



Item: PC: A-3 & A-4

**PERSONNEL AND COMPENSATION COMMITTEE**

**Thursday, April 19, 2012**

**SUBJECT: AMENDMENT OF REGULATIONS 5.002, FACULTY EVALUATIONS,  
AND 5.005, PROMOTION PROCEDURES**

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**PROPOSED COMMITTEE ACTION**

Recommend approval of amendments to FAU Regulations 5.002, Faculty Evaluations, and 5.005, Promotion Procedures.

**BACKGROUND INFORMATION**

The Administration is requesting approval to amend FAU Regulations 5.002, Faculty Evaluations, and 5.005, Promotion Procedures. These amendments will remove outdated language referring to the Florida Administrative Code, and will update and clarify how faculty members are evaluated, and how all employees may be promoted. Faculty members in the faculty union bargaining unit are not affected by these amendments, as those changes are collectively bargained.

**IMPLEMENTATION PLAN/DATE**

The regulations will be amended and effective upon adoption by the Board.

**FISCAL IMPLICATIONS**

N/A

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**Supporting Documentation:** Amended regulations 5.002 and 5.005

**Presented by:** David Kian, General Counsel

**Phone:** 561-297-3007

# Florida Atlantic University

## Regulation 5.002 Faculty Evaluations

(1) ~~The following will implement the provisions of Rule 6C-5.221, F.A.C., which requires that each faculty member be evaluated annually on the basis of his or her total performance in fulfilling responsibilities to the University.~~ The University shall conduct periodic evaluations of its faculty in accordance with the procedures below or for in-unit faculty, if applicable, the terms of a collective bargaining agreement. Failure to comply with this procedure shall not invalidate an evaluation or affect its substantive content, but corrective measures may be taken if a faculty member is actually harmed or prejudiced by the noncompliance.

(2) The annual evaluation shall take place ~~during the Spring Semester~~ ninety (90) days after the end of the evaluation period and shall evaluate the faculty member's performance during the ~~previous calendar year~~ evaluation period (academic year or calendar year) based on assignment.

(3) Each ~~Department Chairperson or comparable administrator~~ faculty member in an academic unit, shall be responsible for ~~preparing, developing, and collecting, and delivering to the evaluator the materials relevant to~~ preparing, developing, and collecting, and delivering to the evaluator the materials relevant to ~~appropriate datae required~~ to evaluate ~~his/hers~~ the teaching, research and other creative activities, service and other University duties. ~~of each department faculty member.~~ Faculty members with duties performed under the supervision of University officials such as Deans, Directors or the University Provost may have the performance of their specific ~~these~~ duties evaluated by their ~~immediate~~ supervisors.

(4) A faculty member's performance evaluation shall include a summary written by the evaluator. ~~Department Chairperson based where appropriate upon evaluations by the member's colleagues and consideration of student evaluations of teaching.~~ In completing this summary, the evaluator shall consider ~~cognizance shall be taken of~~ the duties formally assigned to the faculty member each ~~term~~ evaluation period.

(5) Evaluation shall be based on performance in the areas of teaching, research and other creative activity, service (including any service to public schools), ~~where applicable,~~ and other University duties.

(6) Where appropriate, the evaluation shall include evaluations by students, other faculty members, any public school officials, and other University officials responsible for supervision of the faculty member.

*Specific Authority: Article IX of the Florida Constitution, 1001.706, F.S., Board of Governors Regulation 1.001. History—New 7-20-76; Formerly 6C5-5.04, 6C5-5.004. Amended 11-11-87, ~~11-11-87~~ 11-11-87.*

# Florida Atlantic University

## Regulation 5.005 Promotion Procedures

### (1) DEFINITION.

Promotion is a change in job classification in recognition of significant achievement or the result of new or expanded duties and responsibilities. For administrative, managerial and professional staff (AMP), a promotion may result in the assignment to a higher pay grade.

### (2) FACULTY.

- (a) ~~The criteria for faculty promotion shall include the minimum qualifications for initial appointment to the various ranks or positions according to the State University System Instructional and Research Faculty and Administrative and Professional Staff Classification Systems, BOR Rule 6C 5.105, F.A.C.~~ Promotion criteria shall include increased skills and accomplishments in the performance of teaching, research, scholarly creative activities and service assignments (including service to public schools if applicable), ~~increased knowledge in the field of specialty, increased recognition of the faculty member as an authority in his/her field, and potential for professional growth.~~
- (b) The promotion process will be initiated by Department Chairperson, School Director, Department~~Division~~ Head, Dean, or may be self-initiated.
- (c) The Department Chairperson or equivalent~~Division Head~~ shall obtain opinions from the faculty about candidates for promotion, using any procedures adopted by the unit~~Division, Department, or the College~~. The Chairperson's recommendations shall be forwarded to the Dean of the College (or the Dean of University Libraries).
- (d) Each College shall have procedures to elect a Committee on Promotion and Tenure advisory to the Dean of the College. The Committee shall set forth procedures by which recommendations are made to the Dean. Written procedures adopted by the Committee must be approved by the Dean.
- (e) The Dean shall convene the College Committee on Promotion and Tenure to make recommendations concerning those faculty members whose names have been submitted for promotion through their departments to the Dean. The Dean must give consideration to such recommendations but need not follow them. The Dean may also seek recommendations from such other peer and supervisory sources as he or she deems appropriate. The Dean will make a decision to give a favorable or unfavorable recommendation regarding a candidate for promotion and will forward appropriate background materials, ~~along with~~ the written recommendations and supporting rationales to the University Provost~~Vice President for Academic Affairs~~.
- (f) The University Provost~~Vice President for Academic Affairs~~ may submit the names and available pertinent materials to the University Committee on

Promotion and Tenure. This Committee shall be comprised of the Chairpersons of the College Committees on Promotion and Tenure. The University Committee shall review and make its recommendations regarding candidates for promotion. The recommendations and supporting rationale shall be communicated in writing to the University Provost~~Vice President for Academic Affairs~~.

- (g) The University Provost ~~Vice President for Academic Affairs~~ must give consideration to such recommendations but need not follow them in arriving at a decision. The University Provost~~Vice President for Academic Affairs~~ may also seek recommendations from other peer and supervisory sources and will then make a written recommendation to the President and forward all appropriate materials for the President's review.
- (h) The President shall make the final decision on promotions and the President or his/her designee will notify the affected faculty member in writing of his/her decision. This notification will constitute final action of the University.

~~(i) Faculty members being considered for promotion shall be notified of unfavorable recommendations at the Departmental, College and University levels.~~

(3) ALEXANDER D. HENDERSON UNIVERSITY SCHOOL (ADHUS) and FAU HIGH SCHOOL FACULTY.

- (a) Criteria for promotion shall include ~~the minimum qualifications for initial appointment to the various ranks or positions. In addition, promotion criteria shall include~~ increased skill and accomplishments in the performance of teaching, research, and service assignments, ~~increased knowledge in the field of specialty, and increased recognition of the faculty member as an authority in his/ her field, and potential for professional growth.~~

~~(b) The Principal/Director of FAU SchoolsADHUS will determine eligibility of a faculty member for consideration for promotion based on written criteria as approved by the Provost. ~~minimum qualifications for initial appointment to the rank for which promotion is to be considered and on increased skills in the performance of duties. Faculty members eligible for consideration will be informed by the Principal/Director at least forty work days in advance of the date set by FAU for recommendation for promotion to be due to the appropriate University administrative office. The Principal/Director will request the candidate's consent to continue the process of consideration for promotion. Candidates wishing to be considered for promotion will so notify the Principal/Director in writing within five work days. Each candidate will be instructed to prepare written and graphic evidence of:~~~~

- (b)
  - ~~1. The degree to which he/she is recognized as an authority in his/her area of assignment.~~
  - ~~2. The degree to which his/her knowledge of the **area** has increased over the period of employment at ADHUS. The evidence will be submitted by the faculty member within fifteen work days following his/her consent to the ADHUS Advisory Committee on Promotion which shall evaluate it, and within fifteen work days of~~

~~receipt, recommend promotion or non-promotion to the Principal/Director of ADHUS. Upon receipt of the Committee's recommendations, the Principal/Director will submit a recommendation to the Vice President for Academic Affairs who will make a recommendation to the President. The Vice President must take the recommendation of the Principal/Director into consideration but need not follow it. The President will take final action on the promotion, and the President or his/her designee will notify the candidate of the decision.~~

- (c) ~~FAUS~~ADHUS-ADHUS and FAU High School faculty shall have procedures to elect a Committee on Promotion. The Committee shall have procedures by which recommendations shall be made to the ~~Executive~~Principal/-Director about faculty nominated for promotion.

~~(d) The candidate will be notified of unfavorable recommendations at each level of consideration.~~

(4) ~~\_\_\_\_\_~~ADMINISTRATIVE, MANAGERIAL AND PROFESSIONAL STAFF.

- (a) Promotions may be awarded to persons who have demonstrated outstanding achievement in the performance of assigned duties or have substantially increased responsibilities within present classifications, and who have demonstrated the ability to assume expanded duties and responsibilities in a new classification or higher pay grade. Evidence of such ability may include fulfillment of educational and other requirements for the new and/or expanded duties.

- (b) The employee's supervisor shall make a recommendation to the appropriate Vice President or Provostequivalent in accordance with established procedures.

~~(e)~~(e) The Vice President or equivalent shall evaluate the proposed promotion and the employee's qualifications and ~~shall recommend a decision to the President.~~

~~(d)~~(c) ~~The President~~ shall take final action on the promotion.

- (5) This ~~rule regulation~~ is subject to ~~Board of Regents Rule 6C-5.113, F.A.C., other rules which state law may be applicable~~ and any applicable collective bargaining agreements.

*Specific Authority 240.227(1) FS. Law Implemented 240.227(5) FS., 6C-5.113, 6C-5.235, F.A.C. History-New 4-20-81, Formerly 6C5-5.07, Amended 11-11-87. Formerly 6C5-5.007, Amended - - 2012.-*