

## Post-Tenure Review Evaluation Guidelines and Policies

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Post Tenure Review (PTR) serves as a periodic review of tenured faculty and is designed to foster sustained excellence and professional development and recognize and reward outstanding achievement.

PTR is separate and distinct from annual and other employee evaluations in that PTR will focus on long-term accomplishments over a period of five years. Most importantly, the PTR process has been designed to uphold the University's fundamental principles of tenure, academic freedom, due process, and confidentiality in personnel matters.

The FAU PTR process and procedures are outlined in **Provost Policy dated 11/2023** in compliance with Florida BOG regulation 10.003.

Each Unit (Department or School) shall establish criteria for evaluation of faculty undergoing PTR and the determination of a "Performance Rating"

"Performance Rating" means the following rating scale:

- **Exceeds Expectations:** a clear and significant level of accomplishment beyond the unit's and University's written criteria, and beyond the average performance of faculty across the faculty member's discipline and unit.
- **Meets Expectations:** an expected level of accomplishment based on the unit's and University's written criteria, compared to faculty across the faculty member's discipline and unit.
- **Does Not Meet Expectations:** performance falls below the unit's and University's written criteria, compared to faculty across the faculty member's discipline and unit, but is capable of improvement.
- **Unsatisfactory:** performance fails to meet the unit's written criteria which reflects disregard or failure to follow previously documented and/or otherwise given advice or other efforts to provide correction; or documented incompetence or misconduct, as defined in applicable University regulations and policies, or applicable CBA provisions.

### Evaluation Procedure

The office of the Dean of the College of Arts and Letters shall notify faculty members and the Unit Chair or Director of upcoming PTR Evaluations and the due date for the evaluation file. The Unit Chair or Director shall establish appropriate unit deadline dates for the PTR process to meet the due date set by the College of Arts and Letters.

The faculty member shall prepare a PTR Portfolio in Interfolio. The PTR will be conducted based on a portfolio containing a summary of the faculty member's activities, and history of professional conduct and performance of academic responsibilities to the University and its students during the entire five-year Review Period.

The PTR portfolio should contain relevant to the five-year review period:

- a current *curriculum vita* that clearly highlights accomplishments in teaching, scholarship, and service,
- copies of the faculty member's last five annual assignments and annual evaluations including any attached written rebuttals by a faculty member under review,
- a copy of the report of the previous SPE or PTR, if available,
- a copy of the published criteria from the faculty member's academic unit (see Articulation of Unit Expectations below),
- a brief (2 page) narrative from the faculty member, and
- other relevant measures of faculty conduct as appropriate.

The faculty member shall upload his or her PTR portfolio to the Department or School by the deadline date set by the Unit.

#### Departmental or School PTR Committee

- The Departmental or School PTR Committee shall be composed of all the tenured faculty members from the Unit Personnel Committee and shall be approved annually by a majority of the tenure-track faculty members of the Unit.
- The Departmental or School PTR Committee is tasked to initiate the process of review and deliberation of all submitted PTR portfolios. The PTR Committee may request the Unit Chair or Director (or his/her designee) to participate in its deliberations, *ex officio*.
- Upon completion of the evaluation, the Departmental or School PTR Committee shall prepare a brief report summarizing its recommended assessment of each faculty member's performance during the five-year period under review. The Committee's report shall indicate whether the faculty member's performance (1) Exceeds Expectations, (2) Meets Expectations, or (3) Does Not Meet Expectations, or is (4) Unsatisfactory, and shall cite specific areas, reasons and evidence, corresponding to the annual assignments, to support the Committee's conclusion. In case the evaluation report is not unanimously agreed, the report must include the anonymous minority opinions written by the members of the Committee involved. The Departmental or School PTR Committee shall deliver its evaluation reports to the Department or School Chair or Director by the deadline date set by the Unit.

## PTR Evaluation Expectations and Criteria

The Unit Policy and Criteria for Annual Evaluations and the Unit Policy and Criteria for Promotion and Tenure will serve in guiding the thought process and expectations in the determination of the performance rating for the PTR Evaluation. In view of the various kinds of contributions faculty members make during their careers, departmental expectations must also be sufficiently flexible to embrace the variability of faculty interest, activities, and strengths. As PTR explicitly considers the Annual Assignments of each faculty member, expectations will weight appropriately the full range of assignments a tenured faculty member may receive.

### PTR Evaluation Expectations

- Instruction: As defined by annual assignments, the faculty member must maintain dutiful teaching of assigned undergraduate and/or graduate courses, exhibit competence as demonstrated by student evaluations, peer review, and/or other evaluation vehicles, and actively mentor undergraduate and graduate students for timely graduation.
- Research: As defined by annual assignments, the faculty member must maintain assigned level of research or creative achievement activities, as demonstrated by publication of research results in refereed journals and/or at professional conferences or in juried exhibitions or performances, application for and/or attraction of research funding, and directing and training of undergraduate and graduate students performing research.
- Service: As defined by annual assignments, the faculty member must duly serve on assigned departmental/college/university committees and/or other administrative duties, engage in public service in various forms, provide service in professional societies, at national and international disciplinary meetings or as a peer reviewer for journals and grant agencies, or juror for creative outlets and promote the interest and welfare of the Department or School, the College, and the University.

### PTR Evaluation Criteria

- The overriding criteria for PTR evaluation are the faculty member's annual assignment and annual evaluation scores over the past five years.
- The PTR Committee and Chair shall consider that the faculty member's assignments and respective performance expectations may have changed over the past five years.
- The PTR Committee and Chair shall consider that the faculty member may have made contributions to the Department or School, the College, and the University in various ways over the past five years.

- The PTR Committee and Chair shall consider that the nature or form of the faculty member's contributions may have varied over the past five years.
- The PTR Committee and Chair shall consider that innovative and transformative research or teaching may take time to succeed and may sometimes fail.
- The PTR Committee and Chair shall consider that unusual or unpopular research, teaching, or service is not by itself sufficient cause for a negative evaluation.
- The PTR Committee and Chair shall consider any unique circumstances of each faculty member's areas of research, teaching, service, and/or academic administration in the context of overall performances by all tenured faculty members in the Unit.