

**Harbor Branch Oceanographic Institute  
FLORIDA ATLANTIC UNIVERSITY**

**PROMOTION GUIDELINES FOR NON TENURE TRACK  
RESEARCH FACULTY  
Current revision (September 2020)**

The three primary missions of Florida Atlantic University are research, teaching and service. The primary mission of Harbor Branch Oceanographic Institute is to advance ocean discovery and promote conservation of marine resources through exploration, research, and education for the benefit of present and future generations.

Harbor Branch Oceanographic Institute is a Research Institute within the University with a primary mission of conducting high quality research and graduate education and the highest criterion for promotion is excellence in research and scholarly activity. Evidence of valuable service to the Institute and University as well as public or professional service are additional criteria for promotion. Many research faculty members do not have a formal teaching assignment but where one exists, performance relative to teaching will be included in the portfolio and included in the promotion process.

**Considerations for All Promotions**

For promotion at all levels, performance will be considered over a period of time; strong performance over a single year is **not** sufficient. Evaluation of performance will be weighted to consider the most recent 3 years before promotion eligibility, which will include averaging evaluation scores over the last 3 years. By the 3<sup>rd</sup> year promotion review, the candidate is expected to be performing (or nearly so) at the level of the higher rank (as described in the annual review guidelines).

Collegiality is an important aspect of the promotion process. Within a unit there should be a clear definition of the shared tasks, activities and goals of the academic unity and an assessment of an individual's productive participation in these. Collegiality should not be confused with sociability or likability. It is a professional, not a personal, criterion relating to the performance of a faculty member's duties. The candidate's professional abilities and relationships with colleagues should be compatible with the unit's mission and long-term goals. The candidate should have exhibited an ability and willingness to engage in the shared academic and administrative tasks. The candidate must maintain high standards of professional integrity.

**Promotion to the Rank of Research Professor (Full)**

Appointment or promotion to the rank of Research Professor is recognition of demonstrated achievement and distinction over the span of an individual's academic career, with evidence of longstanding leadership and substantial contributions both within and outside the university. The traditional route to Research Professor will be based on achievements in research in the appropriate discipline(s). While the decision involves the candidate's entire career, **the candidate's record shall demonstrate significant additional achievement beyond that demonstrated at the time of promotion to Associate Research Professor.** While demonstrated merit, not years of service, shall be the primary factor in determining the case for promotion to Professor, the norm for promotion from Associate Research Professor to Research Professor is no earlier than five years

completed in rank from the year that the promotion to Associate Professor became effective. Years in rank and sustained productivity while employed at FAU are particularly important.

The criteria for promotion to the rank of Research Professor (Full) are:

Research:

1. National or international status of the candidate in his/her discipline as evidenced by a sustained publication record in refereed scientific journals, published books or chapters in books, presentation of papers and invited Keynote or Plenary lectures at scientific meetings and seminars at universities and scientific institutions, etc. while at FAU.
2. Continuing record of research support from external granting agencies, Foundations or industry
3. Continuing record of successful guidance of graduate and/or undergraduate students conducting research within the discipline(s) of the candidate

Teaching (where applicable):

4. For those with teaching assignments, an acceptable performance in teaching is expected and measured based on evaluations such as: annual evaluations by the HBOI Executive Director, peer review of teaching and Student Perception of Teaching (SPOT) evaluations and evidence of improvement with time

Service:

5. Sustained record of leadership and service to the institute, university, and/or the professional community. Examples include but are not limited to mentoring junior faculty; serving on Institute and/or University Committees; service to granting agencies as a reviewer; service to Professional Societies and Publishers (member of Editorial Board, reviewing manuscripts, holding elected office), conference/workshop organization, service to the Community related to FAU outreach and public engagement activities.

### **Promotion to the Rank of Associate Research Professor**

Appointment or promotion to the rank of Associate Research Professor is recognition that the faculty member has reached a status in their discipline appropriate to a life-long member of the academic world. This means that the person will clearly demonstrate the commitment and ability to continue to be a researcher, contributing to the relevant field(s) of knowledge through original work and where applicable, quality teaching in the best traditions of the professorate. Although the typical Assistant Research Professor will have only a modest assignment to service, promotion to Associate Professor requires that the candidate have a record of responsible and conscientious participation in some service activities.

The criteria for promotion to the rank of Associate Professor are:

Research:

1. Evidence of growing independence in scholarly activities within the candidate's discipline, normally evidenced through refereed publications, book chapters, presentations, awarded research grants and proposals while at FAU

2. Demonstration of the ability to secure adequate external research support to achieve item 1 and as detailed in the annual review guidelines
3. Record of successful guidance of graduate and/or undergraduate students conducting research within the discipline(s) of the candidate

Teaching (where applicable):

4. For those with teaching assignments, an acceptable performance in teaching is expected and measured based on evaluations such as: annual evaluations by the HBOI Executive Director, peer review of teaching and Student Perception of Teaching (SPOT) evaluations and evidence of improvement with time. Teaching within other units of the University will be evaluated by the appropriate Department Chair or Dean.

Service:

5. Demonstrated record of service to the institute, university, and/or the professional community as detailed in the annual review guidelines. Examples include but are not limited to serving on Institute and/or University Committees; service to granting agencies as a reviewer; service to Professional Societies and Publishers (member of Editorial Board, reviewing manuscripts, holding elected office), conference/workshop organization, service to the Community related to FAU outreach and public engagement activities.

## Evaluation Criteria

The promotion evaluation criteria for scholarly activities, teaching and service will generally correspond to the annual performance review criteria for the applicant. The evaluation of the promotion portfolios must be **objective** (see process below). The performance of a candidate should be evaluated on a case-by-case basis, commensurate with their rank.

A third-year review addressing progress toward promotion will be conducted for all Assistant and Associate Research Professors by the Executive Director. The candidates for 3rd year review should produce a brief portfolio describing their achievements and accomplishments since their appointment to Florida Atlantic University using the Non- Tenure Track e-Portfolio Guidelines as a guide.

The 3<sup>rd</sup> year review portfolio will comprise:

- A short c.v. containing a list of published papers, participation at conferences, grant applications and awards, honors, service, students mentored and course list (if applicable) since joining FAU.
- A brief self-evaluation of accomplishments and progress towards promotion (no more than 2 pages)
- A general outline of future work and plans. (1 page)
- Copies of Institute annual assessments, performance evaluations, statements on progress towards promotion and instructional reviews if applicable (SPOT reports, peer review, etc.).

The metrics for appraising an individual's performance are described in the document "HBOI Criteria for Non-Tenure Track Research Faculty Promotion, Appointment and Appraisal" used in conducting Annual Evaluations.

### **Process for promotion**

The following process complements the existing memoranda e-Portfolio Guidelines for Tenure and Non-Tenure Faculty as distributed by the Office of the Provost.

Faculty members eligible for promotion should meet with the Executive Director to discuss their performance and the potential submission of a portfolio.

Candidates for promotion will prepare a portfolio that includes all items that regard their performance in scholarly activities, teaching (where applicable) and service. Promotion portfolios should include the following items:

- Annual faculty evaluations, most recent six years since hire or, if previously promoted, last promotion.
- A short c.v. containing a list of published papers, participation at conferences, grant applications and awards, honors, service, students mentored at FAU and course list (if applicable) of courses taught at FAU or since the last promotion
- Candidate's summary of his/her accomplishments during the period since hiring or the last promotion.
- A general outline of future work and plans.
- Review of teaching performance (SPOT scores, peer review of teaching evaluation, etc.) Comments from experts in the candidate's field (a minimum of 3 external recommendation letters to be solicited by the promotion review committee; internal recommendation letters can be added if agreed to by the Executive Director).

Each year the Executive Director will appoint an HBOI Promotion Committee who will guide the candidates to develop their portfolios, solicit letters of review, and review all submitted portfolios.

If a candidate has been recommended for promotion by the promotion committee, the candidate will be evaluated by the appropriate members of the Faculty Assembly who vote in the given promotion case. The outcome will be determined by a simple majority of the votes.

#### **For promotion to the Rank of Research Professor:**

All faculty holding rank of Professor or Research Professor with at least 50% appointment at the Institute will be eligible to vote.

#### **For promotion to the Rank of Associate Research Professor:**

All faculty holding rank of Research Professor, Professor, Associate Research Professor or Associate Professor of the Institute with at least 50% appointment in the Institute will be eligible to vote.

**Approved:**

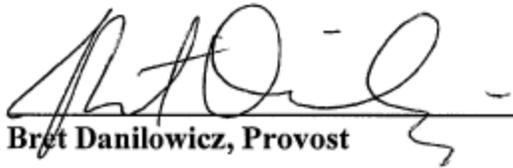


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**Dan Flynn, Vice President for Research**

9/22/2020

**Date**



**Bret Danilowicz, Provost**

11/25/2020

**Date**

**Approved Date: 11/25/2020**

**Effective Date: 11/25/2023**

*Criteria shall become effective only after adoption by the Vice President for Research and Provost and his/her designees. When new criteria are adopted and approved, faculty submitting applications for promotion within the subsequent three years may choose to be evaluated based on the old or the new criteria. Thereafter, only the new criteria will apply.*