


MEMORANDUM

DATE: December 17, 2013

TO: Russell Ivy, Interim Dean
Charles E. Schmidt College of Science

FROM: Diane Alperin, Vice Provost 
Academic Affairs

SUBJECT: Department of Biological Sciences -- Promotion and Tenure Criteria

I have reviewed the Promotion and Tenure Policy of the Department of Biological Sciences. I understand this document was approved by the department faculty in December 2013 and is supported by you. This document is approved.

According to Florida Atlantic University's *Principles for Creating Criteria and Standards for Promotion and Tenure*, changes to criteria become effective one year following adoption and approval, unless a more immediate date is mutually agreed to in writing. When new criteria are adopted and approved, faculty submitting applications for tenure and promotion within the subsequent three years may choose to be evaluated on the old or the new criteria. Thereafter, only the new criteria will apply.

I wish to thank you and the faculty members in the Department of Biological Sciences for their participation in this important project.

Cc: Gary Perry, Interim Provost and Chief Academic Officer

Rod Murphey, Chairperson, Department of Biological Sciences

PROMOTION AND TENURE POLICY
DEPARTMENT OF BIOLOGICAL SCIENCES
FLORIDA ATLANTIC UNIVERSITY

(Passed by the Faculty in December, 2013; Approved by the Provost in xxxx)

CHAPTER I Tenure Track Faculty

1. General Guidelines

The Faculty, in a regular session of the Faculty meeting, shall elect by majority vote the departmental representative or representatives to the College of Science Advisory Committee on Promotions and Tenure.

It shall be the sole responsibility of the candidates for promotion and tenure to comply with the current guidelines and requirements for a complete application portfolio defined by the Provost's office. It shall be the duty of the Department Chair and the responsibility of the candidates for promotion and tenure to ensure that the departmental personnel committee receives the candidate's complete application portfolio by the established deadline.

Recommendations for promotion and tenure shall originate from the departmental personnel committee. This committee shall review and discuss the candidate's application portfolio and prepare a recommendation statement on the candidate's qualifications. The recommendation statement shall reflect the opinions of all members of this committee, and shall be conveyed to the Chair. The candidate under consideration for promotion and tenure must remove himself/herself from any and all deliberations of the application submitted by the candidate.

The Chair shall make the candidate's application portfolio available to the Faculty of the Department for review. The departmental personnel committee shall present its recommendations to the full Faculty in a meeting convened by the Chair. All Faculty members, as defined by the Bylaws ARTICLE III, are eligible to participate in discussion of candidates' applications. The candidate for promotion and tenure must remove himself/herself from any and all deliberations of the application submitted by the candidate.

Promotion from Assistant Professor to Associate Professor and awarding of tenure shall be voted on by tenured Associate Professors and (full) Professors through secret ballot. Promotion from Associate Professor to (full) Professor shall be voted on by (full) Professors through secret ballot.

The Department will adopt the current University criteria for promotion and tenure evaluations and specific guidelines for preparing a *University Promotion and Tenure Portfolio* issued by the Provost's office.

Appendix A summarizes the current (as of year 2013) guidelines for promotion and tenure issued by the Provost's office.

2. Criteria for Promotion and Tenure

Decisions to promote Faculty members and the awarding of tenure are important to the Department and University in that they determine the quality of Faculty in future decades. Therefore, recommendations should be selective, particularly for appointments to indefinite tenure. Promotion to Associate Professor should be initiated only if an individual shows real promise in becoming a leading teacher and researcher, fortified by tangible and developing evidence. Promotion from Associate Professor to (full) Professor should be based on fulfillment of outstanding promise, with evidence of national and international stature in a field of the biological sciences.

The primary missions of Florida Atlantic University are teaching, research, and service. In every promotion and/or tenure process, all three areas must be considered. The primary bases for promotion and tenure will be evidence presented of high quality in both teaching and research, with evidence presented of valuable public service and/or service to the Department, College, University, and professional communities. Of primary importance is demonstrated strength in teaching and research, recognizing that excellence in each area may differ, but with evidence of strength in each. The candidates for promotion and tenure are expected to train students in their laboratories. The quality of their research programs will be evaluated by standard criteria including publications, ability to attract funding and recognition by their peers. In every instance, the activities and accomplishments of teaching and research shall be thoroughly documented, with each Department and College retaining flexibility in defining what constitutes high quality in each case. The candidates are also required to demonstrate satisfactory accomplishments in service, according to the expectation of the Department.

Assessment of the quality of a candidate's teaching, research and service shall include annual and third year evaluations by the Chair. The assessment shall also include details that indicate both past performance and likelihood of continued excellence, as shown through relevant documentation in the portfolio (e.g., a list of publications and acquisition of funding). Fairness must be the hallmark in each and every step of the promotion and tenure process, with quality of Faculty in the Department the ultimate goal. In all cases, evaluations must be based on assignments.

3. Evaluation of Research

Letters from evaluators outside of Florida Atlantic University at a rank higher than that of the candidate, as specified by the Provost's office, are required. In addition, letters from internal evaluators, including from outside of the Department, at a rank higher than that of the candidate, are strongly encouraged. All letters of evaluation should originate from a list of potential evaluators agreed to by the candidate and the Chair. All requests for letters should then come from the Chair. All letters shall be solicited only from the evaluators who are in a position to comment in a discriminating and objective manner on the candidate's current research. Each letter of evaluation must include a statement of how the evaluator knows the candidate and the qualifications of the evaluator. The candidate is required to submit a self evaluation and a record of seeking outside funding in support of their research and, if applicable, a record of having obtained such support. The candidate is also expected

to provide a record of publications that demonstrates the productivity and accomplishments of his/her funded research program.

4. Evaluation of Teaching

The application portfolio for promotion and tenure must include a thorough record of teaching activities. Descriptive data such as courses developed and taught, enrollments of the courses, and evaluations made by students (e.g., SPOT) and peers including the Master Teachers are to be included. A self evaluation by the candidate is required.

5. Evaluation of Service

Description and self evaluation of the candidate's service are required. The candidate must provide a list of significant service activities. Documentation of these service activities can be through written materials such as letters of external and internal evaluations, communications from committee/society chairpersons and other appropriate sources.

6. Annual and Third Year Reviews of Progress toward Promotion and Tenure

The candidate must follow the rules as described in the Bylaws ARTICLE X-Annual Faculty Evaluation. The Department Chair must provide each Faculty member who is or will be eligible for consideration for promotion/tenure with copies of both annual reviews and the third year review of progress toward promotion and tenure, based on the reports by the departmental personnel committee.

7. Minimal Criteria for Promotion and Tenure

A. To Associate Professor

(1) Teaching

- a. Participation in undergraduate and/or graduate courses.
- b. Competence as demonstrated by student evaluations, peer review, and/or other evaluation vehicles.
- c. Service as a member of M.S. and/or Ph.D. committees.

(2) Research

- a. Publication of research results in refereed journals is required. The publications must include results obtained while employed at Florida Atlantic University.
- b. Application for and/or attraction of sufficient funding to support research and train graduate students.
- c. Involvement as a committee member in research training of other students.
- d. Directing research performed by M.S. and/or Ph.D. students.
- e. Engaging undergraduate students in research projects.
- f. Presentation of candidate's research at professional conferences or similar venues.

(3) Service

- a. Participation on departmental/college/or university committees.

- b. Public service (e.g., guest lectures, judging science fairs, and other profession-related activities) or service in professional societies at national and international scientific meetings.
- c. Promotion of discipline and the University through invitation of outside speakers to the Department, and organizing scientific conferences and symposium.
- d. Services as a peer reviewer for scientific journals and grant agencies.

(4). Tenure

Criteria for tenure are those for promotion. Normally recommendation for tenure will be made at the time of recommendation for promotion to Associate Professor.

B. To (Full) Professor

(1) Teaching

- a. A high level of competence in undergraduate and graduate teaching as demonstrated by student evaluations and peer review.
- b. Promotion of the field by involvement in curriculum design, development of new courses, and/or promotion of interdisciplinary teaching approaches, or other appropriate innovations in pedagogy.

(2) Research

- a. Maintenance of active research programs.
- b. Continued application for and attraction of funding for research and graduate student training.
- c. Publication of peer-reviewed articles in reputable national and international journals.
- d. Recognition as a leader in one's field at national and international levels.
- e. Directing research performed by M.S. and/or Ph.D. students.
- f. Attendance and participation in national and international conferences.

(3) Service

- a. Participation on departmental, college or university committees, community, and state activities.
- b. Public services such as guest lectures, judging science fairs, and other profession-related activities, or services in professional societies or at national and international meetings.
- c. Promotion of discipline through invitation of outside speakers to the Department, and organizing scientific conferences and symposium.
- d. A heavy administrative assignment must be considered as service in the evaluation of candidates for promotion to professor.

(4) Stature in the field/profession

Stature in the field/profession is judged by letters of evaluation. Evidence of national and international recognition is demonstrated through invitations to give seminars and

symposium presentations, invitations to organize symposia and national and international professional conferences, activities on editorial boards or peer review panels of granting agencies, authorship of books or book chapters, and other relevant awards or honors.

CHAPTER II Non-Tenure Track Faculty

1. General guidelines

It shall be the sole responsibility of each candidate for promotion to comply with the most current guidelines and requirements for a complete application portfolio issued by the Provost's office. It shall be the duty of the Chair and the responsibility of the candidate to ensure that the departmental personnel committee receives the candidate's complete application portfolio by the established deadline. Letters of internal evaluation as specified by the Provost's office should originate from a list of potential evaluators agreed to by the candidate and the Chair.

Recommendations for promotion shall originate from the departmental personnel committee. This committee shall review and discuss the candidate's application portfolio and prepare a recommendation statement on the candidate's qualifications. The recommendation statement shall reflect the opinions of all members of this committee, and shall be conveyed to the Chair. The candidate under consideration for promotion must remove himself/herself from any and all deliberations of the application submitted by the candidate.

The Chair shall make the candidate's application portfolio available to the Faculty of the Department for review. The departmental personnel committee shall present its recommendations to the full Faculty in a meeting convened by the Chair. All Faculty members, as defined by the Bylaws ARTICLE III, are eligible to participate in discussion of candidates' applications. The candidate for promotion must remove himself/herself from any and all deliberations of the application submitted by the candidate.

Promotion from Instructor to Senior Instructor shall be voted on by Senior Instructors, University Instructors, Associate Professors and (full) Professors through secret ballot. Promotion from Senior Instructor to University Instructor shall be voted on by University Instructors and (full) Professors through secret ballot.

Promotion from Assistant Scientist to Associate Scientist shall be voted on by Associate Scientists, Scientists, Associate Professors and (full) Professors through secret ballot. Promotion from Associate Scientist to Scientist shall be voted on by Scientists and (full) Professors through secret ballot.

Promotion from Assistant Research Professor to Associate Research Professor shall be voted on by Associate Research Professors, Research Professors, Associate Professors and (full) Professors through secret ballot. Promotion from Associate Research Professor to Research Professor shall be voted on by Research Professors and (full) Professors through secret ballot.

Appendix B and C summarize the current (as of year 2013) guidelines issued by the Provost's office.

2. Criteria for Promotion of Non-Tenure Track Faculty

The Department will adopt the current University criteria for appointment, evaluation and promotion of non-tenure track faculty issued by the Provost's office.

CHAPTER III Action of This Policy

The Department Promotion and Tenure Policy as presented above shall become effective on the date of the approval by the Provost or his/her designee.

Tenure track Faculty members submitting applications for tenure and/or promotion within the subsequent three (3) years of this Policy's approval may choose to be evaluated based on either the previous Department Promotion and Tenure Policy or this Policy. Thereafter, only this Policy as presented above shall apply.

APPENDIX A

PROVOST'S GENERAL GUIDELINES FOR PROMOTION AND TENURE

(Refer to the Provost Guidelines, as of 2013)

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. Thereafter, 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 candidate's 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 of 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 Professor 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 faculties 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.

APPENDIX B

PROVOST'S GENERAL GUIDELINES FOR APPOINTMENT AND PROMOTION OF NON-TENURE TRACK FACULTY (as of 2013)

INTRODUCTION

This document, adopted from the Provost's Memorandum (January 25, 2012), provides general guidelines for departments/schools and colleges concerning the appointment and promotion of non-tenure track faculty to provide a practical and equitable process to validate the significant work of Instructors, reward academic excellence, and encourage professional development. While years of service are one criterion for eligibility, promotion will be based on academic excellence and not the number of years in the position.

CRITERIA FOR APPOINTMENT

Criteria shall be specified by the college/department/school following the guidelines from the Office of the Provost and Chief Academic Officer. Instructors must meet the credential requirements for their discipline and must hold the terminal degree in their field.

CRITERIA FOR PROMOTION

Promotion to Senior Instructor

Candidates for promotion to Senior Instructor must demonstrate a consistent record of excellence in assigned duties. Evidence of excellence may include annual evaluations of teaching, student evaluations of teaching, peer evaluations of teaching, examples of successful student learning outcomes, demonstration of leadership and rigor in teaching, curricular development, and departmental collegiality. Additional contributions to the department, college, or university should be included in the promotion application along with any pedagogical publications, or professional presentations, discipline publications and/or creative activities, classroom and laboratory innovations, or performance in other areas of assigned duties.

Promotion to University Instructor

Candidates for promotion to University Instructor must first attain promotion to Senior Instructor. Additionally, consistency of teaching success, evidence of teaching quality enhancement, and leadership contributions to the university and the profession are expected. Promotion to University Instructor carries an expectation of notably consistent, increasingly high levels of performance and career achievement.

ELIGIBILITY

Instructors must be on regular, full-time appointments to be considered for promotion.

Candidates will be eligible to apply for promotion to Senior Instructor at the beginning of their 6th year of full time continuous service or thereafter. Candidates may bring in prior years of service from another institution but must have at least three years of continuous service at FAU.

Candidates will be eligible to apply for promotion to University Instructor at the beginning of their 6th year of full time continuous service as a Senior Instructor at FAU or thereafter.

Instructors at any rank are not required to apply for promotion.

APPROVAL

The development and approval of college/department criteria, guidelines, timelines and processes must follow the procedures set forth annually by the Provost's Office and outlined in the *Provost's Promotion and Tenure Memorandum*, FAU's *Guidelines for Appointment, Promotion and Tenure of Faculty*, and *Principles for Creating Criteria and Standards for Promotion & Tenure*, as amended, and must be approved by the Provost or designee. Criteria generally become effective one year following adoption. The date of adoption shall be the date the criteria are approved by the Provost or his/her designee.

Levels of Review — Procedures

Promotion portfolios and timelines will follow those disseminated annually as determined by the Office of the Provost: *Provost's Promotion and Tenure Memorandum*, *University Promotion and Tenure Portfolio Preparation*, and FAU's *Guidelines for Appointment, Promotion and Tenure of Faculty*.

Promotion portfolios, along with the department faculty votes and recommendations from the department Chair, will be considered by a college committee composed of two tenured faculty, two instructors (senior or university instructors are preferred whenever possible), and one college faculty administrator appointed by the Dean. The College committee will present its recommendations to the Provost. The Provost makes a positive or negative recommendation to the President. The President shall make the final decision on the granting of the promotion.

APPENDIX C

PROVOST'S GENERAL GUIDELINES FOR PORTFOLIO PREPARATION FOR PROMOTION OF NON-TENURE TRACK FACULTY

The following is excerpted from the Provost's memo of June 26, 2013:

All candidates for non-tenure-track promotions need to review the following documents as part of their portfolio preparation:

Appointment and Promotion of Instructors and Lecturers (January 25, 2012)

Appointment and Promotion of Assistant Scholars/Assistant Scientists/Assistant Engineers /Assistant Research Professors (February 16, 2012)

Provost's Promotion and Tenure Memorandum For 2013-2014 University Promotion and Tenure Portfolio Preparation (April 12, 2013)

Implementation Guidance for the Appointment and Promotion of Non-Tenure-Track Faculty (October 3, 2012)

Candidates for promotion also need to review any pertinent documents that may have been published after June 26, 2013.

Specific Guidelines for Instructor / Lecturer Applicants

All Instructor/Lecturer applicants must include SPOT table, SPOT summary reports, and three recent Peer Evaluations of Teaching. Other documentation of quality of instruction may also be included in this section.

Three internal letters of evaluation are required for Instructors/Lecturers. It is anticipated that the referees will be from colleagues familiar with the candidate's work and contribution to the unit.

External letters of evaluation by referees familiar with the candidate's work may be included for Instructors/Lecturers as appropriate to the discipline, but are not required. For example, letters in regard to performances or community work may be very appropriate in some disciplines. The number of external referees solicited is a decision made by the candidate and the supervisor.

External and internal reviewers need to be selected by the unit supervisor, and the candidate should have the opportunity to review the list for conflicts of interest. Solicitation letters and cover sheets may be the same as those used for tenure-track promotion portfolios.

Instructors/Lecturers may include an annotated version of the parallel section of their vitae with detailed information on publications, presentations, grants, contracts and performances or other activities pertinent to their role if they have been involved in such activities.

An overview of service to the unit, institution, profession or community, if applicable. Work on curriculum development and advising of students may be included here.

Degrees earned while in this position may be included here. In addition, courses undertaken to enhance performance in the particular role are also important to be detailed.

The self-evaluation is always an important part of the promotion portfolio but particularly important when the assignment documents are non-existent or do not adequately describe the candidates contributions and accomplishments.

Specific Guidelines for Scholar/Scientist/Engineer/Research Professor Applicants

Scholars/Scientists/Engineers/Research Professors must include an annotated version of the parallel section of their vitae with detailed information on publications, presentations, grants, contracts and performances or other activities pertinent to their role.

Three external letters of evaluation are required for Scholars/Scientists/Engineers/Research Professors. Different from external letters required for tenure-track faculty, those referees selected may be familiar with the candidate's work.

Internal letters of evaluation may be included for Scholars/Scientists/Engineers/Research Professors, but are not required. It is anticipated that they would be familiar with the candidate's contribution to the unit. The number of internal referees solicited is a decision made by the candidate and the supervisor.

External and internal reviewers need to be selected by the unit supervisor, and the candidate should have the opportunity to review the list for conflicts of interest. Solicitation letters and cover sheets may be the same as those used for tenure-track promotion portfolios.

Scholars/Scientists/Engineers/Research Professors may have no instructional assignment, but may include SPOT tables, SPOT summary reports, Peer Evaluations of Teaching, or other documentation of quality of instruction if they have taught courses. They may also want to include information about working with students on an individual basis as part of mentoring, research projects or participation on thesis or dissertation committees.

An overview of service to the unit, institution, profession or community, if applicable. Work on curriculum development and advising of students may be included here.

Degrees earned while in this position may be included here. In addition, courses undertaken to enhance performance in the particular role are also important to be detailed.

The self-evaluation is always an important part of the promotion portfolio but particularly important when the assignment documents are non-existent or do not adequately describe the candidates contributions and accomplishments.