

**Promotion and Tenure:  
Guidelines for Faculty from the  
College Promotion and Tenure Committee**

**Latest Revisions Approved by the Faculty Assembly  
of the Dorothy F. Schmidt College of Arts and Letters  
Spring 2017**

**I. Composition, Meetings and Responsibilities of the College Promotion and Tenure Committee**

**A. Composition**

- Tenured and tenure-track faculty of each department shall elect a tenured colleague to serve as representative to the College Promotion and Tenure Committee. The term of service is two years.
- Chairs and directors are excluded from serving on the College Committee unless no other member is available.
- It is imperative that department representatives to the College P and T Committee acquaint themselves extremely well with department criteria for promotion and tenure, along with college, and university guidelines for promotion and tenure. Outgoing members of the College P and T Committee are responsible for briefing their successors before they begin their service on the Committee.
- Candidates for promotion or tenure from one of the partner campuses or whose primary assignment is in a non-degree granting program may request that a representative from that campus or program may attend the meeting of the Promotion and Tenure Committee at which their case is being discussed on an advisory basis. These representatives are subject to the same rules of confidentiality as the members of the College P and T Committee.
- All faculty reviewing applications and participating in the process will adhere to the strictest confidentiality related to the material in the portfolio, relating to all formal discussions that take place, and relating to the entire application process.

**B. Calendar**

- The Committee will meet to review portfolios for promotion and tenure in the Fall.
- The Committee will meet to review third-year review portfolios in the Spring.

**C. Responsibilities**

- The Committee will periodically review guidelines for mentoring tenure-earning faculty, guidelines for the third-year review, and guidelines for promotion and tenure so that candidates can present the best possible case for promotion and tenure.
- The Committee will evaluate third-year review portfolios. No vote is expected or required; the goal of the process is to provide candidates with useful information about their progress toward promotion and tenure.
- The Committee will evaluate whether candidates for promotion and tenure have met the promotion and tenure criteria established by their units and the college and university guidelines in the areas of research/creative activity, teaching, and service.
- The Committee will vote on applications for promotion and tenure.
  - The unit representatives to the Committee will not vote on candidates from their units.
  - It is important to recognize that the college vote for promotion and tenure is independent of the unit evaluation. Thus, a positive vote for promotion and tenure at the unit level does not guarantee or mandate a positive vote by the College Committee.
- The Committee will periodically revisit College guidelines for promotion and tenure to ensure that they are in compliance with university guidelines. Hence, the College Promotion and Tenure Committee strongly recommends that each unit review its own promotion and tenure criteria every three years to make certain they conform to college and university promotion and tenure guidelines.

## **II. Composition of the two Unit Promotion and Tenure Committees (Promotion and Tenure Committee; Promotion to Professor Committee)**

- Applications for promotion to Associate Professor and Tenure will be considered by the unit Promotion and Tenure Committee, which shall consist of all tenured associate and full professors in the unit. The chair of this committee must be a faculty member selected from among the relevant body of faculty through a process developed by the faculty and cannot be the unit chair or director.
- Applications for promotion to Professor will be considered by the unit Promotion to Professor Committee, which shall consist of all faculty at the rank of Professor in the unit. When there are fewer than three Professors in the unit, then the chair or director of the unit will consult with the candidate and Professors in the Department to identify an appropriate external committee member. The invitation to serve on the committee must be approved by the external committee member's chair or director.

- The chair or director of the Unit shall serve as an ex officio member without voting rights. The deliberations of this body shall be advisory to the chair or director of the unit.
- The College Committee recommends that the relevant body of tenured faculty accept the responsibility of mentoring tenure-earning faculty so that they can present the best possible case for promotion and tenure.

### **III. Annual Evaluations Procedures/Policies for Tenure-earning Faculty**

- The relevant body of tenured faculty should be advisory to the unit chair or director on the annual evaluation of tenure-earning faculty and their progress towards promotion and tenure;
- Annual Evaluations of tenure-earning faculty:
  - Faculty members are evaluated in three general categories:
    - teaching (using SPOT reports *and* peer evaluation of classroom teaching, based on examination of teaching materials as specified by departments)
    - research, creative, and professional activity
    - service
    - Unit chairs or directors are required to offer to discuss the Annual Evaluation and Performance Appraisal with the tenure-earning faculty member before it is signed and forwarded to the Dean.

### **IV. Third-Year Review Procedures and Policies**

- The third-year review will normally take place during the spring term of the faculty member's contractual third year.
- For candidates who are granted years towards tenure, the timing of the third-year review will be set at the time of hire in the Letter of Offer. Prior to sending the Letter of Offer, the Committee recommends that the unit chair or director consult with the chair of the College Promotion and Tenure Committee
- The evaluation process begins at the departmental level and consists of the following process:

#### **A. The Portfolio**

- The candidate will assemble the Third-Year Review portfolio.
  - It will contain everything required in the University's "Tenure Portfolio Guidelines" except for letters of evaluation.

- The CV should conform to the CV template provided in the Provost's guidelines.
- Candidates should also include their SPOT summary sheets in the section on instruction and two peer evaluations of their teaching

### **B. Evaluation of the Portfolio by the Unit**

- The portfolio will be evaluated by the relevant body of tenured faculty within the unit, which will hold a meeting to discuss the candidate's progress toward tenure.
- The discussion shall use the relevant criteria for tenure and promotion to evaluate the candidate's record.
- The representative of the relevant body of tenured faculty within the department will write a narrative account of the discussion, addressed to the unit chair or director.
  - ❖ The account should accurately summarize the different points of view expressed during the discussion and solicited from the department.
  - ❖ It should describe the perceived strengths and weaknesses of the candidate's record rather than reporting on who said what.
- The goal of the process is to provide useful information to the candidate about his/her progress. No unit vote is expected or required.
- Copies of the narrative account will be given to the faculty member and the unit chair or director.
  - The chair or director and the faculty member must sign the account, indicating that they have received it.
  - The chair or director shall write a letter evaluating the candidate's progress towards tenure, considering the candidate's record, the unit evaluation, and the relevant criteria and guidelines.
  - If the candidate chooses, he/she may respond to the report in writing within 5 business days of receipt of the report and include the response in the portfolio.

### **C. Evaluation of the Third Year Review Portfolio by the College Committee**

- The portfolio, with the unit committee and chair or director's letters added to it, will go to the College Promotion and Tenure Committee. This Committee will examine the relevant criteria, the candidate's record, and the unit review.
- A memorandum drafted by the chair of the Committee and acceptable to all members will summarize the discussion about the case. No vote is expected or required.

- A copy of the memorandum will be given to the faculty member and to the chair or director of the relevant Department or School. Both will acknowledge receipt of the memorandum in writing.
- The memorandum and file will go to the Dean for his/her information
- **Once a portfolio is submitted to the Dean's office, it should not be removed or amended by the candidate for any reason. The unit representative can add pertinent information, but only after securing permission from the chair of the College Promotion and Tenure Committee.**

## V. Applications for Tenure and Promotion to Associate Professor

### A. The Review Process

- Applications for promotion and tenure are evaluated at many points, and the recommendations of many groups and persons are solicited.

The process begins at the unit level at the beginning of the Fall term. Tenured members of the department discuss the case and vote via a secret ballot that conveys its recommendation on the case. The unit chair or director attends the meeting and provides information when requested but does not vote.

- **The representative of the relevant body of faculty will write an account of deliberations and write a letter that accurately reflects the discussion of the case. This memorandum will remain part of the portfolio until it reaches the university level.**
- Then, the chair or director writes a letter in which he or she evaluates the case in light of the unit discussion and vote, the portfolio's evidence, and the relevant criteria; the Chair or Director must make a clear recommendation in favor of or against the application.
- **The letters from the representative of the relevant body of faculty and the letter from the chair or director of the unit will then be given to the candidate, who will have 5 business days to respond to the letters, if he/she chooses to do so.**
- Next, the portfolio goes to the College Promotion and Tenure Committee, which discusses the case and votes on it. The unit representative abstains from voting. The College Promotion and Tenure Committee forwards its recommendation by sending a memorandum to the Dean that describes the vote and discusses the case. The Dean reads the portfolio, considers the recommendations of the department, the chair or director, and College Promotion and Tenure Committee, and writes a letter that recommends in favor of or against the application.
- The portfolio then goes to the University Promotion and Tenure Committee, consisting of

the chairs of the college committees. That committee, in its advisory role to the Provost, discusses the case and makes its recommendation in a vote. The vote and the portfolio go forward to the Provost. The Provost reviews the case and makes a recommendation to the President. The President considers the recommendations that have been made at other levels, reviews the case, and makes a final decision on promotion. In tenure cases, he makes a recommendation to the Board of Trustees. The Board of Trustees makes the final decision on tenure, generally near the end of Spring term.

## **B. The Portfolio**

In the preparation of their portfolios, candidates are required to number all pages in the upper right-hand corner with each prescribed section being in the form 1.1, 1.2, 1.3...2.1, 2.2, 2.3, and so on with the date of the submission of that document to the portfolio inserted directly under the page number. In this way, new supporting documents can be inserted without interrupting the page order or necessitating major revisions of the portfolio, and this will help to ascertain that no documents are missing or out of order. However, insertion of documents into the portfolio once it has been delivered to the office of the Dean must be done in the presence of the Chair of the College Promotion and Tenure Committee.

The candidate's portfolio will contain everything required in the University's Tenure Portfolio Guidelines. The candidate's curriculum vitae must conform to the template provided by the Provost's office for all candidates.

Once a portfolio is submitted to the Dean's office, it cannot be removed by the candidate for any reason. The unit representative may add pertinent information only after securing permission from and in the presence of the chair of the College Promotion and Tenure Committee.

## **C. External Reviewers**

- External reviewers shall be selected and contacted according to University policy as articulated in the University Promotion and Tenure guidelines, which state that the candidate must have: a minimum of five current letters from outside this university 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 in consultation with the candidate. 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, or personal friends are not appropriate.
- The chair/director and the senior faculty in the unit who are eligible to review and vote on the candidate's portfolio should compile a list of potential reviewers in consultation with the candidate and, by February 10 or so, provide them to the applicant to review over a period of five days.

- Candidates are required to confirm their intent to apply for promotion/tenure by January 15<sup>th</sup> of each year. Candidates for promotion to professor, who are in the middle of the process in any given January, have an extended deadline to resubmit. It is 7 days after receiving notification of an unsuccessful application.
- Candidates are required to submit names of potential external reviewers to their chair/director, according to the guidelines, by February 1<sup>st</sup> of each year. The Chair/Director and the relevant body of tenured faculty are required to compile a list of potential referees in consultation with the candidate by February 10<sup>th</sup> of each year. By February 15<sup>th</sup>, the applicant shall indicate any potential conflicts of interest and the process of soliciting reviewers can begin.
- chairs/directors are required to obtain commitments from at least five of the potential external reviewers whose names have been submitted by the candidate and senior faculty in the unit by March 15<sup>th</sup> of each year.
- Candidates are required to provide all material to be sent to external reviewers to their chair/director by May 15<sup>th</sup> of each year.
- chairs/directors are required to send review material to external reviewers by May 22<sup>nd</sup> of each year, unless the external reviewer requests a different date. The content of the review material sent to external reviewers will be provided to candidates by chairs/directors. All external reviewers will be sent the same review material.
- Chairs/directors will send only the following material to all external reviewers:
  - A current curriculum vitae, annotated or not, appropriate to the discipline.
  - Hard or electronic copies of completed refereed publications (books, journals, articles, images of art work, CD recordings, musical scores, etc.), as well as all published items, items under review, and/or in press.
  - The Research, Scholarship, and Creative Activity section of the Department/School Promotion and Tenure Criteria.
  - When relevant, the cover letter sent by the chair/director may include a review of the candidate's annual assignments.
  - The letters from external reviewers will be placed in the candidate's portfolio and shared with the candidate during the 5-day response period allowed to the candidate, following the insertion in the portfolio of the departmental or school review committee's letter and the chair/director's letter.

#### **D. College Guidelines for Promotion to Associate Professor and Tenure: Research and Creative Activity**

In line with the American Association of University Professor (AAUP) State of Principles on academic freedom and tenure and the Florida Atlantic University College Bargaining Agreement, the College Promotion and Tenure Committee will use the following guidelines when evaluating a candidate's viability for promotion to associate professor:

- Scholarly productivity must demonstrate scholarly activity through publication of **refereed** books and articles. The College Committee will defer to the Department/School criteria for the appropriate amount of scholarship, in keeping with the University guidelines.
- Faculty who pursue creative endeavors must demonstrate a consistent and high quality of creative achievement appropriate to the endeavor and to unit criteria. In some cases, there is a direct relationship between the faculty member's creative output and his/her teaching responsibilities (e.g. music conductors, theater directors, technicians, and the like). In such cases, the relationship must be clearly explained in the promotion and tenure portfolio.

#### **E. College Promotion and Tenure Committee Guidelines for Tenure**

**The awarding of tenure is based upon the Committee's judgment that the faculty member will have a lifelong commitment to scholarship (or creative/artistic work), effectiveness in instruction, and become a willing and effective participant in university governance and appropriate service.**

Thus, the awarding of promotion is based upon past performance; the awarding of tenure also includes future performance potential.

#### **F. College Guidelines for Promotion to Associate Professor and Tenure: Teaching**

- The Promotion and Tenure Committee will critically review student and (at least two) peer evaluations of the candidate's teaching, along with any other relevant instructional material. The Committee understands that the SPOT evaluation form is a less than perfect and incomplete instrument for the evaluation of teaching, with many subjective factors playing into a student's scoring of a teacher and the course. However, SPOT scores do reveal a pattern of teaching over a period of time (3 to 5 years). To isolate any one semester accentuates the imperfect nature of the SPOT score as a device for the evaluation of teaching. The Promotion and Tenure Committee looks at the mean of the SPOT scores for long term patterns weighed against the long term patterns of the department mean.
- It is further understood that SPOT scores are only part of the equation of evaluation and that peer evaluation and other structural support materials expand the subjective

understanding of the strengths and weaknesses of a teacher. The effectiveness of the teaching profile is a combination of both objective and subjective considerations.

### **G. College Guidelines for Promotion to Associate Professor and Tenure: Service**

- Service constitutes a series of activities that further the mission of the University. Service includes, but is not limited to, membership on departmental, college and university committees, councils and senates. It also includes service in professional organizations, participation at professional meetings, symposia, conferences and workshops, service on governmental boards, agencies, commissions, service to public schools, and other relevant community service.
- Service assignments: The University's Guidelines for Appointment, Promotion and Tenure of Faculty state that “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.”
- This being the case, the College Promotion and Tenure Committee recommends that assistant professors should serve mostly on departmental committees up to the time of the third year review. Thereafter, as appropriate to the discipline and department, assistant professors will be expected to be assigned to departmental responsibilities and/ or to serve on departmental committees and college committees. Untenured faculty should not chair committees.
- **The Committee recommends that individual units should revisit annual evaluation criteria with a goal of creating a sliding scale for service, so that more senior members of departments undertake leadership positions in their respective departments whenever possible. The Committee recommends that, in order to bring the College in line with University norms, more service will be expected for tenured faculty.**

## **VI. Applications for Promotion to Professor**

### **A. Progress of Associate Professors toward Promotion to Professor**

Department Promotion and Tenure Committee representatives should apprise newly tenured faculty of expectations for promotion during the faculty members' first years in rank as associate professors.

### **B. Guidelines for Promotion to Professor—Research and Creative Activity**

In keeping with the American Association of University Professors (AAUP) Statement of Principles on academic freedom and tenure and the Florida Atlantic University Collective Bargaining Agreement, the College Promotion and Tenure Committee recommends that candidates for Professor have a consistent record of distinguished peer-reviewed publications,

or, as appropriate, demonstrate consistent and high-quality artistic accomplishment during their time in rank as associate professors. Departments must specify the criteria for recognizing distinction in research, scholarly, and creative activity.

--Candidates who seek promotion to the rank of Professor must also demonstrate competency in other aspects of the faculty role.

--Although units may set additional requirements, candidates are expected to have demonstrated instructional competence in teaching. Criteria used to assess competence include:.

1. Substantial involvement in studying pedagogy application in his/her respective field through participation in teaching workshops;
2. Publication on the subject of teaching in respective content areas/disciplines;
3. Involvement in curricular development in his/her area of specialization;
4. Designing programs and curricula;
5. Taking a leadership role on curriculum and related committees;
6. Consistent record of excellent student and peer evaluations;
7. Other instructional activities as appropriate to the Department/School and discipline.

Candidates must also demonstrate consistent involvement in service to Unit, College, and University during their time in rank as associate professors.

**Please refer to the Provost's Promotion and Tenure Guidelines for information about university Promotion and Tenure requirements.**