

**Harriet L. Wilkes Honors College
of Florida Atlantic University**

Promotion and Tenure Guidelines for Tenure-track and Non-tenure track faculty¹

1. GUIDING PRINCIPLES FOR PROMOTION AND TENURE

To earn tenure in the Wilkes Honors College (WHC), faculty must promote its mission. This mission reflects the College's status as an undergraduate, liberal arts college within FAU.

The primary mission of the Wilkes Honors College faculty is to teach and mentor undergraduates. Faculty are expected to be active in research, scholarship and creative activities to facilitate their mentoring role with undergraduates, be up to date in their teaching, and be recognized contributors to their scholarly disciplines. The expected productivity for successful candidates for tenure and promotion at the WHC should be comparable to that at strong undergraduate liberal arts and sciences teaching institutions that provide comparable research support. As an exclusively undergraduate college, the faculty does not typically work with graduate assistants or have access to graduate or postdoctoral research assistants. In keeping with the WHC's interdisciplinary curriculum, innovative forms of scholarship within and among traditional disciplines are to be valued, as is work that challenges traditional disciplinary boundaries.

Teaching, scholarship/creative activity, and service are all important areas in which WHC faculty must be accomplished in order to be tenured and promoted. The relative significance of excellence in teaching in determining whether an WHC faculty merits promotion and tenure will be greater than at research universities that emphasize research more than undergraduate teaching.

The WHC strives to create a collegial atmosphere to facilitate teaching and research. Collegiality therefore plays a role in the promotion and tenure process. Collegiality is not congeniality. It is a quality manifested in one's willingness to serve on committees, to provide guidance and support to colleagues and to engage constructively in the collective work of the college.

The WHC faculty recognizes that expectations for scholarly/creative production differ among disciplines. As the College encompasses many of the traditional departments and interdisciplinary fields found within a liberal arts and science college, evaluators should keep in mind that expectations for research and creative productivity differ within the college and should consider what output is appropriate for a college primarily devoted to undergraduate teaching. For WHC faculty hired with joint appointments between the WHC and another unit within FAU, a Memorandum of Understanding will determine the unit responsible for a candidate's promotion & tenure process.

¹ The first set of P&T guidelines was initially approved by the Faculty of the Wilkes Honors College on January 29, 2002. An April 12, 2002 version reflects changes made on March 27, 2002. A further revision was made in Oct. 17, 2007. The faculty approved a substantial revision of the guidelines on November 19, 2010. This current version includes updates that reflect the Provost's P&T guidelines memo for 2017-2018.

2. WEIGHTS OF TEACHING, SCHOLARSHIP/CREATIVE ACTIVITY, AND SERVICE FOR PROMOTION AND TENURE:

For tenure-track faculty, it is expected that a successful candidate will meet or exceed tenure criteria in all three areas of the triad of teaching, scholarship/creative activity, and service. Conceivably a faculty member's scholarly/creative output or teaching could be so outstanding as to compensate for a less than satisfactory rating in service; however, no candidate that does not meet tenure criteria in teaching and scholarship/creative activity should be tenured in the College, given the importance of undergraduate education to its mission. Accomplishments completed from the start of the agreed upon tenure-earning period (e.g., publications, presentations, exhibitions, teaching evaluations, etc.) shall be counted toward the goals outlined below for teaching, scholarship/creative activity, and service. Some new faculty may arrange to count one (1) or more years of service at other institutions toward P&T at FAU.

3. RELATIONSHIP BETWEEN ANNUAL EVALUATION AND PROMOTION AND TENURE:

Evaluations of scholarship/creative activity for promotion and tenure are not based on a simple numerical averaging of annual evaluations, but reflect progress over many years. In the case of teaching and service, evaluation for promotion and tenure may reflect the pattern of annual evaluations. Criteria for annual evaluation can be found in the Wilkes Honors College Annual Evaluation Guidelines.

4. CRITERIA FOR PROMOTION AND TENURE

4.1 Teaching

Candidates for promotion and tenure will be expected to achieve a rating of good or excellent in teaching based on student perception of teaching (SPOT) scores, two peer evaluations by tenured faculty, and an evaluation of teaching enhancement activities. Teaching enhancement activities are defined as those intended to improve teaching effectiveness, improve student experience both in and out of the classroom, and/or disseminate one's experience and/or research results regarding teaching methods. The WHC recognizes the importance of team teaching, the development of core curriculum and concentrations, the development of interdisciplinary, writing-intensive courses (such as WAC), and the sustained work involved in mentoring seniors during their thesis year, all of which are regarded as teaching enhancement activities. A list of teaching enhancement activities is available in the Wilkes Honors College Annual Evaluation Guidelines.

Regarding SPOT evaluation scores, candidate ratings beginning in Fall 2015 are based on scores for question 6 (prior to Fall 2015 they are based on questions 20 and 21). Ratings in distance learning classes are based on questions 16 and 17. The committee will take into account the quality and quantity of the indicators. In particular the committee should consider weighing the importance of evaluations for core and required courses differently from those for elective and concentration courses.

Meets Promotion and Tenure Criteria: Some examples of a teaching record that merits tenure (over the entire period of evaluation) include: good, outstanding, or exceptional annual evaluations of teaching with a majority being 'outstanding'; teaching and advising awards and positive peer

evaluations; and generally good SPOT scores along with substantial teaching enhancement activities and indication of improvement over time. A teaching record that warrants tenure may also include a range of needs improvement to outstanding annual evaluations of teaching with a trend indicating improvement and a majority of those evaluations with at least a 'good' rating; or a pattern of outstanding SPOT scores and positive peer evaluations (with no additional indications of teaching excellence).

Does Not Meet Promotion and Tenure Criteria: Examples of a teaching record that does not merit tenure (over the period of evaluation for promotion and tenure) include: No indication of teaching enhancement activities beyond 'merely' good teaching evaluations; or a pattern of needs improvement or unsatisfactory teaching evaluations and teaching enhancement activities, with some trend indicating improvement.

4.2 Research, Scholarship and Other Creative Activity

Principles: *External reviews are central to the P&T process in judging the quality of a candidate's scholarship.* Candidates for promotion and/or tenure require five (5) external review letters. Such reviews are particularly important in an interdisciplinary liberal arts college. Candidates for tenure must demonstrate that, as participants in the growth of knowledge/creative expression in their chosen fields, they can bring research/creative projects to their successful conclusion. Given the interdisciplinary nature of the WHC, it is expected that interdisciplinary scholarship will be given the same weight in tenure considerations as discipline-bound scholarship.

Furthermore, community-engaged research (CER) and research and creative scholarship involving students (undergraduate/graduate) also merits consideration. According to the 2017-2018 Provost Memo on P&T (<http://www.fau.edu/provost/faculty/files/P.Twebmemo2017-2018.pdf>), CER "is the collaborative process between the researcher and a community partner with the goal of contributing to the discipline and strengthening the well-being of the community." Additionally, "supervising an inquiry or investigation conducted by an undergraduate that is an original intellectual, technical, or creative contribution to the discipline or practice, or applied research, where the student uses discipline-appropriate data to address a research question/problem for which no clear answer exists, may also meet the criteria. Research involving undergraduates and/or graduates should be identified, as well." Such scholarly and creative work that is co-authored/co-produced with students or community partners, such as publications, exhibitions, and presentations, can be counted as Research, Scholarship and Other Creative Activity.

As stated previously, the expectation for faculty scholarly/creative productivity should be comparable to those at strong undergraduate liberal arts and sciences teaching institutions that provide comparable research support and not to those at research universities where faculty have a lower teaching load, access to graduate research assistants, and more substantial research facilities and start-up funds.

The committee will take into account the quality of the venue of publication, presentation, or exhibition, as well as the quantity of work. A record of scholarship consisting of multiple publications, exhibitions, etc. is necessary but not sufficient for a positive recommendation for tenure. For published work, scholarly impact is ideally measured not by a simple tally of

publications, but also by bibliometric indices that weigh the number of publications, number of authors, journal quality, and citation counts. *Because the meaning of these indices is largely specific to the discipline or field of intellectual inquiry, special weight must inevitably be paid to the external letters. External letters should ideally be written by recognized experts in the field under whom the candidate did not study, and with whom the candidate has not closely collaborated, yet who have a strong familiarity with the candidate's work. In evaluating the candidate's portfolio, both the source and the content of external letters should be considered.*

Definition of "Article": an "Article" is distinct from a brief 'Comment', 'Note', 'Review', etc. A series of notes, for instance, may be judged as equivalent to an article. External reviewers are encouraged to take such equivalents into account in their judgment regarding P&T. In addition, if the faculty is not the sole author of the Article, he or she must document that he or she played a significant role in the production of the Article. Note that the position in which authors are listed in multi-authored works may vary among disciplines; for example, in chemistry the last author is often the one directing the work.

Definition of "peer reviewed": all research reviewed by one or more reviewers. Individuals may also make a case that chapters in edited volumes, journal Articles reviewed by editors, and creative work reviewed by exhibition or performance jurors represent "peer-reviewed" work. Details of the submission, editorial, and rejection processes must be included to make such a case.

Because norms for what constitutes productive scholarly and creative activity vary among disciplines, criteria may vary based on discipline. The standards below reflect reasonable expectations for faculty at undergraduate institutions.

Natural Sciences/Mathematics

Introduction: Expectations at the WHC should reflect the expectations at undergraduate institutions so that WHC natural science/math faculty are not unrealistically expected to have the same scholarly output as faculty at research institutions who do less teaching, have graduate and post-doc research assistants, and more substantial start-up funds and lab equipment.

Meets Promotion and Tenure Criteria: As stated above, in addition to quantity, the committee will also remain strongly mindful of the quality of work as well as venue, based on judgments of external reviews and other criteria. Examples of a research/scholarship record that merits tenure include publication of at least 4 Articles in peer-reviewed national or international journals; or 3 such Articles and modest external grant funding, or equivalents. A significant patent(s) may substitute for an Article. Examples of equivalents: a) a significant Article with a high impact that is published in one of the most selective and prestigious journals, along with 2 other Articles in peer-reviewed national or international journals; b) substantial external grant funding along with at least 2 peer-reviewed Articles; c) primary author of a major textbook, along with 2 peer-reviewed Articles.

Does Not Meet Promotion and Tenure Criteria: A candidate for tenure does not meet criteria if they (a) publish fewer than 4 Articles or (b) do not meet the equivalents as described above.

Social Sciences/Humanities.

Introduction: There are wide variations among departments within social sciences and humanities and in many disciplines in these divisions; external research grants are not readily available, certainly not to the same extent as in the natural sciences. The expectations for a studio artist will differ from those for an economist or philosopher. In some disciplines such as history, publication of a book is viewed as the norm for earning tenure. Ratings for faculty in these areas should take into account these variations.

Note on equivalents: Editing a peer-reviewed book or special issue of a journal may be regarded as equivalent to 2 peer-reviewed Articles; Authoring a chapter in a book is equivalent to a peer-reviewed Article if the book undergoes peer-review; In fields where external funding is available, receipt of a substantial competitive external grant shall be equivalent to 1 or 2 peer-reviewed Articles depending on the size and prestige of the grant.

A significant Article with a high impact that is published in one of the most selective and prestigious journals in the discipline may carry the same weight as 2 peer-reviewed Articles appearing in solid but less prestigious journals.

Meets Promotion and Tenure Criteria: In addition to quantity of work, the committee will remain strongly mindful of the variations among disciplines noted above as well as of quality of work and venue based on the judgments of external reviews and other criteria. Publication of a peer-reviewed book or publication of at least 4 Articles in peer-reviewed national or international journals; or equivalents.

For studio art: participation in a significant number of solo, two-person, or three-person exhibitions or performances on the national or international level as well as venues of regional and local significance.

Does Not Meet Promotion and Tenure Criteria: A candidate for tenure does not meet criteria if they (a) publish fewer than 4 Articles or (b) do not meet the equivalents as described above. For art: participation in some solo, two-person, or three-person exhibitions or performances would not be sufficient.

4.3 Service

The WHC has a small number of faculty relative to most other FAU colleges but nevertheless must provide all of the service needs of a college, including having representatives on university committees that require representation from each college. It is important that junior faculty not be overburdened with service and so every effort will be made to place heavier service loads on tenured faculty. Even so, un-tenured faculty are often assigned substantial service and its evaluation should play a commensurate role in both the WHC annual assignment and the evaluation of tenure and promotion.

Meets Promotion and Tenure Criteria: a combination of exceptional, outstanding, good and needs improvement ratings of service in annual evaluations, with at least 2 years in which service is rated good or better.

Does Not Meet Promotion and Tenure Criteria: Three unsatisfactory ratings or failure to achieve at least 2 good ratings.

5. ANNUAL APPRAISAL OF PROGRESS TOWARDS TENURE

Based on the candidate's record and the tenure criteria in this document, the candidate will be appraised on an annual basis and informed on whether they are making progress towards tenure. The annual appraisal of progress toward tenure will be included in the candidate's tenure file.

6. WILKES HONORS COLLEGE PROCEDURES FOR THIRD-YEAR REVIEW OF PROGRESS TOWARD TENURE

The Third Year Review (TYR) will be completed in the spring term of the faculty member's third year of employment.²

The candidate will assemble the TYR portfolio containing all of the materials required in the WHC tenure portfolio. Letters of reference from outside of the WHC are optional. The candidate's self-evaluation will contain a detailed section on research and/or creative activity. Candidates should describe their research agenda including published and unpublished work, grant proposals, and fellowships. For creative activity, candidates should include descriptions and reviews of exhibitions or performances, published work, and the status of current projects. One peer evaluation of teaching conducted by a tenured faculty member will be included. Candidates are expected to meet with the peer evaluator before the visit to discuss the course design and pedagogical strategies. The candidate will have an opportunity to respond in writing to the peer evaluation.

In addition, the self-evaluation will detail the faculty member's teaching and service contributions to the WHC. With regard to teaching, the self-evaluation should address student and peer teaching evaluations, and teaching enhancement activities. The WHC Promotion and Tenure Committee will evaluate the portfolio. The P&T Committee will select a TYR Sub-Committee. The TYR Sub-Committee will include a Chair and at least two other individuals. The Chair should be selected by disciplinary proximity or special ability to judge the academic area of the Candidate. The P&T committee chair may serve as a coordinator but may not chair a TYR Sub-Committee. The TYR Sub-Committee will review the candidate's file and its Chair will produce a report reflecting their consensus regarding the candidate's progress toward promotion and tenure in the three areas of academic evaluation: teaching, scholarship, and service. The report will also include an overall evaluation of the candidate's progress toward tenure based on her/his performance in each of the three areas. The report will make appropriate suggestions for improvement in any areas of concern.

The TYR Chair and Committee will present their report to the full P&T Committee for comment. The TYR Chair will then revise the report, summarize any dissenting views, and submit the

² The Third-Year Review will be done in the fall term of the second year of employment for those who are granted two years toward tenure at the time of hire and in the Spring term of the second year for those who are granted one year toward tenure at the time of hire.

final version simultaneously to the candidate and Dean. The candidate will have an opportunity to respond in writing to the report. The Dean will compose a letter that will be made available to the candidate and the P&T committee; the letter will be included in the TYR File. The Dean will also meet with the candidate, the TYR Chair, and the P&T Chair to discuss the report. The candidate will have a final opportunity to respond; the response will also be included in the File.

Deadlines for the Third-Year Review Process

- 1 Portfolio prepared for evaluation –3rd Tuesday in February (September).
- 2 Committee Report to the P&T committee – 3rd Tuesday in March (October).
- 3 Committee Letter to the candidate and Dean – 1st Tuesday in April (November).
- 4 Candidate’s Response — 2nd Tuesday in April (November).
- 5 Dean’s letter – 3rd Tuesday in April (November).
- 6 Meeting of Candidate, P&T Chair, TYR Chair and Dean –4th Tuesday in April (Nov.).
- 7 Candidate’s Response –1st Tuesday in May (December).

7. UNIVERSITY PROMOTION AND TENURE PORTFOLIO PREPARATION

WHC candidates will adhere to the Provost’s guidelines for preparation of the portfolio and supplemental portfolio, available at the Provost’s website:

<http://www.fau.edu/provost/faculty/promotion-tenure.php>. It is the candidate’s responsibility to consult the Provost website and refer to the latest guidelines to ensure that the Portfolio is in compliance. Florida Atlantic University Guidelines require a minimum of five outside letters evaluating the candidate's research/scholarship/creative activity. Candidates shall consult with the Chair and Associate Dean to create a list of potential referees in the candidate's area of research. The Chair or Associate Dean will contact the referees and request the review letters.

8. PROMOTION TO PROFESSOR

Tenured faculty members may apply for promotion to Professor in the seventh year after promotion to Associate Professor. While there should be achievement and distinction in instruction, research/creative productivity, and service over the span of an individual's academic career, the candidate shall demonstrate significant additional achievement beyond that demonstrated at the time of promotion to Associate Professor. Candidates should consult the Provost’s Guidelines for Appointment, Promotion and Tenure of Faculty regarding expectations for promotion to Professor. According to these guidelines, scholarship is necessary for successful promotion. This scholarship can be in the form of traditional research/creative activity or scholarship that pertains to instruction or service. Review of an application for promotion to Professor will be conducted only by faculty who are Professors. Five (5) external review letters are required, and all external reviewers must hold the rank of Professor.

9. APPRAISAL OF PROGRESS TOWARDS PROMOTION

Upon candidate’s request, every three years after tenure Associate Professors will be evaluated for progress towards promotion. This appraisal will be done by a sub-committee of Full Professors of the WHC P&T Committee and will be based on the annual evaluation files and other documentation provided by the candidate. This process will occur in March and April on dates established by the WHC P&T Committee. The committee will report in writing to the Dean on

whether the candidate is making progress toward Promotion. This report will cover all three areas of faculty responsibility and the evaluation will be based on the criteria established in these guidelines. Faculty may request more frequent evaluations.

10. THE TENURE PROCESS

With advice from the Associate Dean or Chair, the candidate will prepare a portfolio as described in the Provost's Guidelines. The candidate will submit their materials for their portfolio to the Associate Dean. The Associate Dean will submit the entire Portfolio to the Wilkes Honors' College P&T Committee.

There will be a standing WHC P&T Committee that includes all tenured faculty members. The Chair of this committee must hold the rank of Professor. The WHC P&T Committee will meet, deliberate, and vote via a secret ballot. Copies of the candidate's file should be made available to the entire faculty two weeks prior to this meeting.

The Chair of the P&T Committee will then write a letter to the Dean, summarizing the report, discussion and vote by the tenured faculty. This letter must make explicit reference to the Wilkes Honors College criteria for Promotion and Tenure.

The Dean will receive the materials from the WHC P&T Committee and write a recommendation to be forwarded with the portfolio to the University-wide P&T Committee.

The Chair of the P&T Committee will be the designated representative to the University-wide P&T Committee. An alternate representative, to serve in the absence of the chair of the P&T committee, may be elected by the tenured faculty of the WHC.

11. SUSTAINED PERFORMANCE EVALUATION

The FAU BOT/UFF Collective Bargaining Agreement (CBA) includes a directive for sustained performance evaluation, also known as post-tenure review. Described in Article 10.1(b), the CBA states: "The purpose of Post-Tenure Review ("PTR") is to document sustained performance of assigned duties, acknowledge achievements, and to provide the opportunity for a longer range view of performance and accomplishments. It is also intended to enhance public trust in the University by ensuring that the faculty community undertakes regular and rigorous efforts to hold all of its members accountable for high performance standards." The spirit of PTR is to provide a structure that encourages and enhances continued faculty productivity in scholarly/creative pursuits as well as in teaching and service. WHC candidates will adhere to the process contained in the Wilkes Honors College Sustained Performance Evaluation Guidelines (Link will be added pending approval of the WHC SPE guidelines).

12. PROMOTION OF INSTRUCTORS

The objective of promotion for non-tenure-earning faculty is 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.

12.1. 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, assessment activities, community engagement and departmental collegiality. Additional contributions to the 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. A successful candidate for promotion to Senior Instructor must meet or exceed the criteria for teaching and service described above in sections 4.1 and 4.3 respectively.

12.2. 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.

12. 3. Eligibility

1. Instructors must be on regular, full-time appointments to be considered for promotion.
2. 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.
3. 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.
4. Instructors at any rank are not required to apply for promotion.
5. Portfolio status letters must show:
 - a. Date of initial hire at FAU and position
 - b. Dates of appointment to other positions at FAU, if applicable
 - c. Dates of appointments and positions outside of FAU if claiming credit for that time
6. Time spent in other positions at FAU may be considered towards promotion eligibility at the sole discretion of the Provost or designee. A request to consider time spent in other positions at FAU towards promotion must be directed to the Provost through the Dean prior to assembling the portfolio and no later than the first week of the academic year. The maximum amount of time allowable for transfer is three years. If requested, the position duties, FTE, status (visiting/adjunct), Dean approval detailing how this fits with FAU's *Strategic Plan for the Race to Excellence 2015-2025*, and other factors may be considered. Faculty attempting to use time spent in other positions should not prepare a portfolio until the Provost or designee confirms eligibility.

12.4. Levels of Review - Procedures

Promotion portfolios 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 Criteria for the Appointment. Promotion and Tenure of Faculty*. A separate memo specifying non-tenure-track portfolio guidelines and timelines will also be disseminated

annually. A timeline for College deadlines will be set to meet the Provost's deadlines. These deadlines will be set to allow the candidate adequate time to respond to the Dean's recommendation regarding promotion.

Promotion portfolios will be considered by a College non-tenure track promotion review committee. The committee shall be composed of two tenured faculty, two Instructors (if available; Senior or University Instructors are preferred when available), and one College faculty administrator. The College will determine how the tenured faculty and instructors will be selected; the faculty administrator will be appointed by the Dean of the College. The chair of the committee will be elected by the committee members. A faculty member who has applied for promotion for the year is ineligible to serve on a review committee. Recommendations from the committees will go to the Dean – who makes a recommendation to the Provost.

Faculty who are successful in attaining promotion may be awarded a salary increase if employed for a subsequent term. The amount of any increase for union bargaining unit faculty will be determined through the collective bargaining process and incorporated in the applicable collective bargaining agreement. Any increase for non-union faculty will be at the dean's discretion with approval from the Provost.

13. REVIEW OF THESE GUIDELINES

When needed, the WHC faculty will review these guidelines to determine whether they are meeting the needs of the college.