

MEMORANDUM

TO: College Dean

FROM: Diane Alperin
Interim University Provost and Chief Academic Officer

DATE: April 28, 2011

SUBJECT: PROMOTION AND TENURE FOR 2011-2012

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. Certification of Promotion and Tenure Portfolio Documentation
4. Guidelines for Appointment, Promotion and Tenure of Faculty.
5. Principles for Creating Criteria and Standards for Promotion and Tenure

If you have any questions on any of this material or need assistance, please contact Diane Alperin at 561-297-2959 or by email alperind@fau.edu.

UNIVERSITY PROMOTION AND TENURE PORTFOLIO PREPARATION

April 2011

INTRODUCTION

The attached materials provide the outline and instructions for the preparation of promotion and tenure portfolios for 2011-2012. All participating parties are encouraged to review the *Guidelines for 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.

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; 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.

Some candidates may choose to add additional sections on instruction and service/administration to their supplementary portfolio. These additional sections would provide documents relevant to sections five and seven of the promotion/tenure portfolio. These additional sections would be necessary only for those with unusual assignments to instruction and/or service or those whose cases for promotion/tenure rely heavily on their accomplishments in these areas. 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, they should be in the Supplementary Portfolio only.

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

1. Certification of *Completeness of Promotion and Tenure Portfolio Form*
(This form is on last page of this document - must be signed and included in portfolio.)
2. Status letter(s)
3. Up-to-Date Vita
4. Annual Assignments
5. Instruction (Table; SPOT summary reports; Peer evaluation of teaching materials and classroom instruction)
6. Scholarship, research and/or other creative activity
7. Assigned service and/or administrative activity
8. Self-evaluation (candidates for promotion to Professor must state their area of distinction)
9. Letters of Recommendation from independent evaluators
10. Report of the Department/School
11. Chairperson's/Director's letter
12. Report of the College Promotion and Tenure Committee
13. Dean's letter
14. Department/Unit Criteria for Promotion and Tenure
15. Annual Employee Performance Evaluations
16. Third Year Review Reports
17. Optional:
 - A. Tenure and/or Promotion Appraisals
 - B. Replies to any Material in the Portfolio

EXPLANATION OF ABOVE LISTED ITEMS

1. Certification of Completeness of Promotion and Tenure Portfolio Form

Contained on the last page of this document is the *Certification of Completeness of Promotion and Tenure Portfolio Form* that the candidate signs and declares that the P&T Portfolio file is complete. The candidate must address all the required materials listed below (Items 1 – 16) to obtain a complete document. In addition to the candidate's signature, the P&T departmental and/or college representative are to review the file for completeness and also sign off on the Certification of Completeness Form on the last page. This is an important task for the candidate as Promotion and Tenure Committees will not review incomplete files.

2. 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.

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

In that section of the vita devoted to Research and Other Creative Activity, please

A. Provide complete citations

B. Categorize as follows unless the nature of the scholarly activity requires additional categories:

Refereed Works

Journal publications
Book and chapters in books
Presentations
Other publications

Contracts or Grants Received

Non-Refereed Works (categorize as above)

Proceedings (categorize as above)

4. All citations need to clearly indicate the status: Published; Accepted, Not Published; Submitted for Review. 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.

5. 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.

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.

B. Present the results of the evaluation form that was used. 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. 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.

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*

Semester	Title	Description	No. Enrolled	Required Elective	Credit Hours	Campus	Student Evaluation Results/# Responding (Scale is from a low of 5 to a high of 1)	Department Or College Mean	Other Means of Evaluation Including Peer if Available	Grad. Asst. Help
Fall 2007	Family Violence	SOW 4141	31	E	3	BOCA	Item 20: 2/26 Item 21: 2.0/26	1.9** 2.0	YES****	No
	Advanced Health Practice	SOW 6605	15	R	3	BOCA	Item 20: 1.5/15 Item 21: 2.0/15	2.2*** 2.0	NO	Yes

* Insert Additional columns as needed along with explanation of evaluation system.

** Department Mean for all Upper Level courses.

*** Department Mean for all Graduate courses.

**** Describe evaluation, for example: outside expert brought into observe three classes or peer evaluation of classes reported by letter in Section 9. Evaluated as excellent.

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

THESIS COMMITTEES		
SEMESTER/YEAR	ROLE/NUMBER/TYPE	NOTES
Fall 2007	Chaired 2 MFAs Served on 3 MFAs	One MFA graduated
Spring 2008	Chaired 2 MFAs Served on 2 MFAs	One MFA graduated One MFA graduated
DISSERTATION COMMITTEES		
Fall 2007	Served on 1 Ph.D.	Comparative Studies

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.

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

6. SCHOLARSHIP, RESEARCH AND/OR OTHER CREATIVE ACTIVITY

This section is an annotated version of the parallel section of the candidate’s 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 XXXX”).** 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. 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 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 Personnel. The document will be date-stamped and added to the front of the portfolio.

7. **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: 2007-08

DEPARTMENT	ROLE	TIME COMMITMENT	SEMESTER
Faculty Search Committee	Member	1 hour weekly	Spring
Master’s Program	Coordinator	5 hours weekly	Fall and Spring
COLLEGE			
Faculty Assembly	Secretary	2 hours weekly	Fall and Spring
UNIVERSITY			
Faculty Senate	Member	3 hours monthly	Fall and Spring
Commencement	Marshall	4 hours total	Spring
COMMUNITY			
Community Center Advisory Committee	Member	3 hours total	Fall

PROFESSION			
Journal	Peer Reviewer	6 hours total	Spring
National Organization	Elected Representative	1 hour monthly	Fall and Spring

8. 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. Candidates for promotion to Professor must state the area of distinction. 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

9. LETTERS OF EVALUATION addressed to the Chairperson of the Department/Director of the School (who must provide copies to the faculty member).

A. At a minimum, three current letters from referees outside this university, who are at the rank the candidate is aspiring to or higher. A list of potential referees should be compiled by the Chair/Director and the senior faculty (Professors & Associate Professors) in the discipline: 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 co-authors, dissertation advisors, and personal friends rarely are appropriate.** The chair's/director'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. 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 publication record"). 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").

B. If required, a maximum of two letters 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. 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 their work. The most useful letters will be those from colleagues who have worked closely with the candidate or some committee or other institutional projects. **Letters from junior colleagues in one's department/division are rarely appropriate.**

C. All letters solicited by the chairperson are to be included and only these letters should be included.

10. **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.

11. **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.

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.

12. 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.

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. 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 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

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. A copy of the DEPARTMENT AND/OR UNIT PROMOTION AND/OR TENURE CRITERIA as adopted 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.

15. 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.

16. 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.

17. 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.

FLORIDA ATLANTIC UNIVERSITY
PROMOTION AND TENURE TIME LINES

2011-2012

December 9, 2011	Portfolios to the Office of the Provost for review by the University Committee
March, 2012	University Committee recommendations to the Provost
April, 2012	Provost meets with All P&T Candidates Provost recommendations to the President
May, 2012	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.

CERTIFICATION OF PROMOTION AND TENURE PORTFOLIO DOCUMENTATION

1. Signed *Certification of Completeness of Promotion and Tenure Portfolio Form* (last page)

2. Status Letter

Appointment letter. Other letters/memoranda documenting promotion and tenure, years toward tenure and promotion; delay of tenure clock; permission to apply early; etc.

3. Up-to-Date Vita

4. Annual Assignments

University/College Forms

5. Instruction

Materials documenting instruction. Must include Tables for Teaching and Evaluation (see sample in Guidelines for Portfolio Preparation) and Table for Thesis Committees (see sample in Guidelines), if applicable, and SPOT summary sheets. **Must include documentation of peer evaluation.**

6. Scholarship, research and/or creative activity

Materials documenting accomplishments in this area. Must include critical reviews of work and letters of acceptance for any forthcoming work, if applicable.

7. Assigned service

Materials documenting service. Must include Table indicating the activity, your role, amount of time required and indication of release time, if applicable.

8. Self-Evaluation

9. Letters of Evaluation

- a. At a minimum, three current letters from referees outside the university. Must include a copy of the Chairperson's/Director's letters requesting the external review and a **brief** vita or summary of the referee's credentials.
- b. If required, a maximum of two current letters from colleagues within the university. Must include a copy of the Chairperson's/Director's letters requesting the review and a **brief** vita or summary of the colleague's credentials.

10. Report of the Department/School

11. Chairperson's/Director's Letter

12. Report of the College Promotion and Tenure Committee
13. Dean's Letter
14. Department/Unit Criteria for Promotion and Tenure
15. Annual Employee Performance Evaluations
16. Third Year Review Report
17. Optional
 - A. Tenure and/or Promotion Appraisals
 - B. Replies to any Material in the Portfolio

Certification of Completeness of Promotion and Tenure Portfolio Form

*I have reviewed this promotion and tenure portfolio on _____
Date
and certify that all of the above materials that are required and applicable are included.*

Please Sign Below:

Signature of Candidate

Date _____

Signature of the College P and T Representative

Date _____

Signature of the Departmental P and T Representative (if applicable)

Date _____