MEMORANDUM

TO: College Dean
FROM: Gary Perry
Provost and Vice President for Academic Affairs
DATE: April 2016
SUBJECT: PROMOTION AND TENURE PORTFOLIO GUIDELINES FOR TENURE TRACK FACULTY FOR 2016-2017

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. Nominee Portfolio Cover Sheet
4. Waiver of Right to Review Letter from External Reviewers
5. Individual Cover Sheet for External Letters Requested
6. Sample External Reviewer Request
7. Comprehensive Curriculum Vitae template

If you have any questions on any of this material or need assistance, please contact Michele Hawkins at 561-297-3069 or by email mhwkins@fau.edu.
INTRODUCTION

The attached materials provide the outline and instructions for the preparation of promotion and tenure portfolios for 2016-2017. All participating parties are encouraged to review the *Criteria for the 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 and 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.**
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, all comments from a particular class must be included and they should be added to the Supplementary Portfolio only.

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

1. Signed Nominee Portfolio Cover Sheet (Certification of completeness of portfolio on the date signed)
2. Signed Waiver of Right of Review Letter from External Reviewers
3. Status letter(s)
4. Up-to-Date Vita
5. Annual Assignments
6. Instruction (Table; SPOT summary reports; Peer evaluation of teaching materials and classroom instruction)
7. Scholarship, research and/or other creative activity
8. Assigned service and/or administrative activity
9. Self-evaluation
10. Letters of Evaluation from independent evaluators
11. Report of the Department/School
12. Chairperson’s/Director’s letter
13. Report of the College Promotion and Tenure Committee
14. Dean’s letter
15. Department/Unit Criteria for Promotion and Tenure
16. Annual Employee Performance Evaluations
17. Third Year Review Reports
18. Optional:
   A. Tenure and/or Promotion Appraisals
   B. Replies to any Material in the Portfolio. These responses may be added immediately after the memo/letter the candidate is responding to.
EXPLANATION OF ABOVE LISTED ITEMS

1. NOMINEE PORTFOLIO COVER SHEET

   A signed Nominee Portfolio Cover Sheet that certifies the portfolio is complete as of the date signed.

2. WAIVER OF RIGHT TO REVIEW LETTER FROM EXTERNAL REVIEWER

3. 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.

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

   See suggested Comprehensive Dossier Curriculum Vitae template attached to this memorandum.

5. 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.

6. 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. Commencing with Spring 2014 forms will be delivered on-line; it may be important to view responses rates within this context. In addition, the summary items will be #20 and #21 for all forms. Commencing with Fall 2015, the summary item will be #6 (Rate your instructor’s overall teaching effectiveness in this course.) for all forms.
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*

<table>
<thead>
<tr>
<th>Semester</th>
<th>Title</th>
<th>Description</th>
<th>No. Enrolled</th>
<th>Required Elective</th>
<th>Credit Hours</th>
<th>Campus</th>
<th>Student Evaluation Results/# Responding (Scale is from a low of 5 to a high of 1)</th>
<th>Department Or College Mean</th>
<th>Other Means of Evaluation Including Peer if Available</th>
<th>Grad Asst. Help</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2015</td>
<td>Family Violence</td>
<td>SOW 4141</td>
<td>31</td>
<td>E</td>
<td>3</td>
<td>BOCA</td>
<td>Item 20: 2.0/26 Item 21: 2.0/26</td>
<td>19** 2.0</td>
<td>YES****</td>
<td>No</td>
</tr>
<tr>
<td>Fall 2015</td>
<td>Intro to Health Care Systems</td>
<td>HSA 6103</td>
<td>15</td>
<td>R</td>
<td>3</td>
<td>BOCA</td>
<td>Item 20: 1.5/15 Item 21: 2.0/15</td>
<td>2.2*** 2.0</td>
<td>NO</td>
<td>Yes</td>
</tr>
</tbody>
</table>

* Insert Additional columns as needed along with explanation of evaluation system.
** Department Mean for all Upper Level courses.
*** Department Mean for all Graduate courses.

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

<table>
<thead>
<tr>
<th>THESIS COMMITTEES</th>
</tr>
</thead>
<tbody>
<tr>
<td>SEMESTER/YEAR</td>
</tr>
<tr>
<td>Fall 2015</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Spring 2016</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>DISSERTATION COMMITTEES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2015</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

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

7. SCHOLARSHIP, RESEARCH AND/OR OTHER CREATIVE ACTIVITY

This section is an annotated version of the parallel section of the candidate’s vita, but needs to include information to supplement the 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 XXX”). Candidates need to identify publications that are on-demand, supported by subventions, are Open Access, or are the product of work on a student's thesis or dissertation committee, the impact factor and acceptance rates of the Journal, citations for the article, and discipline-based indices are important means of external validation. 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. Other forms of external review appropriate to the discipline may be important here; i.e., published reviews of books and reviews of performances and exhibitions. 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 the authors as listed in the publication, 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 Affairs. The document will be date-stamped and added to the front of the portfolio.
8. 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: 2015-2016

<table>
<thead>
<tr>
<th>DEPARTMENT</th>
<th>ROLE</th>
<th>TIME COMMITMENT / RELEASE TIME</th>
<th>SEMESTER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Search Committee</td>
<td>Member</td>
<td>1 hour weekly</td>
<td>Spring</td>
</tr>
<tr>
<td>Master’s Program</td>
<td>Coordinator</td>
<td>5 hours weekly</td>
<td>Fall and Spring</td>
</tr>
<tr>
<td>COLLEGE</td>
<td>Secretary</td>
<td>2 hours weekly; release time (one course)</td>
<td>Fall and Spring</td>
</tr>
<tr>
<td>UNIVERSITY</td>
<td>Member</td>
<td>3 hours monthly</td>
<td>Fall and Spring</td>
</tr>
<tr>
<td>Commencement</td>
<td>Marshall</td>
<td>4 hours total</td>
<td>Spring</td>
</tr>
<tr>
<td>COMMUNITY</td>
<td>Community Center Advisory Committee</td>
<td>3 hours total</td>
<td>Fall</td>
</tr>
<tr>
<td>PROFESSION</td>
<td>Peer Reviewer</td>
<td>6 hours total</td>
<td>Spring</td>
</tr>
<tr>
<td>National Organization</td>
<td>Elected Representative</td>
<td>1 hour monthly</td>
<td>Fall and Spring</td>
</tr>
</tbody>
</table>

9. 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. 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

10. LETTERS OF EVALUATION addressed to the Chairperson of the Department/Director of the School, who must provide copies to the faculty member, unless the faculty member has signed a waiver.

A. At a minimum, five letters solicited for this application from referees outside this university are required. The referees must be at the rank the candidate is aspiring to or higher. A list of potential referees should be compiled by the Chair/Director, the faculty who are eligible to vote on the case and the candidate. Five external referees should be selected by the Chair/Director from the list. 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 mentors, mentees, co-authors, co-investigators, co-editors, dissertation advisors, personal friends and anyone closely associated with the candidate to raise the question of impartiality are not appropriate. A waiver from, a Sample External Reviewer Request letter, and an Individual Cover Sheet for External Letters Requested are all attached to this memorandum. 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.

B. If required, a maximum of two letters solicited for this application 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 faculty eligible to vote on the case 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/director are to be included and only these letters should be included.

11. 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.

12. 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.

Please be careful with reference to external reviewers if waiver form has been signed.

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. 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.

Please be careful with reference to external reviewers if waiver form has been signed indicating they are waiving their right to view external letters of evaluation.

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. 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

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Please be careful with reference to external reviewers if waiver form has been signed indicating they are waiving their right to view external letters of evaluation.

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.

15. 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. A journal rankings list adopted by a department/school is not part of approved criteria.

16. 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.

17. 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.

18. 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. These responses may be placed in the portfolio after the memo/letter the candidate is responding to.
FLORIDA ATLANTIC UNIVERSITY

PROMOTION AND TENURE TIME LINES

2016-2017

December 9, 2016
Portfolios to the Office of the Provost for review by the University Promotion and Tenure Committee

March, 2017
University Promotion and Tenure Committee recommendations to the Provost

April, 2017
Provost Recommendations to the President

May, 2017
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) IMMEDIATELY UPON FORMATION OF THE COMMITTEE.