PROMOTION AND TENURE PROCEDURES AND CRITERIA

College of Engineering
Florida Atlantic University

(Approved by the COE faculty on 5-6-2002 and amended by the COE faculty on 9-29-2004)

1. INTRODUCTION

The objectives of this document are to assist faculty preparing for promotion and tenure in understanding what is expected of them, to communicate to the University community the standards and expected levels of performance in the College of Engineering, and to provide information on the evaluation processes and procedures involved.

There are two basic premises underlying the guidelines presented herein. The first is that faculty efforts, as individual and unique as they may be, should be consistent with the overall quest for excellence in the College of Engineering. The second is that the best way to assess academic standards and faculty performance is through a depersonalized process of peer review by the academic marketplace. For example, publications in refereed journals and funded research proposals are among the strongest indicators of active and successful research.

By necessity, this document is somewhat philosophical in nature. While it might seem convenient to write a prescription detailing exactly what must be accomplished to achieve promotion or tenure, it is recognized that there is no one mold into which all faculty should fit. The guidelines presented have been made as specific as is possible without encroaching upon the freedom of the individual to pursue those efforts which best match his or her own interests and abilities to the needs of the department, College, and University. At the same time, faculty should appreciate that review of their professional record will normally conform to those hallmarks and criteria which are generic to academic as well as professional engineering.

2. PROCEDURE

General procedures and requirements for promotion and tenure are given in the Collective Bargaining Agreement between the Board of Regents (BOR) and the United Faculty of Florida (UFF), and in the rules of the Florida Department of Education incorporated therein. All faculty should become familiar with these documents. These rules require that faculty seeking promotion or tenure be evaluated in each of three categories: teaching, research and creative activities, and service. Every faculty member is expected to show accomplishments in all three areas, but the level of effort in each will depend upon the individual’s assignment. The general considerations for tenure &/promotion of a faculty member include (but are not limited to) the evaluation of faculty member as evidenced by various categories such as sponsored research funding,
refereed publications, number of scientific citations, scholarly books, peer evaluation, development of new laboratory, patents, student advising, student supervising, and professional recognition. Candidates for promotion and/or tenure should review the following documents:

* College of Engineering Promotion and Tenure procedure and Criteria;
* The latest UFF/BOR Agreement;
* The most recent University-level copies of
  * "Guidelines for Appointment, Promotion, and Tenure of Faculty at Florida Atlantic University,"
  * "Principles for Creating Criteria for Promotion and Tenure,"
  * Requirements for tenure and promotion portfolios.

All the university documents related to promotions and tenure are available on the Provost’s web page (http://www.fau.edu/provost/faculty.htm).

Except for those with prior service credit, faculty will be considered for tenure during the sixth year of continuous service at FAU in a tenure-earning position. Only in very exceptional cases is tenure granted to individuals with less than six years of continuous service period. A written request by the faculty for an early tenure consideration is subject to the university’s written agreement. (In case, a faculty member is hired during the spring semester, the candidate will be eligible to apply for the tenure after 4 &1/2 years of continuous service at FAU. However, the tenure consideration for such a faculty member may be delayed for one additional year with the approval of the Dean and the Provost). The tenure track contract of a faculty member will not be renewed beyond seven years of continuous service unless the faculty has granted tenure status.

For entry level faculty, promotion to Associate Professor and the award of tenure normally occur at the same time (they are separate considerations, however), and the requirements for each are basically the same. The basic question involved with the tenure decision is whether there is ample evidence that the individual will continue to make significant contributions to the department and to the University for the balance of his or her professional career. With the promotion decision, the basic question is whether the person has shown professional growth and assumed increasingly important roles in the department, the University, and in his or her field, and whether this professional development is expected to continue. Promotion to Full Professor is a major step and implies that the individual has achieved a mature record of accomplishment and enjoys national recognition in his or her field.

Recommendations for tenure start with preparation of a package of materials detailing the accomplishments of the individual in the areas of teaching, research and service. Letters of recommendation from peers within the University and from without are included. The faculty member in consultation of the Department Chair should provide at least five outside referees’ names to the chair. The chair will contact the referees to request the recommendation. To be considered for tenure, an Assistant Professor must also apply for promotion at the same time as the consideration for tenure is made.
The tenure package (in the case of assistant professors the tenure and promotion package) is reviewed by the tenured faculty of the individual's department. The promotion package to full professor is only reviewed by the full professors of the department; associate and full professors may vote on promotion to associate professor. These faculty vote by secret ballot on the question of whether or not to recommend tenure or promotion. A rapporteur shall be elected at the meeting by all faculty members of the department eligible to vote on the tenure &/or promotion of the candidate. The rapporteur will be responsible for writing a summary of the meeting with the salient points of discussion. The written report to the chair shall preserve the anonymity of the faculty members but shall convey, as best as it can, the reasons for the faculty votes. The department chair then prepares a letter of recommendation to the Dean. The letter should include the results of the vote of the tenured faculty. The letter shall evaluate the record of the faculty member, making use of the appropriate College criteria. It shall attest to the documentation of the achievement which supports any positive recommendation for promotion and/or tenure.

The tenure & promotion package then goes to the College Personnel Committee. This committee consists of a representative from each department and a non-voting chairperson elected from the faculty at large; the chairperson represents the College on the University Promotion and Tenure Committee and votes on University promotion and tenure candidates according to university guidelines. The role of college committee is to ensure that the departmental evaluation has been objective and to evaluate the role of the individual outside his or her own department. The College Personnel Committee shall review the appropriate written criteria, the candidate's file, and the recommendation made by the chair of the department. The College committee shall vote by secret ballot on the case and make a written recommendation which would include the salient points of discussion, to the Dean. The written recommendation shall preserve the anonymity of the committee members but shall convey, as best as it can, the reasons for the vote. Faculty should recognize that the evaluation and recommendation of the College Personnel Committee is independent from that of the department, and the conclusions of the two need not be the same. Although, the College Committee is not bound by the results of the Chairperson's annual performance evaluations, it must consider them as part of the decision. If the College Personnel Committee disagrees with the department, it may do so on the basis of the written criteria.

The Dean of the College shall review the recommendation of the chair of the department, 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 Personnel Committee. The Dean shall consider the candidate's record, annual assignments and evaluations, and the written College criteria for promotion and/or tenure. In tenure cases, he or she shall consider the needs of the department, 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 the
vote of the College Committee and an evaluation of the candidate's record on the basis of appropriate criteria.

The University Promotion and Tenure Committee will review the candidates' portfolios, including the appropriate written criteria and the recommendations from the chair of the department, the College committee and the Dean of the College. The University committee makes a recommendation to the Provost through its vote on each case.

Please refer to the “Guidelines for Appointment, Promotion, and Tenure of Faculty at Florida Atlantic University” document for the detailed description of P&T procedures including the Provost-level and Presidential-level reviews.

3. CRITERIA

3.1 GOALS OF THE COLLEGE AND ITS FACULTY

FAU's College of Engineering has multiple instruction, research, and service missions. Because the College and its various departments offer degrees at the bachelors, masters, and doctoral levels, it must recognize faculty strengths in teaching and research, as well as in the traditional areas of university and other professional service. Hence, the College's goals must include excellence in all of these areas, although a faculty member may excel more in one area than the others.

At the individual level, each faculty member's goal is to be effective in the areas of instructions, research, and service. However, each faculty member will be judged only on assignments, so that assignment must be considered both by the faculty member and by her/his evaluator.

An enumeration of some of the facets of each of the major categories of faculty participation is useful in delineating promotion and tenure expectations.

INSTRUCTION - This area includes:
  . Teaching and development of
    . Undergraduate courses
    . Graduate courses
    . FEEDS courses
    . Distance Learning Courses
  . Student advising (courses, curriculum, graduation, etc.)
  . Supervising
    . Directed independent study courses (undergraduate and graduate)
    . Masters theses
    . Doctoral dissertations
  . Cooperative education coordination
  . Development of laboratory
  . Preparation and dissemination of course materials (papers, textbooks, etc.)
RESEARCH AND OTHER CREATIVE ACTIVITY - This area includes:

- Journal publications
- Grant proposals and funding
- Refereed Conference publications
- Other publications as appropriate (research monographs, textbooks, etc.)
- Patents and intellectual properties
- Directing graduate students

SERVICE - This area includes:

- Departmental administration
- College administration
- Departmental, College, and University committees
- Curriculum development for new degrees
- Student activities
- Accreditation activities
- Appointed and elected professional positions (editorships, committees, conference programs, professional association or society officer, etc.)
- Reviewing of research publications and research proposals
- Invited tenure and promotion appraisals from other institutions
- Supervision of service grants
- Invited speaker

4. EXPECTATIONS FOR TENURE/PROMOTION

Specifying exact criteria for promotion or tenure is not feasible, but general guidelines are possible. These guidelines should assist faculty seeking advancement and help the College and its departments in assigning duties to these faculty.

4.1 TENURE

The tenure criteria should reflect the accomplishments appropriate to the rank of the candidate. According to the University criteria, the guiding question for tenure consideration is the following one: "Will the university be made better and stronger by the relationship with this professor over the remainder of her or his academic career?" The awarding of tenure should be viewed as the most important decision of the faculty.

4.1.1 Untenured Assistant Professors

The criteria for tenure are the same as those for promotion to the rank of Associate Professor, keeping in mind the awarding of tenure implies a commitment by the university and the department that the individual and the departmental colleagues expect to co-exist in mutual collegial manner for the remainder of their professional career.
The faculty under consideration should demonstrate excellence primarily in the areas of instruction and research, with less emphasis on service. However, some service is expected to demonstrate ability and enthusiasm in that important area. Candidates will be judged by several measures, including student and peer evaluations of instruction, number and quality of publications, amount and types of sponsored research funding, interactions with local industry, and thesis/dissertation direction.

In instruction, faculty should excel in classroom instruction and related matters, including laboratory development, new course development, and so forth. Possible measures of success include student and peer evaluations of instructional abilities, wide distribution of teaching materials (including textbooks), and curriculum development.

Generally, faculty should concentrate their research efforts on publications in archival research journals (e.g. IEE, IEEE, ACM, ASME, ASCE, ASA, JFM) and on sponsored research funding, while still maintaining balance in other dimensions, such as conference papers. Measurements of success can include quality and number of research articles, research monographs and books, amount and diversity of research funding, and quantity and quality of graduate student sponsorship (both master's and doctoral levels when departmental activities allow).

In service, faculty should concentrate on department and college committee assignments and on professional service involving research refereeing activities, professional conference program committee, and other activities that enhance the person's professional growth without undue time demands. Assistant Professors should begin to attain visibility at the university and professional levels through assigned and volunteer service activities. Typical expectations for tenure are as follow:

(a) A consistently good record in teaching;
(b) One refereed Journal publication and one refereed Conference publication/year;
(c) Ability to obtain research funding and grants while at FAU;
(d) Evidence of service activities and participation in engineering profession;
(e) Demonstration of the ability to direct MS and Ph.D. student.

The tenure/promotion decision is not a simple summing of annual evaluation. The annual evaluations in conjunction with the college written criteria should be considered. Whenever a clear pattern is discernible in the annual evaluations which is consistence with the written college criteria, annual evaluations will be weighted heavily in the decision consideration. Otherwise, annual evaluations will be considered as part of tenure/promotion to a lesser degree, recognizing that other considerations also are important. In addition, the annual appraisal of progress towards tenure as well as 3-year college review could assist the candidates in assessing their progress toward tenure. The faculty member has the option to include these evaluations as integrated part of tenure/promotion considerations.
4.1.2. *Untenured Associate Professors and Professors*

Faculty hired as associate professor/professor --but without tenure-- should assume roughly the same guidelines as a promotion from associate professor to professor. Both research and instruction components will be weighed heavily in the tenure decision. Although, the tenure decision should consider the entire academic career of the candidate, it should weight heavily on the faculty accomplishment at FAU. While some additional service might be expected, non-tenured associate professors should recognize that extraordinary leadership assignments should wait until after the tenure decision unless the alternative assignment is clearly documented such that credit will be given.

**4.2 PROMOTION**

4.2.1 *Assistant Professor to Associate Professor*

As mentioned before, the basic question with the promotion decision is, whether the person has shown professional growth and assumed increasingly important roles in the Department, the College, the University, and in his or her field, and whether this professional development is expected to continue. Therefore, the criteria for promotion to the rank of Associate Professor focus on the accomplishments over the years as assistant professor. In addition, promotion decisions may look at pattern of activity that are not evaluated annually. In general, the guidelines for promotion from Assistant to Associate Professor are similar to those for tenure as described above.

4.2.2. *Associate Professor to Professor*

Associate professors are expected to continue developing their strengths in teaching and research, while contributing more heavily than assistant professors in service. Considerations will be based most heavily on achievements since promotion to associate professor--and less on earlier accomplishments--to ensure continuing growth. The performance, not years in rank, shall be the primary factor for promotion. Normally, a candidate’s application for promotion from the rank of Associate Professor to Professor will not be considered until the candidate has completed at least five years in rank as Associate Professor.

The faculty members should recognize that the traditional route to professor emphasizes “*distinction*” in research and creative activity. This route emphasizes leadership in scholarly activities as demonstrated by a sustained and quality publication record, successful mentoring of both master and doctoral students, established funded research activities, and strong ties to local industry. Tenured associate professors should assume increasing leadership and participation roles on departmental, college, and university committees. They should also assume leadership roles in professional activities as demonstrated by conference development and management, journal board activities, and election or appointment to professional positions.
Associate professors will receive progress toward promotions evaluation in three-year intervals. These evaluations are critical in building a case for promotion. Typical expectations regarding for promotion are as follow:

(i) National and International recognition as evidenced by a strong publication record in peer-reviewed journals and refereed conferences and scholarly books. Average: one refereed journal publication and one refereed conference publication/year (or two refereed journal publications/year).

(ii) Research support from recognized agencies including:
(a) NSF, NASA, DARPA, ONR, and other Federal agencies;
(b) State agencies;
(c) Industries and corporations and foundations;
(d) Other appropriate agencies.

(iii) A good record in advising and chairing graduate students to completion for both MS theses and Ph.D. dissertations.

(iv) An outstanding record of instructional activities over several years.

(v) Excellent Service to the university, the profession and the community.

In general, distinction in research and creative activity consists of outstanding accomplishments on (i)-(ii) of the above categories. It emphasizes leadership in scholarly activities as demonstrated by a sustained and quality publication record, established funded research activities, and strong ties to local industry. An Outstanding record of instructional activities include significant accomplishments in several areas of instruction as outlined on page 5 of this document, in addition to excellent classroom teaching.

A faculty member for promotion to professor is expected to have an outstanding record on three (out of 5) of the above indicators provided that the candidate can demonstrate continued competency in the other two areas also. Although, the criteria for outstanding and competency performances can be varied from one department to another within the College, it should be consistent with the overall goal and mission of a particular unit. The definition terms such as good, excellent, etc., in this document are consistent with the annual evaluation terms as described in COE operational procedure. However, the above five indicators should be viewed as general guidelines, since each promotion case needs individual consideration as assignment and academic activities will vary. In addition, annual evaluation should be an integrated part of promotion consideration.
5. THIRD YEAR REVIEW OF PROGRESS TOWARDS TENURE/PROMOTION

University guidelines for Promotion and Tenure require that an appointee to the rank of Assistant Professor shall receive, in the third year of his or her service, a formal review at both the department and college levels. (In case, a faculty member is hired during the spring semester, the review will be conducted after 2 & 1/2 years of continuous service at FAU. However, the third year review for such a faculty member may be delayed for one additional year with the approval of the Dean and the Provost). This review is in addition to the appraisals of progress toward tenure that are done annually by the department chairs. The purpose of the Third Year Review is to provide information and feedback to aid the faculty member in attaining tenure/promotion in the sixth year of service at the university. Candidates will assemble a Third Year Review portfolio, which will contain everything, required in the university's tenure portfolio, except for letters of references. Specifically, it is expected that the review portfolio will comprise of the following sections:

(a) A detailed C.V. according to the College guideline;
(b) A self evaluation;
(c) A general outline of future work and plans;
(d) An in-class evaluation of teaching carried out by a senior faculty member;
(e) Table of student assessments of teaching;
(f) Copies of Departmental activity report;
(g) Copies of Departmental annual assessments, performance evaluations and statements on the progress towards tenure.

5.1 DEPARTMENTAL LEVEL

The third year review process begins at the department level. The Chair shall set the deadlines for submission and consideration of materials during the first three weeks of the fall semester. The candidate's portfolio will be reviewed by a departmental committee constituted according to policies adopted by the department or, if such a committee doesn't exist, by all members of the department eligible to vote on the candidate. After consideration by the department, the chair will append a letter to the portfolio that expresses the opinion of the faculty within the department concerning the progress of the candidate towards tenure/promotion.

5.2 COLLEGE LEVEL

The College Personnel Committee will review all the relevant criteria, the candidate's record, and the departmental review. No vote is expected or required in the 3rd year review. The goal of the process is to provide useful information to the candidate about his or her progress. The chair of the committee will present a report to the Dean of the College. The Dean will write a letter to the candidate and the Department Chair and
provide whatever information and/or advice is appropriate concerning the progress toward the promotion and tenure. A faculty member may include the Third Year Review memoranda in his or her tenure application if he or she so desires. However, inclusion of this material in the tenure application is optional.

5.3 TIMETABLE

In the College of Engineering, the Third Year Review will occur in the Fall term of the Faculty member’s fourth year of employment (or the equivalent for those who are granted years towards tenure at the time of hire). Except in unusual circumstances, the timetable to be followed for the 3rd year review is as follows:

(a) In January/February, the Dean will request the names of the candidates whose 3rd year reviews are due in the Fall semester from the Chair of each Department. It is the responsibility of the Chair to ensure that any candidate in their department is aware of and follows the timetable and procedures for the completing the 3rd year review.

(b) The portfolios will be reviewed by the candidate’s department and submitted to the Dean’s office, together with the letter from the Chair during the first three weeks of the Fall semester.

(c) The College Personnel Committee will review the portfolios within two weeks of submission to the Dean’s Office.

(d) The College PC will report to the Dean following their review. It is expected that the process will be completed before the College Personnel Committee starts consideration of the regular faculty Promotion and Tenure portfolios.

6. IMPLEMENTATION AND EXAMINATION OF CRITERIA

This guideline shall become effective as outlined in UFF/BOR Agreement. Three years after this document has been implemented, the Dean will ask the College Personnel Committee to evaluate how well this guideline has worked. In addition, the Dean may consult with the departments chairs as well as other effected faculty members within the College to assess the implemented criteria and their consistency with the College’s mission. Based on this evaluation, the document can be revised according to the university guidelines.