

MEMORANDUM

TO: College Deans
Director, University Library

FROM: John F. Pritchett
University Provost and Chief Academic Officer

DATE: May 2005

SUBJECT: **PROMOTION AND TENURE FOR 2005-2006**

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. University tenure recommendations for the 2005-06 year will be made by the FAU Board of Trustees.

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 for Promotion and Tenure

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

UNIVERSITY PROMOTION AND TENURE PORTFOLIO PREPARATION

May 2005

INTRODUCTION

The attached materials provide the outline and instructions for the preparation of promotion and tenure portfolios for 2005-2006. All participating parties are encouraged to review the ***Guidelines for Appointment, Promotion and Tenure of Faculty and the Principles for Creating Criteria 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.**

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/administration 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. 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 Promotion and Tenure Portfolio Documentation
2. Status letter(s)
3. Up-to-Date Vita
4. Annual Assignments
5. Instruction
6. Scholarship, research and/or other creative activity
7. Assigned service and/or administrative activity
8. Self-evaluation
9. Letters of Recommendation
10. Chairperson's/Director's letter
11. Report of the College Promotion and Tenure Committee
12. Dean's letter
13. Department/Unit Criteria for Promotion and Tenure
14. Annual Employee Performance Evaluations
15. Optional:
 - A. Tenure and/or Promotion Appraisals
 - B. Third Year Review Reports
 - C. Replies to any material in the portfolio

EXPLANATION OF ABOVE LISTED ITEMS

1. CERTIFICATION OF PROMOTION AND TENURE PORTFOLIO DOCUMENTATION FORM

This form, included at the end of this packet of materials, needs to be signed by the candidate certifying that all required materials are included in the portfolio.

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, delay of the tenure clock, permission to apply early, etc., these need to be included here.

3. UP-TO-DATE VITA, with sequentially numbered pages. Faculty are encouraged to use the SAVE (Scholarly Activity and Vita Entry) module of FAIR (Faculty Academic and Information Reporting).

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)

All citations need to clearly indicate the status: Published; Accepted, not published; Submitted for review; Ongoing.

4. 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.
- B. Quantitative data on teaching*. At a minimum, for the years that the candidate has been employed at the university, this section must include the summary item (before Fall 1999, item 17; after Fall 1999, item 8) from Student Perception of Teaching (SPOT). Faculty using the Distance Education SPOT, item #18 will be appropriate summary item.

For years prior to the implementation of this form (e.g., pre-1997), 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.

During the 2005-2006 academic year, a new SPOT form will come into use; items #20 and 21 will be the summary items at that time.

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 2003	Family Violence	SOW 4141	31	E	3	BOCA	1.2/26	1.9**	YES****	No
	Advanced Health Practice	SOW 6605	15	R	3	BOCA	1.5/15	2.2***	NO	No

* 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 2003	Chaired 2 MFAs Served on 3 MFAs	One MFA graduated
Spring 2004	Chaired 2 MFAs Served on 2 MFAs	One MFA graduated One MFA graduated
DISSERTATION COMMITTEES		
Fall 2003	Served on 1 Ph.D.	Comparative Studies

C. **Peer Evaluation*.** This section must include peer evaluation as appropriate to the discipline, department/school and college. 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 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.

7. ASSIGNED SERVICE to institution, profession, community and public schools. This includes administrative assignments at the university. 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/administrative 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 and/or administration was a significant part of the candidate's assignment. Additional documentation, if necessary, can be included in the supplementary portfolio.

SERVICE: 2003-04

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. 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 and administrative work
 - 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, two 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 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. At a maximum, two letters from colleagues within the university. While these letters may evaluate all aspects of the candidate's contributions, 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. CHAIRPERSON'S/DIRECTOR'S LETTER, a copy of which is to be sent to the faculty member and is to include:

- A. (1) for tenure – the numerical results of the poll by secret ballot by the tenured members of the employee's department/school; (2) for promotion – the numerical vote, as well as an explanation of who had voting rights on the application and of how the voting was done.
- B. 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.
- C. 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.

11. 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 recommendation shall

preserve the anonymity of the committee members but shall convey, as best as it can be discerned, the reasons for the vote.

12. 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.

13. 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.

14. 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.

15. OPTIONAL:

- A. Tenure and/or Promotion Appraisals. If requested, Chair/Director must assist in providing copies of these materials.
- B. Third Year Review Report. If requested, Chair/Director must assist in providing a copy of the third year review report.
- C. Replies to any material in the portfolio.

FLORIDA ATLANTIC UNIVERSITY
PROMOTION AND TENURE TIME LINES

2005-2006

December 9, 2005	Portfolios to the Office of the Provost for review by the University Committee
February, 2006	University Committee recommendations to the Provost
March, 2006	Provost recommendations to the President
April, 2006	Recommendations on Tenure to Committee on Academic and Student Affairs of the BOT
May, 2006	Recommendations on Tenure to the FAU Board of Trustees
May, 2006	Announcements on Promotion Decisions

PLEASE STRUCTURE COLLEGE TIME LINES TO INSURE COMPLIANCE WITH THE DECEMBER 9, 2005 SUBMISSION TO THE OFFICE OF THE PROVOST. THE NAME OF THE CHAIRPERSON OF EACH COLLEGE PROMOTION AND TENURE COMMITTEE IS TO BE PROVIDED TO EILEEN VIERA (EMAIL - VIERA@FAU.EDU) IMMEDIATELY UPON FORMATION OF THE COMMITTEE.

CERTIFICATION OF PROMOTION AND TENURE PORTFOLIO DOCUMENTATION

1. Signed Certification of Promotion and Tenure Portfolio Documentation Form

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. **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 and/or Administrative activity

Materials documenting service or administrative activity. 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, two 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. At a maximum, 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. Chairperson's/Director's Letter

Must include numerical vote of the department.

11. Report of the College Promotion and Tenure Committee

Must include numerical vote of the college committee.

12. Dean's Letter

13. Department/Unit Criteria for Promotion and Tenure

14. Annual Employee Performance Evaluations

15. Optional

A. Tenure and/or Promotion Appraisals

B. Third Year Review Report

C. Replies to any material in the portfolio

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

Signature of Candidate