

Criteria for the Appointment, Promotion, and Tenure of Faculty

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1. GENERAL POLICY

This document, *Criteria for the Appointment, Promotion and Tenure of Faculty*, provides general university-wide criteria for all faculty concerning the appointment, promotion, and granting of tenure to faculty. The *Principles for Creating Criteria and Standards for Promotion & Tenure* (published separately) is incorporated herein and provides additional promotion and tenure requirements, and provides guidance for the creation and adoption of subordinate specific criteria by a college, department or school.

This document defines the university's overall expectations regarding promotion and tenure. As such, they are necessarily general; more detailed expectations at the level of each college, school or department must be in accordance with, and no less rigorous than, the general principles that follow. Criteria for tenure and promotion focus on achievements and promise in the broad areas of Instruction, Research, and Creative Activity, and Service. Standards need to be established in each of these areas that are clear and measurable and accurately reflect the current goals and objectives of the unity. It is therefore essential that the academic unit (college, department, school) review their criteria and standards every five years to be consistent with their mission (See the *Principles for Creating Criteria and Standards for Promotion & Tenure*).

Criteria for appointment, promotion, and tenure are focused on achievements and promise in the areas of Instruction, Research, Scholarship and Creative Activity, and Service. Colleges and departments/schools shall adopt more specific criteria that cannot conflict with the university-wide criteria herein. Criteria shall become effective only after adoption by the Provost and his/her designee(s). When new criteria are adopted and approved, faculty submitting applications for tenure or 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.

The evaluation of candidates for promotion and tenure shall reflect their assignments and, with reference to those assignments, be based primarily on their accomplishments in instruction, research and other scholarly or creative accomplishments, and service, as generally described below and as amplified at the college, school or department level. Written unit criteria, developed at the college or school/department level, shall specify the standards and methods that will be used to determine if candidates have attained a sufficient level of accomplishment to merit a positive recommendation for promotion and/or tenure. Unit criteria and standards need to be well defined, clear, and transparent.

Tenure and promotion recommendations are among the most important decisions made by faculty. These decisions impact the lives of the candidates and the future of Florida Atlantic University. Candidates need to consider this as they assemble their portfolios for review by their colleagues. Faculty, as colleagues, need to consider this as they are afforded the opportunity to review portfolios, participate in the deliberations, and vote their recommendations. Ultimately, only the President of the University in his/her sole discretion may grant tenure.

2. TENURE

Tenure at Florida Atlantic University is the recognition that the person so honored is an established member of the academic profession, possessing a terminal degree or qualification appropriate to the discipline, and having clearly demonstrated the commitment and ability to continue to be a scholar, contributing to the field of knowledge through original work and quality teaching in the best traditions of the professorate. A candidate for tenure will also have demonstrated commitment through service to the University and, if appropriate, to the community and profession. In making tenure recommendations, faculty should keep in mind that the successful candidate for tenure will assume what may be an appointment of 30 years or more in the department/school/college. Until the time tenure is granted, a candidate may be separated for any reason without cause in accordance with University policy and/or collective bargaining agreement.

Tenure will normally be considered during the sixth year of continuous service unless there is a written agreement to accept prior service credit. If the employee was credited with tenure-earning service at the time of hire, they may request that all or a portion of such credit be withdrawn only once, prior to formal application for tenure. This requires a written request from the candidate, a recommendation from the supervisor and dean, and approval of the Vice Provost.

A request to submit a portfolio for tenure earlier than the sixth year must be made by the candidate in consultation with the chairperson/director, senior faculty (Professors and

Associate Professors) and the Dean. The final decision is made by the Dean. Once the decision is made, no further justification in the portfolio is required, however documentation of this decision must be in the candidate's portfolio. No candidate may submit a portfolio for tenure more than twice.

If the employee began employment at mid-year, the letter of offer needs to specify if the tenure application will cover 4.5 or 5.5 years of service at the University. A faculty member may also request delay of review of their tenure portfolio for special health or family issues, as well as taking compensated or uncompensated leave. In all instances, the request needs to be supported by the Chair/Director and the Dean, and approved by the Vice Provost. The University has no quotas for the granting of tenure.

Tenure implies a lifelong commitment of the institution to the person. The awarding of tenure is not a simple summing of annual evaluations. There is no guarantee that the President will grant tenure, and no person or academic unit may make a guarantee or promise, regardless of the perceived strength of the candidates portfolio. All applicants must accept that the awarding of tenure is based upon the subjective judgment that the person will have a lifelong commitment to scholarship and teaching at the University level and to sharing in the tasks, activities and goals of the Department/School, College and University.

A candidate who does not meet the relevant criteria for promotion to Associate Professor is not eligible for tenure at Florida Atlantic University. As tenure is linked to promotion to the rank of Associate Professor, an individual may not apply for promotion to Associate Professor without also applying for tenure.

Before promising a prospective faculty member that he/she will be recommended for tenure as a condition of employment, the University Provost or his/her representative shall consult with the faculty. Although it might not be possible to assemble a complete packet for such candidates, the packet must include at least an up-to-date resume, a record of the professor's tenure at other universities, references solicited as part of recruitment process, a vote of the tenured faculty of the department/school involved, letters of recommendation from the Department Chair/School Director and the Dean (which includes the vote of the College Promotion and Tenure Committee). The final decision is by the President.

3. APPOINTMENTS & PROMOTION

The tenure-earning and tenured ranks at Florida Atlantic University are: Assistant Professor, Associate Professor, and Professor. The university has no quotas for admission to rank.

All those involved with the faculty employment search process for a tenure-track employee need to be impressed with the importance of the hiring decision. They need to assess the

potential of the candidate in helping the unit further its goals and objectives and to successfully achieve tenure and promotion. The same criteria shall apply for initial appointment to any rank as apply to promotion to that rank. These criteria recognize three broad areas of academic activity: instructional activity; research, scholarship, and other creative activity in the relevant discipline(s); and service. Service shall include contributions to the effective functioning, administration and development of professional associations, department/school, college and university programs, and the university itself, as well as assigned service to the community.

The American Association of University Professors, in its statement *On Collegiality as a Criterion for Faculty Evaluation* (2016), indicates that:

collegiality is not a distinct capacity to be assessed independently of the traditional triumvirate of teaching, scholarship, and service. Evaluation in these three areas will encompass the contributions that the virtue of collegiality may pertinently add to a faculty member's career.

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. Are the candidate's professional abilities and relationships with colleagues compatible with the unit's mission and long-term goals? Has the candidate exhibited an ability and willingness to engage in the shared academic and administrative tasks? Does the candidate maintain high standards of professional integrity?

In each of these areas – Instruction, Research, Scholarship and Creative Activity, and Service – 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.

Assistant Professor

Appointment or promotion to the rank of Assistant Professor normally requires that individuals hold the highest earned degree appropriate to their discipline. Appointment to this rank is made on the judgment that individuals are capable of reaching tenure within a maximum six-year period. Evidence of potential for excellence in scholarship and for quality teaching is required.

Associate Professor

Appointment or promotion to the rank of Associate Professor is recognition that the faculty member has reached a status in the 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 scholar or artist, contributing to the relevant field(s) of knowledge through original work and quality teaching in the best traditions of the professorate. The candidate must demonstrate commitment to and

ability in teaching and related instructional activity, as well as demonstrating the ability to contribute successfully and continuously to the scholarship or creative activity of appropriate academic disciplines. Instructional activities shall be rigorously evaluated as scholarship and creative activity. Although the typical Assistant 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.

Promotion decisions shall consider:

Evidence of achievement in the appropriate discipline(s). In most cases, such achievement will primarily be scholarly activity, normally demonstrated through publication of scholarly books, refereed articles and refereed papers and, where appropriate, patents and research grants. In some disciplines, creative activity may be required instead of, or in addition to, scholarly publications. The broadest range of appropriate scholarly or creative activity shall be considered in the criteria, including participation and leadership in appropriate professional activities.

Evidence of achievement in teaching and, if appropriate, other instructional activity. The quality of instructional activity shall be evaluated by students and peers, as well as through administrative and self-assessment.

Evidence of commitment to service. This may be through contributions to the effective functioning, administration and development of department/school, college or university programs, college and university, and, if assigned, externally, through uncompensated use of scholarly knowledge or creative talent in the work of the public schools, professional organizations, community agencies, other such nonprofit or public organizations, and in the community.

Professor

Appointment or promotion to the rank of 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.

For promotion to Professor the candidate must demonstrate, at a minimum, distinction in scholarship/research/creative activity and competence in teaching and service.

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 Professor.** While

demonstrated merit, not years of service, shall be the primary factor in determining the case for promotion to Professor, no earlier than five years completed in rank from the year that the promotion became effective, may be considered the norm for promotion from Associate to Professor. Years in rank and sustained productivity at FAU are particularly important.

4. PROCEDURE FOR GRANTING PROMOTION AND/OR TENURE

Departmental Review

Candidates should acquaint themselves with all relevant documents. The Chair/Director is responsible for directing each new faculty member to the following: a copy of these Criteria; the Principles for Creating Criteria and Standards; the department/school or college statement that includes criteria for annual evaluation, promotion and tenure and third year review procedures; the most recent requirements for tenure and promotion portfolios issued by the Office of the Provost and Vice President of Academic Affairs; and any existing departmental/school and college personnel policies. Many of these materials are posted on the website of the Provost, the College, and/or the department/school.

Regular feedback, advice and assistance shall be a part of the process at annual or more frequent intervals. Annual performance evaluations must be conducted. They must be considered in the promotion and/or tenure process. The annual evaluations of untenured faculty must include a separate component that fairly appraises the faculty member's progress towards tenure and, if the candidate is an Assistant Professor, promotion to Associate Professor. In addition, an appointee to a tenure-track position shall receive, in the third year of his or her service, a formal written review at both the department/school and college levels. For employees awarded years toward tenure, these years count toward the Third Year Review. For mid-year hires, the timing of the Third Year Review needs to be consistent with scheduled tenure application. Faculty members eligible for promotion to Full Professor may request appraisal of their progress towards promotion at the time of their annual evaluation. Faculty members' annual assignments must be considered in evaluating progress toward promotion, and Third Year Reviews must be in writing and include constructive suggestions and a suggested plan of action. A successful or optimistic Third Year Review, however, does not guarantee tenure or continued employment thorough the application process. Until the time tenure is granted, a candidate may be separated for any reason without cause in accordance with University policy and/or collective bargaining agreement.

Departmental/school evaluations of individuals for promotion and/or tenure should be made after a departmental/school meeting that includes discussion of the case and consideration of the appropriate criteria and a secret ballot polling of all faculty

eligible to vote on the case. Small departments/schools/colleges with fewer than three eligible voting faculty must include faculty from similar departments/schools/colleges to establish the minimum of three eligible voting members. In no situation can the departmental Chair or other administrator vote at the department/school/college level. Large departments and departments with faculty on multiple campuses may want to consider video or telephone conferencing to allow full participation by eligible faculty. In tenure considerations, those eligible to vote are the tenured members of the appropriate department/school; in promotion cases, all tenured members of the faculty at the rank being voted on or above are eligible to vote. Faculty on sabbatical or other research leaves are eligible to vote if they are in the area and available to participate. Faculty in DROP are still employed by the university and eligible to vote: faculty in the Phased Retirement Program have retired from the University and are not eligible to vote.

The materials that are reviewed at the departmental/school level should include all of the materials that will be submitted to the university level as stipulated in the Provost's Memorandum on portfolio preparation. Minimally, these include: an appointment letter, up-to-date vita, the outcome of evaluation of instructional activity by students, peers, and self; the distribution of the evaluative scores earned by other faculty, broken down by course, course level, or by department/school, as appropriate; documentation and examples of relevant research, scholarly or creative work, as well as instructional materials; a minimum of three current letters from referees outside this University from an R2, R1, or their international equivalents who are acceptable to the chairperson/director and the candidate (letters from reviewers at institutions not of these categories would require justification as to why the reviewer is appropriately qualified e.g. Field Medal awardee, Guggenheim Fellow, or other appropriate validation of their research achievements); the Third Year Review Report and the record of the faculty member's tenure and promotion appraisal(s) including any response by the faculty member. The department/school will issue a memorandum to the chair/director, reporting the numerical results of the poll of the faculty eligible to vote and, as best as can be discerned, the reasons for the vote, preserving the anonymity of the faculty members. Committee member names, voting and non-voting, must be listed in the memo. The written report, however, shall preserve the anonymity of the voting but shall also convey, as best as can be discerned the reasons for the vote. Committee members who have a conflict of interest should recuse themselves from the discussion and the voting on the candidate with whom a conflict of interest exists. A copy will be shared with the faculty member, who may attach a brief response within 5 days of receipt of the material. Departmental/school requirements or subordinate criteria may not conflict with college or university criteria.

After the department/school has voted, the departmental chairperson/school director

shall send a letter of recommendation to the Dean which shall include a detailed analysis and evaluation of the work of the faculty member and a clear statement of support or non-support. That letter shall include the use of the appropriate department/school or college criteria to evaluate the record of the faculty member. A copy will be sent to the candidate who may attach a brief response within 5 days of receipt of the material. The department/school recommendation vote and chair/director letter are only recommendations to be considered in the process, and are not definitive.

College-Level Review

The College Promotion and Tenure Committee shall review the appropriate criteria, the candidate's file, and the recommendation made by the department/school and the chair of the department/director of the school. It is expected that all committee members attend and participate in the discussion and voting process. The committee shall vote on the case and make a written recommendation to the Dean. Committee member names, voting and non-voting, must be listed in the memo. The written report, however, shall preserve the anonymity of the voting but shall also convey, as best as can be discerned the reasons for the vote. Committee members who have a conflict of interest should recuse themselves from the discussion and the voting on the candidate with whom a conflict of interest exists. A copy will be shared with the faculty member who may attach a brief response within 5 days of receipt of the material. For a candidate with joint appointment with a Pillar, the Pillar director should also submit a letter of recommendation to the Dean.

The Dean of the College shall review the recommendation of the department/school and the chair of the department/director of the school, 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 Promotion and Tenure Committee. The Dean shall consider the candidate's record, annual assignments and evaluations, and the written college and/or department/school goals and criteria for promotion and/or tenure. In tenure cases, he or she shall consider the needs of the department/school, college and university, and the contributions the employee is expected to make to the institution. College requirements or subordinate criteria may not conflict with university criteria.

The Dean shall make a recommendation to the Provost. The Dean's letter shall include an evaluation of the candidate's record on the basis of appropriate criteria. A copy will be shared with the faculty member, who may attach a brief response within 5 days of receipt of the material. The college recommendation and Dean's letter are only recommendations to be considered in the process, and are not definitive.

University Provost and Vice President of Academic Affairs-Level Review

- The University Promotion and Tenure Committee will review the candidate's portfolios, including the written criteria and the earlier recommendations on each case. It will make a recommendation to the Provost through its vote on each case. The recommendations shall include the numerical results of the poll of the Committee and a brief synopsis of the discussion of each candidate, preserving the anonymity of the committee members.
- The Provost shall consider the recommendations of the University Promotion and Tenure Committee.
- The Provost and Vice President of Academic Affairs conducts a review of the material submitted at all earlier levels. The Provost verifies that the recommendations for promotion or tenure provided by all previous levels of review have considered the candidate's annual assignments and evaluations, the candidate's record, and the written college or department/school goals and criteria for promotion and tenure. In tenure cases, he or she shall verify that the needs of the department/school, college, and university, and the contributions the employee is expected to make to the institution in the future have been considered.
- Following this review, the University Provost makes a positive or negative recommendation to the President. The Provost is not bound by any earlier recommendation in his/her analysis, and should use independent judgment in making a final recommendation to the President. Only the President may make a final determination on tenure.

Presidential-Level Review

The President must give consideration to the Provost's recommendations in arriving at a decision but need not follow the recommendation of the Provost or any other reviewer. Only the President shall make the final independent decision on the granting of tenure and promotion. The President's review will include a consideration of the candidate's record, the relevant written goals and criteria for promotion and tenure, the earlier recommendations and, in tenure cases, the needs of the department/school, college, and university, and the candidate's likely future contributions to the university. For tenure cases, the President will certify to the FAU Board of Trustees that all the required procedures have been followed. The faculty members considered shall be notified in writing of the President's decision by the President or designee.

5. RIGHT OF RESPONSE

Prior to consideration at the next higher level of evaluation, a candidate for promotion and/or tenure may attach a concise response within 5 days of receipt of any material that has been added to her or his file.

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