from those adopted by the university, they should be included if they are to be considered in the evaluation process. Be certain to explain the form, the results of other items that may be included in the table, discussed in addenda to the table, or presented in other tabular form.

Scores on evaluations should be compared to appropriate summary statistics. Department/school or college means may not be useful bases of comparison if courses vary widely in their sizes (e.g., seminars and mass lectures) and missions (e.g., advanced courses for major, courses in the lower-division core curriculum). If asked, chairs/directors and deans should provide any data that are reasonable and necessary for purposes of comparison.

SPOT summary sheets for each course taught during the period under consideration should also be included in this section.

SAMPLE TABLE CONCERNING TEACHING AND EVALUATION*

Semester	Title	Description	No. Enrolled	Required Elective	Credit Hours	Campus	Student Evaluation Results/# Responding (Scale is from a low of 5 to a high of 1)	Department Or College Mean	Other Means of Evaluation Including Peer if Available	Grad. Asst. Help
Fall 2011	Family Violence	SOW 4141	31	E	3	BOCA	Item 20: 2/26 Item 21: 2.0/26	1.9** 2.0	YES****	No
Fall 2011	Intro to Health Care Systems	HSA 6103	15	R	3	BOCA	Item 20: 1.5/15 Item 21: 2.0/15	2.2*** 2.0	NO	Yes

Intro to Health Care Systems

* Insert Additional columns as needed along with explanation of evaluation system.

** Department Mean for all Upper Level courses.

*** Department Mean for all Graduate courses.

**** Describe evaluation, for example: outside expert brought into observe three classes or peer evaluation of classes reported by letter in Section 9. Evaluated as excellent.

SAMPLE TABLE CONCERNING CHAIRING OR BEING A MEMBER OF THESIS, DISSERTATION, SENIOR PROJECT, ETC., COMMITTEES

THESIS COMMITTEES		
SEMESTER/YEAR	ROLE/NUMBER/TYPE	NOTES
Fall 2011	Chaired 2 MFAs Served on 3 MFAs	One MFA graduated
Spring 2011	Chaired 2 MFAs Served on 2 MFAs	One MFA graduated One MFA graduated
DISSERTATION COMMITTEES		
Fall 2011	Served on 1 Ph.D. Chaired 1 Dissertation	Comparative Studies One Ph.D. student graduated

- C. **Peer Evaluation***. This section must include a minimum of two recent peer evaluations, as appropriate to the discipline, department/school and college. Peer evaluations should be recent, conducted within two years of submission of the portfolio. Provide a brief explanation of the unit’s procedure for peer review of teaching.

- D. If necessary and appropriate according to the candidate’s assignment and/or the relevant criteria for promotion and/or tenure, provide information on course or curricular development, professional development of teaching, and other instructional activity such as student clubs, etc. If this section is included, it should be limited to a two page (double-spaced) overview of such activities for the typical applicant for Associate Professor. Applicants for promotion to Professor may provide an overview of no more than five double-spaced pages. Additional documentation, if necessary, may be included in the supplementary portfolio.

- E. Advising

6. SCHOLARSHIP, RESEARCH AND/OR OTHER CREATIVE ACTIVITY

This section is an annotated version of the parallel section of the candidate’s vita. It should provide detailed information on each published or exhibited work including, if appropriate to the discipline, presentations at conferences and symposia. This information should permit a colleague outside of the candidate’s field to evaluate the candidate’s accomplishments in his or her discipline(s). **For all publications, including electronic media, the candidate should explain: the type of refereeing used (e.g., blind peer review; reviewed by an editorial board; solicited by the editor); the type of journal or press (e.g., “The official publication of the National Association of XXXX”), an on-demand publisher.** For creative activities, the candidate should provide information on the significance of the venue or exhibition in which the work appeared. If the department/school considers scholarly creative work for which some payment is received as part of the review, this should be explained here. This information should be sufficiently detailed to

permit an out-of-discipline colleague to evaluate the significance of the performance or other creative activity.

Complete information must be provided on all publications, including page numbers and publication dates. If any work has multiple authors, the candidate should explain his or her role (e.g., co-author, senior author). This is particularly important in those disciplines in which it is necessary to establish one's self as an independent scholar or researcher prior to tenure and/or promotion. If multi-disciplinary/collaborative work is important to the unit, this needs to be addressed here. If there is any question about the candidate's role, documentation of it should be provided.

Include critical reviews of your work if they exist. (Candidates may attach a concise commentary to the review.)

Include letters of acceptance for any forthcoming work.

Documents substantiating the acceptance of a manuscript for publication, the publication of a manuscript, or the awarding of a grant or contract that were referenced in the original submission of the portfolio, may be added to the portfolio at any time PRIOR to the review of the portfolio by the University Promotion and Tenure Committee. Documents should be submitted up through the Chair/Director, College Promotion and Tenure representative, and Dean to the Associate Provost of Academic Personnel. The document will be date-stamped and added to the front of the portfolio.

7. **ASSIGNED SERVICE** to institution, profession, community and public schools. Include a table that provides an overview of these activities for each academic year under consideration; indicate which activities (if any) were supported by a reduced teaching assignment. Be sure to indicate your role in the activity (e.g., chair, member) and the approximate amount of time required by it (e.g., "three hours a week").

If the table is not self-explanatory, the candidate may include a brief (typically, no more than five double-spaced pages) narrative with additional information about service activities. This narrative should explain each activity, if it is not clear from the table. If possible, this narrative section should refer to evidence of the quality of the candidate's work. This is particularly important if service was a significant part of the candidate's assignment. Additional documentation, if necessary, can be included in the supplementary portfolio.

SERVICE: 2010-2011

DEPARTMENT	ROLE	TIME COMMITMENT / RELEASE TIME	SEMESTER
Faculty Search Committee	Member	1 hour weekly	Spring
Master's Program	Coordinator	5 hours weekly	Fall and Spring
COLLEGE			
Faculty Assembly	Secretary	2 hours weekly; release time (one course)	Fall and Spring
UNIVERSITY			
Faculty Senate	Member	3 hours monthly	Fall and Spring
Commencement	Marshall	4 hours total	Spring
COMMUNITY			
Community Center Advisory Committee	Member	3 hours total	Fall

PROFESSION			
Journal	Peer Reviewer	6 hours total	Spring
National Organization	Elected Representative	1 hour monthly	Fall and Spring

8. A SELF-EVALUATION of no more than eight double-spaced pages. This self-evaluation should be explicit about the condition of the application and use the candidate's accomplishments to explain how he or she has met the appropriate criteria for promotion and/or tenure. Candidates for promotion to Professor must state the area of distinction. It should be written in terms easily understood by out-of-discipline colleagues. Reference should be made to the following areas:

- A. Instruction
- B. Scholarship, research and/or other creative activity
- C. Service
- D. Academic pursuits and accomplishments relevant to but not included in the above categories

9. LETTERS OF EVALUATION addressed to the Chairperson of the Department/Director of the School (who must provide copies to the faculty member).

A. At a minimum, five current letters from referees outside this university, who are at the rank the candidate is aspiring to or higher. A list of potential referees should be compiled by the Chair/Director and the senior faculty (Professors & Associate Professors) in the discipline. The candidate should have the opportunity to review the list for any conflicts of interest. These should be letters from independent experts in the field who can evaluate the faculty member's work; **letters from co-authors, dissertation advisors, and personal friends rarely are appropriate.** The chair's/director's letter should request **a brief vita or summary of each referee's credentials**; this should be appended to the letter from the evaluator, along with a brief explanation of why these persons are appropriate as evaluators of their work. A copy of the department chair's/director's letter requesting evaluations should be included in the portfolio, along with a list of all those who were solicited for letters and who identified them as potential referees (the chair, the senior faculty or the candidate); no more than two referees should be from the list submitted by the candidate. Such letters should clearly identify the purpose for which the evaluation is being requested (e.g., "for promotion to Professor") and the nature of the evaluation requested ("review the publication record"). It is often useful to include a copy of the relevant criteria or to describe the candidate's assignment (e.g., "while teaching three courses a term").

B. If required, a maximum of two letters from colleagues within the university may be included. If internal letters are included, they should especially evaluate the quality of the candidate's service to the institution. The chair's letter should request **a brief vita or summary of each referee's credentials**; this should be appended to the letter from the evaluator, along with the candidate's brief explanation of why these persons are appropriate as evaluators of their work. A copy of the department chair's/director's letter requesting evaluations should be included in the portfolio, along with a list of all those who were solicited for letters and who identified them as potential referees (the chair, the senior faculty or the candidate). Such letters should clearly identify the purpose for which the evaluation is being requested (e.g., "for promotion to Professor") and the nature of the evaluation requested ("review the service to the university"). It is often useful to include a copy of the relevant criteria or to describe the candidate's assignment (e.g., "while teaching three courses a term"). Candidates are encouraged to include a brief statement of why these colleagues are appropriate as evaluators of the work should be included. The most useful letters will be those from

colleagues who have worked closely with the candidate on some committee or other institutional project. **Letters from junior colleagues in one's department/division are rarely appropriate.**

C. All letters solicited by the chairperson are to be included and only these letters should be included.

10. **REPORT OF THE DEPARTMENT/SCHOOL.** A memorandum reporting the numerical results of the poll of the faculty eligible to vote on tenure and promotion portfolios in the department/school shall be sent to the Chair/Director, with a copy to the faculty member. The written report shall preserve the anonymity of the committee members but shall also convey, as best as can be discerned, **the reasons for the vote.** Faculty members should only abstain from voting when there is a conflict of interest.

The candidate may attach a brief response within 5 days of the receipt of the added material. The portfolio cannot move forward for 5 days after the candidate has received the report, unless, before the 5 day period has expired, the candidate indicates there will be no response.

11. **CHAIRPERSON'S/DIRECTOR'S LETTER,** a copy of which is to be sent to the faculty member and is to include:

A. The Chairperson's/Director's recommendation (a clear statement of support or non-support) including, if appropriate, an explanation of any special conditions of the application.

B. **A detailed analysis and evaluation of the work of the faculty member.** The record is to be evaluated in keeping with the appropriate approved criteria and written so as to be easily understood by out-of-discipline colleagues, and is to include consideration of annual assignments and performance evaluations regarding:

1. Teaching effectiveness

- a. consideration of effectiveness in imparting knowledge and skills in stimulating students' critical thinking and/or creative abilities;
- b. clear explanation of the nature and meaning of student evaluations and a comparison of the candidate's scores to all other members of the department;
- c. explanation, description, and meaning of other tools used for evaluating teaching effectiveness.

2. Scholarship, research and other creative activity

- a. published books, articles and papers; musical compositions; paintings, sculpture; works of performing art; papers presented at meetings of professional societies; and research and creative activity that has not yet resulted in publication, display or performance.
- b. An explanation and other appropriate information on the quality and/or ranking of publication and creative activity outlets.

3. Service that is related to and furthers the mission of the university (if appropriate, please include a statement as to how the department/school views service for junior faculty).

4. Other assigned university duties and responsibilities.

The candidate may attach a brief response within 5 days of receipt of the added material. The portfolio cannot move forward for 5 days after the candidate has received the letter unless, before the 5 day period has expired, the candidate indicates there will be no response.

12. REPORT OF THE COLLEGE PROMOTION AND TENURE COMMITTEE

A memorandum reporting the numerical results of the poll of the College Promotion and Tenure Committee, a copy of which is to be sent to the faculty member. The written report shall preserve the anonymity of the committee members but shall also convey, as best as it can be discerned, **the reasons for the vote**. Faculty members should only abstain from voting when there is a conflict of interest.

The candidate may attach a brief response within 5 days of receipt of the added material. The portfolio cannot move forward for 5 days after the candidate has received the letter unless, before the 5 day period has expired, the candidate indicates there will be no response.

13. **DEAN'S LETTER OF EVALUATION.** The record is to be evaluated in keeping with the approved criteria. The letter, a copy of which is to be sent to the faculty member, is to include:

- A. The Dean's recommendation (a clear statement of support or non-support) including, if appropriate, an explanation of any special conditions of the application.
- B. A **detailed** discussion of supporting evidence for the recommendation based on, but not limited to:
 - 1. Teaching effectiveness
 - 2. Scholarship, research and other creative activity
 - 3. Service that is related to and furthers the mission of the university (if appropriate, please include a statement as to how the college views service for junior faculty)
 - 4. Other assigned university duties and responsibilities

The candidate may attach a brief response within 5 days of receipt of the added material. The portfolio cannot move forward for 5 days after the candidate has received the letter unless, before the 5 day period has expired, the candidate indicates there will be no response.

14. A copy of the **DEPARTMENT AND/OR UNIT PROMOTION AND/OR TENURE CRITERIA** as approved by the university. The chairperson/director has the responsibility, if requested, for providing the faculty member a copy of the current Promotion and Tenure Criteria.

15. **ANNUAL EMPLOYEE PERFORMANCE EVALUATIONS** for the period under consideration. The chairperson/director has the responsibility, if requested, to assist the faculty member obtain copies of Annual Evaluations.

16. **THIRD YEAR REVIEW REPORT FOR TENURE** A copy of the third year report and any corrective action plans or other feedback is to be submitted in this section. Chair/Director must assist in providing a copy of the written assessment and plan of action provided to the candidate at the time of the Third Year Review.

17. **OPTIONAL:**

- A. Tenure and/or Promotion Appraisals. If requested, Chair/Director must assist in providing copies of these materials.
- B. Replies to any material in the portfolio.

FLORIDA ATLANTIC UNIVERSITY
PROMOTION AND TENURE TIME LINES

2012-2013

December 7, 2012	Portfolios to the Office of the Provost for review by the University Committee
March, 2013	University Committee recommendations to the Provost
April, 2013	Provost recommendations to the President
May, 2013	President certifies to FAU BOT that all procedures in University Regulation 5.006 (Tenure Procedures) have been followed.

PLEASE STRUCTURE COLLEGE TIME LINES TO INSURE COMPLIANCE WITH THE DECEMBER SUBMISSION TO THE OFFICE OF THE PROVOST. THE NAME OF THE CHAIRPERSON OF EACH COLLEGE PROMOTION AND TENURE COMMITTEE IS TO BE PROVIDED TO ERMA BENNETT (EMAIL [-EBENNE12@FAU.EDU](mailto:EBENNE12@FAU.EDU)) IMMEDIATELY UPON FORMATION OF THE COMMITTEE.

CERTIFICATION OF PROMOTION AND TENURE PORTFOLIO DOCUMENTATION

1. Signed *Certification of Completeness of Promotion and Tenure Portfolio Form* (last page)

2. Status Letter

Appointment letter. Other letters/memoranda documenting promotion and tenure, years toward tenure; delay of tenure clock; etc.

3. Up-to-Date Vita

4. Annual Assignments

University/College Forms

5. Instruction

Materials documenting instruction. Must include Tables for Teaching and Evaluation (see sample in Guidelines for Portfolio Preparation) and Table for Thesis/Dissertation Committees (see sample in Guidelines), if applicable, and SPOT summary sheets. **Must include documentation of peer evaluation of instruction.**

6. Scholarship, research and/or creative activity

Materials documenting accomplishments in this area. Must include critical reviews of work and letters of acceptance for any forthcoming work, if applicable.

7. Assigned service

Materials documenting service. Must include Table indicating the activity, your role, amount of time required and indication of release time, if applicable.

8. Self-Evaluation

9. Letters of Evaluation

- a. At a minimum, three current letters from referees outside the university. Must include a copy of the Chairperson's/Director's letters requesting the external review and a **brief** vita or summary of the referee's credentials.
- b. If required, a maximum of two current letters from colleagues within the university. Must include a copy of the Chairperson's/Director's letters requesting the review and a **brief** vita or summary of the colleague's credentials.

10. Report of the Department/School

11. Chairperson's/Director's Letter

12. Report of the College Promotion and Tenure Committee
13. Dean's Letter
14. Department/Unit Criteria for Promotion and Tenure
15. Annual Employee Performance Evaluations
16. Third Year Review Report
17. Optional

- A. Tenure and/or Promotion Appraisals
- B. Replies to any Material in the Portfolio

Certification of Completeness of Promotion and Tenure Portfolio Form

*I have reviewed this promotion and tenure portfolio on _____
Date
 and certify that all of the above materials that are required and applicable are included.*

Please Sign Below:

Signature of Candidate

Date _____

Signature of the College P and T Representative

Date _____

Signature of the Departmental P and T Representative (if applicable)

Date _____

Guidelines for Appointment, Promotion and Tenure of Faculty

- ☛ **Introduction**
- ☛ **Tenure**
- ☛ **Guidelines for Faculty Appointments & Promotion**
- ☛ **Procedure for Granting Promotion and/or Tenure**
- ☛ **Right of Response**

INTRODUCTION

This document provides general guidelines for departments/schools and colleges concerning the appointment, promotion, and granting of tenure to faculty.

Criteria for appointment, promotion, and tenure are focused on achievements and promise in the areas of Instruction, Research, Scholarship and Creative Activity, and Service. Criteria and standards shall be written by the colleges and departments/schools following the principles described in Principles for Creating Criteria and Standards for Promotion and Tenure, available on the web page from the Office of the Provost and Chief Academic Officer. Criteria shall become effective only after adoption by the Provost and his/her designees. When new criteria are adopted and approved, faculty submitting applications for tenure or promotion within the subsequent three years may choose to be evaluated based on the old or the new criteria. Therefore, only the new criteria will apply.

Tenure and promotion decisions are among the most important decisions made by faculty. These decisions impact the lives of the candidates and the future of Florida Atlantic University. Candidates need to consider this as they assemble their portfolios for review by their colleagues. Faculty, as colleagues, need to consider this as they are afforded the opportunity to review portfolios, participate in the deliberations, and vote.

TENURE

Tenure at Florida Atlantic University is the recognition that the person so honored is an established member of the academic profession, possessing a terminal degree or qualification appropriate to the discipline, and having clearly demonstrated the commitment and ability to continue to be a scholar, contributing to the field of knowledge through original work and quality teaching in the best traditions of the professorate. A candidate for tenure will also have a demonstrated commitment through service to the University and, if appropriate, the community and profession. In making tenure recommendations, faculty should keep in mind that the successful candidate for tenure will assume what may be an appointment of 30 years or more in the department/school/college.

Tenure shall be considered during the sixth year of continuous service unless the candidates letter of offer contains prior service credit. If the employee was credited with tenure-earning service at the time of hire, they may request that all or a portion of such credit be withdrawn once, prior to formal application for tenure to the department. This requires a written request from the candidate, a recommendation from the supervisor and dean, and approval of the Associate Provost of Academic Personnel.

A decision to submit a portfolio for tenure earlier than the sixth year needs to be made by the candidate in consultation with the chairperson/director, senior faculty (Professors and Associate Professors) and the Dean. The final decision is made at the college level. Once the decision is made, no further justification in the portfolio is required. No candidate may submit a portfolio for tenure more than twice.

If the employee began employment at mid-year, the letter of offer needs to specify if tenure application will cover 4.5 or 5.5 years of service at the University. A faculty member may also request delay of review of their tenure portfolio for special health or family issues, as well as taking compensated or uncompensated leave. In all instances, the request needs to be approved by the Associate Provost, Academic Personnel (as the President's representative), after receiving support of the Chair/Director and the Dean. The University has no quotas for the granting of tenure.

Tenure implies a lifelong commitment of the institution to the person. The awarding of tenure is not a simple summing of annual evaluations. The awarding of tenure is based upon the judgment that the person will have a lifelong commitment to scholarship and teaching at the University level and to sharing in the tasks, activities and goals of the Department/School, College and University.

No candidate who does not meet the relevant criteria for promotion to Associate Professor is eligible for tenure at Florida Atlantic University. As tenure is linked to promotion to the rank of Associate Professor, an individual may not go up for promotion before tenure.

Before promising a prospective faculty member that he/she will be recommended for tenure as a condition of employment, the University Provost or his/her representative shall consult with the faculty. Although it might not be possible to assemble a complete packet for such candidates, the packet must include at least an up-to-date resume, a record of the professor's tenure at other universities, letters of recommendation, preferably from people of national reputation in the professor's field, a vote of the tenured faculty of the department/school involved, letters of recommendation from the Department Chair/School Director and the Dean (which includes the vote of the College Promotion and Tenure Committee).

GUIDELINES FOR FACULTY APPOINTMENTS & PROMOTION

The tenure-earning and tenured ranks at Florida Atlantic University are: Assistant Professor, Associate Professor, and Professor. The university has no quotas for admission to rank.

All those involved with the search process need to be impressed with the importance of the hiring decision. They need to assess the potential of the candidate in helping the unit further its goals and objectives and to successfully achieve tenure and promotion. The same criteria shall apply for initial appointment to any rank as apply to promotion to that rank. These criteria recognize three broad areas of academic activity: instructional activity; research, scholarship, and other creative activity in the relevant discipline(s); and service. Service shall include contributions to the effective functioning, administration and development of professional associations, department/school, college and university programs, and the university itself, as well as assigned service to the community. The American Association of University Professors, in their statement On Collegiality as a Criterion for Faculty Evaluation (1999), indicates that:

...collegiality is not a distinct capacity to be assessed independently of the traditional triumvirate of teaching, scholarship, and service. It is rather a quality whose value is expressed in the successful execution of these three functions. Institutions of higher

education should focus on developing clear definitions of teaching, scholarship, and service, in which the virtues of collegiality are reflected.

In each of these areas – Instruction, Research, Scholarship and Creative Activity, and Service – there needs to be a clear definition of the shared tasks, activities and goals of the academic unity and an assessment of an individual's productive participation in these. Collegiality should not be confused with sociability or likability. It is a professional, not a personal, criterion relating to the performance of a faculty member's duties. Are the candidate's professional abilities and relationships with colleagues compatible with the unit's mission and long-term goals? Has the candidate exhibited an ability and willingness to engage in the shared academic and administrative tasks? Does the candidate maintain high standards of professional integrity?

Assistant Professor

Appointment or promotion to the rank of Assistant Professor normally requires that individuals hold the highest earned degree appropriate to their discipline. Appointment to this rank is made on the judgment that individuals are capable of reaching tenure within a maximum six-year period. Evidence of potential for excellence in scholarship and for quality teaching is required.

Associate Professor

Appointment or promotion to the rank of Associate Professor is recognition that the faculty member has reached a status in the discipline appropriate to a life-long member of the academic world. This means that the person will clearly demonstrate the commitment and ability to continue to be a scholar or artist, contributing to the relevant field(s) of knowledge through original work and quality teaching in the best traditions of the professorate. The candidate must demonstrate commitment to and ability in teaching and related instructional activity, as well as demonstrating the ability to contribute successfully and continuously to the scholarship or creative activity of appropriate academic disciplines. Instructional activities shall be rigorously evaluated as scholarship and creative activity. Although the typical Assistant Professor will have only a modest assignment to service, promotion to Associate Professor requires that the candidate have a record of responsible and conscientious participation in some service activities.

Promotion decisions shall consider:

Evidence of achievement in the appropriate discipline(s). In most cases, such achievement will primarily be scholarly activity, normally demonstrated through publication of scholarly books, refereed articles and refereed papers and, where appropriate, patents and research grants. In some disciplines, creative activity may be required instead of, or in addition to, scholarly publications. The broadest range of appropriate scholarly or creative activity shall be considered in the criteria, including participation and leadership in appropriate professional activities.

Evidence of achievement in teaching and, if appropriate, other instructional activity. The quality of instructional activity shall be evaluated by students and peers, as well as through administrative and self-assessment.

Evidence of commitment to service. This may be through contributions to the effective functioning, administration and development of department/school, college or university programs, college and university, and, if assigned, externally, through uncompensated use of scholarly knowledge or creative talent in the work of the public schools, professional organizations, community agencies, other such nonprofit or public organizations, and in the

community.

Professor

Appointment or promotion to the rank of Professor is recognition of demonstrated achievement and **distinction** over the span of an individual's academic career, with evidence of longstanding leadership and substantial contributions both within and outside the university. While the traditional route to Professor will be based on achievements in scholarship/research/creative activity in the appropriate discipline(s), distinction may also be demonstrated in the areas of teaching and related instructional activity or service. While distinction must be demonstrated in at least one dimension of the faculty role, the candidate must demonstrate commitment to and competency in the others. While the decision involves the candidate's entire career, **the candidate's record shall demonstrate significant additional achievement beyond that demonstrated at the time of promotion to Associate Professor.** While demonstrated merit, not years of service, shall be the primary factor in determining the case for promotion to Professor, no earlier than five years completed in rank from the year that the promotion became effective, may be considered the norm for promotion from Associate to Professor. Years in rank and sustained productivity at FAU are particularly important.

PROCEDURE FOR GRANTING PROMOTION AND/OR TENURE

Departmental Review

Candidates should acquaint themselves with the relevant documents. The Chair/Director is responsible for directing each new faculty member to the following: a copy of these Guidelines; the Principles for Creating Criteria and Standards; the department/school or college statement that includes criteria for annual evaluation, promotion and tenure and third year review procedures; the most recent requirements for tenure and promotion files issued by the Office of the Provost and Chief Academic Officer; and any existing departmental/school and college personnel policies. Many of these materials are posted on the website of the Provost, the College, and/or the department/school.

Regular feedback, advice and assistance shall be a part of the process at annual or more frequent intervals. Annual performance evaluations must be conducted. They must be considered in the promotion and/or tenure process. The annual evaluations of untenured faculty must include a separate component that fairly appraises the faculty member's progress towards tenure and, if the candidate is an Assistant Professor, promotion to Associate Professor. In addition, an appointee to a tenure-track position shall receive, in the third year of his or her service, a formal written review at both the department/school and college levels. For employees awarded years toward tenure, these years count toward the Third Year Review. For mid-year hires, the timing of the Third Year Review needs to be consistent with scheduled tenure application. Faculty members eligible for promotion to Full Professor may request appraisal of their progress towards promotion at the time of their annual evaluation. Faculty members' annual assignments must be considered in evaluating progress toward promotion, and Third Year Reviews, must be in writing and include constructive suggestions and a suggested plan of action.

Departmental/school evaluations of individuals for promotion and/or tenure should be made after a departmental/school meeting that includes discussion of the case and consideration of the appropriate criteria and a secret ballot polling all faculty eligible to vote on the case. Large departments and departments with faculty on multiple campuses may want to consider video or

telephone conferencing to allow full participation by eligible faculty. In tenure considerations, those eligible to vote are the tenured members of the appropriate department/school; in promotion cases, all tenured and tenure-track members of the faculty are eligible to vote, unless otherwise specified by the bylaws of the department/school or college. Faculty on sabbatical or other research leaves are eligible to vote if they are in the area and available to participate. Faculty in DROP are still employed by the university and eligible to vote; faculty in the Phased Retirement Program have retired from the University and are not eligible to vote.

The materials that are reviewed at the departmental/school level should include all of the materials that will be submitted to the university level. Minimally, these include: an appointment letter, up-to-date vita, the outcome of evaluation of instructional activity by students, peers, and self; the distribution of the evaluative scores earned by other faculty, broken down by course, course level, or by department/school, as appropriate; documentation and examples of relevant research, scholarly or creative work, as well as instructional materials; a minimum of three current letters from referees outside this University who are acceptable to the chairperson/director and the candidate and Third Year Review Report. If the candidate chooses, the materials shall include the record of the faculty member's tenure and promotion appraisal(s) including any response by the faculty member. The department/school will issue a memorandum to the chair/director, reporting the numerical results of the poll of the faculty eligible to vote and, as best as can be discerned, the reasons for the vote, preserving the anonymity of the faculty members. A copy will be sent to the faculty member, who may attach a brief response within 5 days of receipt of the material.

After the department/school has voted, the departmental chairperson/school director shall send a letter of recommendation to the Dean which shall include a detailed analysis and evaluation of the work of the faculty member and a clear statement of support or non-support. That letter shall include the use of the appropriate department/school or college criteria to evaluate the record of the faculty member. A copy will be sent to the candidate who may attach a brief response within 5 days of receipt of the material.

College-Level Review

The College Promotion and Tenure Committee shall review the appropriate criteria, the candidate's file, and the recommendation made by the department/school and the chair of the department/director of the school. The committee shall vote on the case and make a written recommendation to the Dean. The written recommendation will report the numerical results of the poll of the Committee and, as best as can be discerned, the reasons for the vote, preserving the anonymity of the committee members. A copy will be sent to the faculty member who may attach a brief response within 5 days of receipt of the material.

The Dean of the College shall review the recommendation of the department/school and the chair of the department/director of the school, ensuring that the criteria for promotion and/or tenure have been appropriately applied and that annual assignments and performance evaluations have been considered in the recommendation. The Dean shall also review the recommendation of the College Promotion and Tenure Committee. The Dean shall consider the candidate's record, annual assignments and evaluations, and the written college and/or department/school goals and criteria for promotion and/or tenure. In tenure cases, he or she shall consider the needs of the department/school, college and university, and the contributions the employee is expected to make to the institution.

The Dean shall make a recommendation to the Provost. The Dean's letter shall include an evaluation of the candidate's record on the basis of appropriate criteria. A copy will be sent to the faculty member, who may attach a brief response within 5 days of receipt of the material.

University Provost and Chief Academic Officer-Level Review

- The University Promotion and Tenure Committee will review the candidate's portfolios, including the written criteria and the earlier recommendations on each case. It will make a recommendation to the Provost through its vote on each case. The recommendations shall include the numerical results of the poll of the Committee and a brief synopsis of the discussion of each candidate, preserving the anonymity of the committee members.
- The Provost shall consider the recommendations of the University Promotion and Tenure Committee.
- The Provost and Chief Academic Officer conducts a review of the material submitted at all earlier levels. The Provost verifies that the recommendations for promotion or tenure provided by all previous levels of review have considered the candidate's annual assignments and evaluations, the candidate's record, and the written college or department/school goals and criteria for promotion and tenure. In tenure cases, he or she shall verify that the needs of the department/school, college, and university and the contributions the employee is expected to make to the institution have been considered.
- Following this review, the University Provost makes a positive or negative recommendation to the President. The Provost will send each candidate a letter indicating his/her recommendation to the President.

Presidential-Level Review

- The President must give consideration to the Provost's recommendations in arriving at a decision but need not follow the recommendation of the Provost. The President shall make the final decision on the granting of tenure and promotion. The President's review will include a consideration of the candidate's record, the relevant written goals and criteria for promotion and tenure, the earlier recommendations and, in tenure cases, the needs of the department/school, college, and university, and the candidate's likely future contributions to the university. For tenure cases, the President will certify to the FAU Board of Trustees that all the required procedures have been followed. The faculty members considered shall be notified in writing of the President's decision.

Right of Response

Prior to consideration at the next higher level of evaluation, a candidate for promotion and/or tenure may attach a concise response within 5 days of receipt of any material that has been added to her or his file.

Principles for Creating Criteria and Standards for Promotion & Tenure

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INTRODUCTION

A university is shaped by its system of promotion and tenure. Designing that system and participating in its decisions are two of the most important ways in which faculty shape the university. This document is intended to assist faculty as they propose promotion and tenure criteria for adoption by the university. The promotion and tenure system must reflect two overlapping but distinct sets of values: those of the disciplines and those of the institution. As a public institution, Florida Atlantic University is accountable to the FAU Board of Trustees, the Florida Board of Governors, and to the Florida Legislature and, through them, the citizens of the state of Florida. Accountability requires that we are able to describe how we are expending state resources and why we are expending them as we do. Criteria for promotion and tenure at Florida Atlantic University are part of our system of accountability. These criteria are central to fulfilling the university's missions of instruction, research, and creative accomplishments, and service to the broader community.

PRINCIPLES FOR TENURE AND PROMOTION CRITERIA

This document defines the university's overall expectations regarding promotion and tenure. As such, they are necessarily general; more detailed expectations at the level of each college, school or department must be in accordance with, and no less rigorous than, the general principles that follow. Criteria for tenure and promotion focus on achievements and promise in the broad areas of Instruction, Research, and Creative Activity, and Service. Standards need to be established in each of these areas that are clear and measurable and accurately reflect the current goals and objectives of the unity. It is therefore essential that the academic unit (college, department, school) review their criteria and standards every five years to be consistent with their mission.

BASIS OF EVALUATION

Evaluation must reflect assignment. The evaluation of candidates for promotion and tenure shall reflect their assignments and, with reference to those assignments, be based primarily on their accomplishments in instruction, research and other scholarly or creative accomplishments, and service, as generally described below and as amplified at the college, school or department level. Written criteria, developed at the college or school/department level, shall specify the standards

and methods that will be used to determine if candidates have attained a sufficient level of accomplishment to merit a positive recommendation for promotion and/or tenure. Criteria and standards need to be well defined, clear, and transparent.

The American Association of University Professors, in their statement *On Collegiality as a Criterion for Faculty Evaluation* (1999), indicates that:

...collegiality is not a distinct capacity to be assessed independently of the traditional triumvirate of teaching, scholarship, and service. It is rather a quality whose value is expressed in the successful execution of these three functions. Institutions of higher education should focus on developing clear definitions of teaching, scholarship, and service, in which the virtues of collegiality are reflected.

In each of these areas of evaluation – Instruction, Research, and Other Creative Activity, and Service – there needs to be a clear definition of the shared tasks, activities and goals of the academic unity and an assessment of an individual’s productive participation in these. Collegiality should not be confused with sociability or likability. It is a professional, not a personal, criterion relating to the performance of a faculty member’s duties. Are the candidate’s professional abilities and relationships with colleagues compatible with the unit’s mission and long-term goals? Has the candidate exhibited an ability and willingness to engage in the shared academic and administrative tasks? Does the candidate maintain high standards of professional integrity?

1. Instruction

In order to be recommended for tenure or promotion, candidates must show that they are effective in and committed to the university's goal of quality instruction. Some routes to promotion to Professor require the demonstration of **distinction** in instruction.

The activities included under the rubric of instruction include all of those endeavors by which a faculty member contributes to the learning and intellectual growth of the student. The faculty member’s performance in regularly scheduled classes must be evaluated using both student and peer assessments of the courses. Instructional development activities such as pursuing professional development of teaching activities and developing new courses or new approaches to existing courses must also be expected, especially for more experienced faculty members. Work with students outside of regularly scheduled courses is also important in evaluating instruction; this category of activity includes mentoring graduate students in thesis or dissertation preparation as well as working with undergraduate students in directed independent study, internships, or other formats appropriate to the discipline. Serving as an academic advisor for students at all levels may also be an important responsibility for faculty and, if it is, the successful performance of this role is also expected.

2. Research, Scholarship and Other Creative Activity

University faculty typically are assigned to conduct research, be involved in scholarly work, or be actively engaged in other creative activity appropriate to their fields. The form of this

activity will vary considerably across disciplines. In most disciplines, however, it will include the development of new insights or results appropriate to the field, and the presentation of those insights or results for peer evaluation by others in the discipline. Supplemental data, such as journal acceptance rates, impact ratings, and citations, should be included in department/school/college guidelines if important to the discipline. Where appropriate, accomplishments such as the award of external research support, authorship of the reviews of the research of others, or organization of seminars and colloquia can serve as indicators of approbation. In the arts especially, performances and exhibitions are normal methods of presenting one's work for evaluation by appropriate audiences, and those activities should be reviewed by appropriate peers. The more detailed criteria of each college and/or department/school will describe the normal methods by which the relevant discipline or disciplines recognize excellence or competence. In regard to multi-disciplinary/collaborative work, department/school/college criteria need to address its importance to the discipline, although the portfolio needs to clearly specify individual contributions in such projects. What is critical is the demonstration that the individual is an **active and creative participant in the growth of the knowledge in his or her field.**

3. Service

The weighting of service in promotion and tenure decisions will vary significantly across candidates. Because most untenured faculty have a modest service assignment, service generally is not a major component of the tenure decision. Nevertheless, the candidate for tenure must demonstrate a commitment and ability to contribute to the university, college, and department/school through participation in collegial decision-making and service as well as demonstrated willingness to abide by university rules and the outcomes of collegial decisions. In some colleges, criteria for tenure may also specify the demonstration of willingness and ability to contribute to the community (including, for example, the public schools) or the discipline.

In promotion decisions, the weighting of service will vary. In most cases, Assistant Professors will have a modest service assignment. Expectations for institutional and other service generally will increase with rank, with Associate Professors expected to do more service work than Assistant Professors. Some Associate Professors will have larger service assignments than is typical for that rank. In these as in all cases, evaluation for promotion must be guided by the candidate's assignment. The evaluation of service accomplishments must be rigorous, particularly if service/administration was a significant component of the assignment.

Tenure

Tenure is the most significant commitment that the university can make to a faculty member. Decisions on tenure are different in kind from those on promotion. Tenure, in fact, is more exacting. In addition to demonstrating quality in the areas of Instruction, Research and Creative Activity, and Service, the candidate for tenure must demonstrate a willingness to share in the tasks, activities and goals of the unit and do so with professional integrity. The awarding of tenure is not a simple summing of annual evaluation. Tenure is recommended when the university's academic community agrees that the faculty member is committed to the

missions of the university and will make significant contributions to them across his or her career. A judgment must be made that the faculty member's record represents a pattern indicative of a lifetime of continued accomplishment and productivity. In all cases, the guiding question is a simple one: "Will the university be made better and stronger by its relationship with this professor over the remainder of her or his academic career?"

Criteria for tenure should reflect the accomplishments appropriate to the rank of the candidate seeking tenure. All candidates for tenure must be evaluated on the basis of their assignments.

1. Untenured Assistant Professors

For untenured assistant professors, the tenure decision generally will be based largely on: instructional activities (classroom teaching, course development, development of laboratories or teaching software, mentoring of students, assigned advising, etc.); accomplishments in the discipline or across disciplines (as appropriate, research, other forms of scholarship, and other creative activities). All candidates must demonstrate competency in and commitment to both instructional activities and appropriate disciplinary/professional activities. Both instructional and research/scholarly/creative activities must be evaluated with equal rigor.

a. Must Demonstrate Ability in and Commitment to Instructional Activities

The untenured assistant professor seeking tenure needs to demonstrate that she or he has made a successful transition from student to teacher. The candidate needs to demonstrate the ability and motivation to develop new course material and effectively impart it to students. In programs with both graduate and undergraduate components, the candidate should show success in mentoring graduate students as well as teaching scheduled classes. Tenure criteria for evaluating instructional accomplishments should include the entire range of relevant activities. Criteria should provide a basis for evaluating the candidate's ability to make successful and lifelong contributions to the university's instructional programs.

b. Must Demonstrate Successful Transition to Independent Research, Scholarly, or Creative Work

The untenured assistant professor seeking tenure needs to demonstrate that he or she has made a successful transition from graduate student to mature and independent researcher, scholar or artist. The candidate needs to demonstrate that he or she is capable of developing projects and bringing them to successful conclusion. The candidate needs to demonstrate active engagement in activities central to the disciplines or professions appropriate to his or her faculty appointment. Tenure criteria for evaluating research, scholarly or creative work should include the entire range of appropriate activities. Criteria should provide a basis for evaluating the candidate's ability to make successful and lifelong contributions to recognized fields of academic knowledge or creative arts.

c. **Must Demonstrate Commitment to and Ability in Service**

As noted above, service generally is a modest part of the assignment of Assistant Professors. Nevertheless, candidates should provide evidence of their potential for productive service to the institution and, in some colleges or departments/schools, profession and community.

In the unusual case of an Assistant Professor with a significant service assignment, performance of that assignment should be a significant part of the tenure evaluation.

d. **Must Meet Criteria for Promotion to Associate Professor**

Only those candidates who are Associate Professors or who meet the criteria for promotion to Associate Professor will be considered for tenure. Part of the evidence considered in every tenure decision is whether the candidate meets the criteria for Associate Professor. An untenured assistant professor must apply for promotion at the same time as she or he applies for tenure. The promotion application will be considered first and, if a positive recommendation is made, the candidate has met the first criterion for tenure. While both promotion and tenure may be considered at the same meeting of a promotion and tenure committee, the general principle is that promotion should be discussed and voted on before tenure.

Promotion to Associate Professor is not sufficient for a recommendation of tenure. Additional tenure criteria will be set, as specified above, by colleges and/or schools/departments. Promotion is based on accomplishments to date but tenure recommendations are based on collegial judgments about the likelihood that the candidate will make continuing and valuable contributions to the institution and the discipline(s).

2. **Untenured Associate Professors and Professors**

Generally, newly-hired senior faculty must demonstrate over a number of years that they are capable of high-quality work at and sustained contributions to Florida Atlantic University. The tenure decision requires evidence of the candidate's ability and willingness to improve the quality of this institution through instruction, research, scholarly and/or other creative accomplishments, and service. This decision cannot be made without careful consideration of the candidate's record over a sufficient period of time.

No later than during their sixth year at Florida Atlantic University, a faculty member hired as or promoted to Associate Professor or Professor must apply for tenure. Tenure at these ranks involves considerations beyond those appropriate to the rank of Assistant Professor. If assigned to research or other creative work, the candidate must have demonstrated the ability to continue and extend his or her research, scholarly or creative

activities while at this institution. If assigned to instruction, the candidate must have demonstrated the motivation and ability to be a competent and effective teacher of the students at Florida Atlantic University and be involved in the full range of appropriate instructional activities. Additionally, if assigned to service, the candidate must have demonstrated the ability and motivation to make responsible and effective contributions to university, college, and other institutional service, administration and governance. While the tenure decision considers the entire academic career, it should weigh heavily the candidate's accomplishments and activities while at Florida Atlantic University.

Occasionally, tenure may be recommended upon hire. In such cases, the recommendation will be based upon agreement that the candidate has provided strong evidence that she or he is likely to do high-quality work at Florida Atlantic University and to make the strong institutional commitment expected of a tenured faculty member.

3. Role of Annual Evaluations and Third Year Reviews

It is essential that Annual Evaluations and Third year Reviews be conducted within the context of the academic unit's tenure and promotion criteria. Faculty need to be afforded guidance on what is essential for achievement of tenure and promotion. Such guidance may be offered by the direct supervisor and/or a personnel committee.

An Annual Progress Toward Tenure Appraisal Form needs to be completed for every tenure track faculty member. This form will provide constructive advice and a plan of action for the coming year(s) so the candidate will be able to make the best possible case for promotion and tenure.

Promotion

1. Promotion to Associate Professor

Promotion to Associate Professor recognizes that the candidate has achieved a level of academic accomplishment in instructional and research, scholarly or creative work that is appropriate to the senior ranks of Florida Atlantic University. In all colleges, promotion to Associate Professor requires documentation of effectiveness in both instructional and research/scholarly/creative work. As the missions of and assignments across colleges vary, colleges legitimately may vary in what is required as evidence of effectiveness. As assignments may vary within and between colleges, evaluation must be carefully based on assignment.

a. Criteria Should Focus on Accomplishments

Criteria for promotion to Associate Professor should focus on the magnitude and pattern of accomplishments over the years in Assistant Professor rank. Promotion to Associate Professor is not a simple summing of annual evaluations. College statements (and/or department or school statements) should explicitly address how annual evaluations will be considered. If annual evaluations do not include all of the dimensions of the faculty

role that are evaluated in the promotion decision, the decision must consider items beyond them. For example, many annual evaluation systems only consider the calendar year's accomplishments. The promotion decision legitimately may consider the degree to which the candidate's research or other creative activities are a cumulative series of projects rather than a set of unrelated products. It may consider efforts towards and rates of improvement in instructional performance. It may consider how each year's accomplishments are related to the previous year's activities. Promotion decisions may look at patterns of activity that are not evaluated annually.

2. Promotion to Professor

Promotion to Professor is recognition of the candidate's academic maturity. Because of the nature of academic careers and institutional needs, there is more variability in the kinds of candidates who will be promoted to Professor than those promoted to Associate Professor. **As promotion to Professor is largely based on accomplishments since promotion to Associate**, criteria for this promotion must be sufficiently flexible to accommodate the legitimate variations in faculty assignments and activity within the rank of Associate Professor. There are multiple routes to meeting the standard of distinguished accomplishment required for promotion to Professor.

a. Multiple Routes

Promotion to Professor may be based on different patterns of outstanding accomplishment. Some positive recommendations may be based on evidence that a candidate has developed her or his range and level of accomplishment in all of the dimensions of the faculty role: research/scholarly/creative activity in or across appropriate disciplines; teaching and related instructional activity, including curricular and program development; the development or administration of professional associations, department/school, college and university. Some positive recommendations may be based on evidence that a candidate has achieved distinction primarily in one dimension, while continuing to be active and competent in the other dimensions of the faculty role.

b. Recognizing Variability in Instructional Expectations of Associate Professors

In creating criteria for promotion to Professor, faculty should consider how the institution's expectations of and assignments to Associate Professors differ from those for Assistant Professors. For example, Associate Professors may be expected to accept significant responsibility for program development, student recruitment, supervision of theses and dissertations, and so on. Associate Professors may be asked to chair departments, coordinate programs, and accept other institutional responsibilities. Associate Professors may be expected to identify and attract outside funding. Since new dimensions often are added to all dimensions of the faculty role after promotion to Associate, they should be made explicit in the criteria for promotion to Professor.

Criteria for promotion to Professor must recognize that Associate Professors may have

many different patterns of assignment, even within the same department/school. When variable assignments are used, criteria must be sufficiently flexible as to permit promotion on the basis of **demonstrated distinction in any of the patterns of assignment**. The statement of criteria should explicitly address the issue of variability.

c. **"Distinction" and "Competency" in the Promotion Decision**

The traditional route to Professor emphasizes distinction in research and other appropriate forms of scholarly and creative activity, and this will remain one of the primary routes to promotion. In addition, however, a candidate may be recommended for promotion to Professor on the basis of a record of distinguished instructional or service accomplishments, provided that he or she can also meet the relevant criteria for demonstrating continued competency in and commitment to research and other creative activities in the discipline(s). There needs to be clear evidence of longstanding leadership, national recognition, and substantial contributions both within and outside the university, in whichever route of Distinction chose by the candidate.

i. Research, Scholarly and Creative Activity

College or department/school criteria must specify the criteria for recognizing distinction in research, scholarly, and creative activity. These may include but should not be limited to letters of evaluation from demonstrably distinguished members of the field. These criteria should provide the basis for judgements of the degree to which the candidate's work has made a significant contribution to appropriate discipline(s) or art(s), is original and continuous, and has been broadly disseminated and well-received by peers. In judging whether a faculty member has attained distinction in this dimension of the faculty role, a college or department/school may also adopt criteria that include the faculty member's record of outside support in the form of grants and/or contracts. Criteria should provide the basis for evaluating a broad range of appropriate disciplinary activities, including activity that directly contributes to shaping the intellectual development of the candidate's discipline(s). Criteria should be as clear and comprehensive as possible, as specified earlier in this document.

ii. Instruction and Related Activities

Just as the standards for distinguished and competent research or creative activity differ between promotion to Associate and to Professor, so do the standards for distinguished and competent instructional activity. The candidate for tenure and promotion to Associate Professor is likely to be primarily evaluated on the basis of his or her classroom teaching. Candidates for Professor may be evaluated on the basis of a broader range of activities. Much of the institution's leadership in program and curriculum development can be expected to come from those progressing through the rank of Associate Professor and towards the rank of Professor. In particular, **significant instructional accomplishments should be documented** by those who base their application for promotion to Professor primarily on their distinguished performance in this area. Such candidates might be expected to have a record of

documented instructional accomplishments in addition to outstanding classroom teaching as, for example, in: mentoring students, enhancing the instructional abilities of other faculty, successfully designing programs and curricula, taking a leadership role on curriculum and related committees, unusual successes in working with students in disciplinary or professional clubs, building successful internship or other programs, and so on. It is expected that these candidates will have established a role of national prominence in their area through leadership in national organizations and publications in regard to instruction and curriculum issues.

iii. Institutional and Other Service

Similarly, candidates for Professor may be expected to demonstrate broader and more significant institutional service than candidates for Associate Professor. Some candidates for Professor may base their case for promotion on their distinguished service to the university in collegial governance or other arenas. Such candidates should carefully document their claims of outstanding accomplishments. In such cases, internal letters should be as careful, objective and comprehensive as is traditional for outside letters of review; moreover, a larger number of internal letters than the minimum may be useful.

Faculty applying for promotion to Professor on a record of Distinction in Service need to provide evidence of longstanding leadership and substantial contributions both within and outside the University. The portfolio must document superior performance at the highest levels of professional responsibility in the University, contributions to the community, and the academic or professional discipline, and substantial leadership at regional, state, and national, or international levels. Normally, university administrative appointments are not considered within this category.

d. **Role of Annual Evaluations**

It is essential that Annual Evaluations be conducted within the context of the unit's promotion criteria, with the goal of guiding the faculty toward successful achievement. Such guidance may be offered by the direct supervisor and/or by a personnel committee.

Promotion decisions are not a simple summing of annual evaluations. Promotion criteria should specify the role of annual evaluations in promotion decisions, while carefully specifying the additional considerations in such decisions. Promotion to Professor requires significant, cumulative accomplishments demonstrating that the candidate has achieved a high level of professional maturity and accomplishment. Such a record, particularly for those whose primary distinction is in instruction or service/administration, typically requires a significant number of years in rank in order to build the sustained record of documented accomplishment that is necessary.

e. **Appraisals of Progress Towards Promotion**

Appraisal of progress toward promotion to Professor should be conducted at the time of Annual Evaluation. At any time, faculty or the faculty's direct supervisor may request an appraisal of their progress toward promotion to Professor. All colleges shall establish written procedures for the evaluation of progress towards promotion to Professor.

Procedures for Drafting & Proposing Criteria

A. Adoption Procedures

Colleges should adopt a process for proposing criteria that is open, collegial, and appropriate to the needs and structure of the college. Deans and faculty are strongly encouraged to use the following procedures but, if the college can be better served by using another procedure, they can elect to do so following approval of the substitute proposal by the Provost.

All proposals to the Provost for alternate procedures should carefully describe their provisions for ensuring the maximum feasible participation of faculty in the drafting and proposing of statements of goals and criteria. All affected faculty must have an opportunity to work on developing criteria and to vote on the complete document as it is proposed.

Regardless of procedure, all statements of criteria should describe the range of activities that can or will be evaluated, what kinds of evidence will generally be presented, and how that evidence will be used to judge whether a candidate merits a positive recommendation for tenure or promotion. Criteria become effective only when approved by the Provost; and all proposed criteria will be evaluated on the basis of the standards of adequacy specified in Section 8 below.

B. Recommended Procedures

1. Initiating the Process

The process of creating criteria should be collegial and open. The dean, chair/director, or a majority of the members of a college or department/school may initiate the process of creating, revising or reconsidering the unit's (college, department/school) promotion and tenure criteria. At the beginning of the process, the appropriate administrator (generally, the dean) shall discuss the missions and goals of the unit with those who will participate in the process. Working on criteria is an opportunity to clarify the goals and values of the college and department/school, to consider how to connect the promotion/tenure system to the missions of the college and department/school, and to respond to changes in the discipline(s) constituting the unit.

2. **Drafting the College Statement**

The process of creating college criteria begins with an elected college committee. The dean shall designate the promotion and tenure committee or convene a special committee to work on the criteria. The committee is encouraged to circulate draft documents to the faculty for comment and to fully inform the faculty of its work. It is encouraged to meet regularly with the dean to discuss its work.

The committee shall develop a general statement of the college's policy on promotion and tenure. The statement shall describe the goals towards which candidates for promotion and tenure should strive. Goals for candidates for promotion and tenure should be linked to the goals of the university, college and relevant discipline(s) in each of the major areas of faculty activities: research and creative activities; instructional activities; institutional, professional and community service. Goals should be set for candidates for tenure, promotion to Associate Professor, and promotion to Professor. Goals should reflect the different considerations appropriate to each of these decisions. The statement should include criteria for evaluating the degree to which a candidate has met the college goals. The statement of criteria should describe the range of activities that can or will be evaluated, what kinds of evidence will generally be presented, and how that evidence will be used to judge whether a candidate merits a positive recommendation for tenure or promotion.

a. **Setting Goals for Promotion and Tenure Candidates, and Establishing Criteria for Evaluating the Degree to Which Candidates have Met Those Goals**

Goals are stated abstractly (e.g., "effectiveness in instruction"). Criteria are descriptions of how an evaluator would know if the person had met the goals (e.g., "student performance in the next course in the sequence"). In many cases, colleges will use multiple criteria for judging the degree to which a candidate has met a given goal.

Criteria and standards can be stated in a number of different ways. Generally, goal statements will address the university's and college's missions and long-term goals as well as those of the discipline(s). Some statements will be elaborate, while others will be relatively simple. Standards of criteria will also vary. Some statements of criteria may describe the level and kind of accomplishments expected for promotion and tenure. They may describe the characteristics of the record of a candidate who would be positively recommended for promotion and tenure, providing a list of examples of the kinds and levels of accomplishments that

would constitute such a record. Some may have lists of kinds of accomplishments, as well as statements of the pattern of accomplishments that would merit a positive recommendation. All statements of goals and criteria should reflect the missions and disciplines of the unit.

All statements of goals and criteria should recognize a range of accomplishments and activities that warrant a positive recommendation for promotion or tenure. While some kinds of accomplishments may be required of all tenure candidates, colleges are urged to consider how a range of differing but equally distinguished accomplishments might be the basis for a positive recommendation for promotion to Professor.

All college statements should be compatible with the general statements on tenure and promotion in this document and in the Guidelines.

b. Specifying What Will be Evaluated

The college statement should clarify the activities that will be evaluated, seeking to be as comprehensive as possible. The statement should describe the range of activities performed by faculty within the college. No single faculty member would be assigned to all of these activities, but most faculty members would be assigned to many of these activities as part of their assignments to instruction, research and other scholarly and creative activities, and service. This section of the statement provides an opportunity to explicitly focus attention on significant activities that are often overlooked and therefore unrewarded.

The college statement may address the relative significance of the different kinds of faculty college and university missions as guiding principles. Thus, for example, a developing college might place a priority on the creation of new courses and internship programs; in contrast, a college implementing new graduate programs might place a priority on mentoring of graduate students and supervision of theses and dissertations.

c. Describing the Kind of Evidence Upon Which Evaluations Will be Based

In addition to describing what will be evaluated, the college statement will describe how promotion and tenure applications will be evaluated. The statement will describe the kinds of evidence that typically will be part of tenure and promotion packages, so

that all faculty know how to document their accomplishments and college promotion/tenure packets are comparable. For example, the statement may require a particular combination of peer and student evaluations of instruction or it may specify the documentation required for claims of significant committee service.

3. Role of Departments/Schools

Departments/schools have a significant role in the process of evaluation.

First, they are represented on the committee that drafts the college statement. Representatives should consult frequently with their department/school colleagues, seeking to ensure that no disciplinary or programmatic concerns of the department/school are overlooked in this process.

Second, even when college criteria are used, department/school colleagues may retain primary responsibility for using these criteria to evaluate the candidate's record. College-level criteria generally will specify a common set of procedures for gathering evidence about and rules for judging a candidate's record. They need not diminish the responsibility of department/school peers for evaluating the accomplishments of their colleagues. Often, such evaluation requires knowledge that only department/school colleagues have: for example, the appropriateness of methods for student evaluation in a course or the quality of a journal. When department/school judgments are required, department/school criteria should be developed that clearly specify the bases on which these judgements will be made. For example, departments or schools that will evaluate the appropriateness of methods for student evaluation should propose a set of criteria for "appropriateness"; such criteria might suggest that essay exams or research projects generally were appropriate for upper-division courses in the major.

The criteria should be sufficiently clear that any qualified member of the relevant discipline(s) could apply them to the record and make a reliable judgment. They should also be clear enough to be useful guides to those who will be seeking tenure and/or promotion.

4. Varying Balance Between College and Department/School Goals and Criteria

The balance between college and department/school goals and criteria must be decided by the dean and the faculty of each college. In some colleges, relative homogeneity of mission and disciplines prevails. In such colleges, criteria and standards can be largely established at the college

level. In other colleges, there is greater heterogeneity. In these colleges, a larger portion of the criteria will be formulated at the department/school level. Even in heterogeneous colleges, however, it may be possible and would be worthwhile to set criteria and standards in some areas at the college level. Common criteria and standards for evaluation in the areas of instruction and service might be set at the college level and, even if the criteria for evaluating research, scholarly and creative work are set at the department/school level, some or all of the standards of research, scholarly and creative work might be set at the college level. In all cases, department/school criteria and standards must be compatible with those at the college level.

College statements may and should recognize legitimate differences among disciplines and departments/schools. For example, college statements may acknowledge mission-based differences between departments/schools with graduate programs and those with an exclusively undergraduate mission; the weight of research and other creative activities in the tenure/promotion decision might be greater in the former than in the latter.

5. Necessity of Collegial Judgement in Promotion and Tenure Process

No one involved in the promotion and tenure process should rigidly apply college or department/school criteria to any case. Even carefully drafted statements of criteria will have oversights. Occasionally, candidates may have a level of accomplishment that merits promotion or tenure even though their unusual pattern of accomplishments might not meet the written criteria for promotion and tenure. In such cases, candidates should be encouraged to provide argument and evidence that they have met the goals for promotion and tenure even if they have not met the criteria as stated. Each case should be considered carefully and on its merits.

As the Guidelines note, all letters of recommendation (beginning at the level of the department/school) must evaluate the candidate using the written standards and criteria. In unusual cases, letters should explain why the criteria are not valid for this case and how the candidate's record demonstrates that she or he has met the criteria and standards set by college or department/school. Following such cases, the criteria should be amended as necessary.

6. Criteria Proposed by a Vote of the Faculty

The college statement should be submitted to the college for a vote. The vote shall be a secret ballot of a majority of at least a quorum of the college. If department/school criteria are required, they should be

developed collegially at the unit level and proposed if accepted by a secret ballot of a majority of at least a quorum of the department/school.

7. Criteria Become Effective If Accepted by Administration

To become effective, the college statement and the criteria in it must be approved by the appropriate administrator (generally, the Dean) and the Provost or his/her designees. If departmental/school criteria are required by a college statement, these criteria also must be approved.

Administrators are responsible for reviewing the criteria to ensure that they meet the following conditions: compliance with state and federal law, and University Regulations and Policies; consistency with the missions and goals of the university, campus, college and department/school; consistency with the unit's annual assignment and evaluation practices; consistency with the standards set in this document and the Guidelines for Appointment, Promotion, and Tenure of Faculty at Florida Atlantic University. Criteria shall not become effective until one year following adoption of the criteria, unless a more immediate date is mutually agreed to in writing. The date of adoption shall be the date on which the criteria are approved by the Provost or his/her designee.

8. Criteria Must Meet the Following Conditions: To be accepted, criteria must meet the following conditions. Criteria must specify the ways in which faculty can demonstrate that they have met the university's high standards for promotion and tenure. Criteria should be internally consistent and consistent with appropriate college, university and state rules and laws. They should have a close relationship to appropriate department/school, program, college and university missions. They should be realistic, such that they can be achieved by talented and dedicated faculty within the constraints of available or attainable resources. They should be reliable: when applied to the same record of accomplishments, the criteria should produce the same conclusions even if the persons evaluating the record change. They should be valid, focused on central and important facets of the accomplishments expected for promotion and tenure. They should be easily understood by those in the academic community who will employ the criteria in making judgments, and they should be equally clear to those who will be evaluated by these criteria. They should be as complete and explicit as possible, addressing the broadest possible range of activities to which faculty can be assigned and on which they can be evaluated. They should be fair, providing all faculty with equal opportunity to be objectively judged on their accomplishments. They must be of the highest professional and disciplinary standards appropriate to the department/school and college.

9. Implementation and Routine Examination of Criteria

Criteria shall not become effective until one year following adoption, unless a more immediate date is mutually agreed to in writing. The date of adoption shall be the date the criteria are approved by the Provost or his/her designee. If criteria are proposed but not accepted, they shall be referred back to the unit. That referral shall include a meeting with the relevant administrator or a written statement of the reasons for non-approval. Criteria should be routinely examined, as they will require modification when the unit's mission is changed or when there have been problems with or confusion about the criteria. They should be reconsidered whenever a recommendation departs from them on the grounds that they are invalid for a particular case. Any proposal to modify criteria shall be available for discussion by members of the affected departments/schools before adoption. Changes to criteria shall not become effective until one year following adoption of the criteria, unless a more immediate date is mutually agreed to in writing. The date of adoption shall be the date on which the modified criteria are approved by the Provost or his/her designee. When new criteria are adopted and approved, faculty submitting applications for tenure or promotion within the subsequent three years may choose to be evaluated based on the old or the new criteria. Thereafter, only the new criteria will apply.

Conclusion

A promotion and tenure system must be sufficiently clear to provide guidance to those whose careers will be judged by it and to those who sit in judgement, but sufficiently flexible that it can change in response to changes in disciplines and in the university. Our intention is to have a system that has both of these qualities. Each year, the Associate Provost of Academic Personnel will consult widely with faculty, current and past members of the university and college promotion and tenure committees, the Deans and Vice Presidents, and other affected groups. Based on this evaluation, both this document and the Guidelines can be revised if necessary.