MEMORANDUM

TO: Deans

Megan Davis, Interim Executive Director HBOI

FROM: Gary Perry

Interim Provost and Chief Academic Officer

DATE: April 25, 2014


Candidates for non-tenure-track promotions need to review the following documents as part of their portfolio preparation:

- Appointment and Promotion of Instructors and Lecturers (January 25, 2012)
- Appointment and Promotion of Assistant Scholars/Assistant Scientists/Assistant Engineers/Assistant Research Professors (February 16, 2012)
- Provost’s Promotion and Tenure Memorandum For 2013-2014 University Promotion and Tenure Portfolio Preparation (April 12, 2014)
- Implementation Guidance for the Appointment and Promotion of Non-Tenure-Track Faculty (October 3, 2012)

These Non-Tenure-Track Portfolio Guidelines are meant to be used in conjunction with the documents mentioned above, in an effort to clarify portfolio requirements. The ordering of materials in the portfolio should include:
1. Signed Nominee Portfolio Cover Sheet (Certification of completeness of the promotion portfolio on the date signed)

2. Signed Waiver of Right to Review Letter from External Reviewers/optional (This form may or may not be included in the portfolio at the discretion of the college.)

3. Status Letter(s)
   a. These are letters that indicate date of hire in this position or last promotion. Some recent candidates found these difficult to retrieve, especially when faculty were long-time employees. This is particularly important for Instructors/Lecturers whose eligibility is determined by date of hire. The chair, the dean and the Vice Provost of Academic Affairs need to be available to help candidates secure the appropriate documents.

4. Up-to-Date Curriculum Vita
   a. Use suggested Comprehensive Dossier Curriculum Vitae template included with April 2014 University Promotion and Tenure Portfolio Preparation documents, modified as appropriate to the assignment.

5. Annual Assignments, if applicable
   a. Scholars/Scientists/Engineers/Research Professors do not necessarily have annual assignment documents.

6. Instruction, if applicable
   a. All Instructor/Lecturer applicants must include SPOT table, SPOT summary reports, and three recent Peer Evaluations of Teaching. Other documentation of quality of instruction may also be included in this section.
   b. Scholars/Scientists/Engineers/Research Professors may have no instructional assignment, but may include the material described in
"a" above if they have taught courses. They may also want to include information about working with students on an individual basis as part of mentoring, research projects or participation on thesis or dissertation committees.

7. Scholarship, research, and/or creative activity, if applicable
   a. Scholars/Scientists/Engineers/Research Professors must include an annotated version of the parallel section of their vitae with detailed information on publications, presentations, grants, contracts and performances or other activities pertinent to their role.
   b. Instructors/Lecturers may include the material described in “a” above if they have been involved in such activities.

8. Service, if applicable
   a. An overview of service to the unit, institution, profession or community, if applicable. Work on curriculum development and advising of students may be included here.

9. Professional Development, if applicable
   a. Degrees earned while in this position may be included here. In addition, courses undertaken to enhance performance in the particular role are also important to be detailed.

10. Self-evaluation
    a. The self-evaluation is always an important part of the promotion portfolio but particularly important when the assignment documents are non-existent or do not adequately describe the candidates contributions and accomplishments.

11. Letters of Evaluation
a. Three external letters of evaluation are required for Scholars/Scientists/Engineers/Research Professors. Different from external letters required for tenure-track faculty, those referees selected may be familiar with the candidate’s work.

b. External letters of evaluation may be included for Instructors/Lecturers, as appropriate to the discipline. For example, letters in regard to performances or community work may be very appropriate in some disciplines. Here too, those referees selected may be familiar with the candidate’s work. The number of external referees solicited is a decision made by the candidate and the supervisor.

c. Internal letters of evaluation may be included for Scholars/Scientists/Engineers/Research Professors, and it is anticipated that they would be familiar with the candidate’s contribution to the unit. The number of internal referees solicited is a decision made by the candidate and the supervisor.

d. Three internal letters of evaluation are required for Instructors/Lecturers. It is anticipated that the referees may be from colleagues familiar with the candidate’s work and contribution to the unit.

e. External and internal reviewers need to be selected by the unit supervisor; the candidate should have the opportunity to review the list for conflicts of interest. Solicitation letters and cover sheets may be the same as those used for tenure-track promotion portfolios.

12. Report of the Unit, if applicable
   a. If there is a review at the department/school/unit level, the vote and a written narrative report conveying the reasons for the report should be included.

13. Letter from the Chair/Director/Supervisor
14. Report of the College Committee
   a. A memorandum including the vote and a written narrative report conveying the reasons for the report should be included.

15. Letter from the Dean

16. Unit criteria for non-tenure-track promotion

17. Annual Employee Performance Evaluations

18. Supplementary Portfolio, if applicable
   a. Similar to tenure-track promotions, candidates may include supplementary portfolios with examples of accomplishments in instruction and/or scholarship, research, creative activity.

Portfolios for non-tenure-track promotions need to be submitted to the Office of the Provost by **February 13, 2015**. Please structure college time lines to insure compliance with this submission date. If you have any questions on any of these materials or need assistance, please contact Diane Alperin, Vice Provost of Academic Affairs, at 561-297-2959 or alperind@fau.edu.
MEMORANDUM

DATE: February 16, 2012

TO: Deans

FROM: Brenda J. Claiborne, Provost and Chief Academic Officer

SUBJECT: Appointment and Promotion of Assistant Scholars/Assistant Scientists/
Assistant Engineers/Assistant Research Professors (Supersedes October 5, 2006 memo,
Promotion Guidelines – Non-Tenure Earning Positions)

Objective

To provide a practical and equitable process to validate the significant work of Assistant Scholars/Assistant Scientists/Assistant Engineers/Assistant Research Professors, reward academic excellence in research and scientific discovery, and encourage professional development. While years of service are one criterion for eligibility, promotion will be based on academic excellence and not the number of years in the position. (Librarians, clinical faculty, instructors/lecturers and other full-time non-tenure-track faculty may be promoted in accordance with applicable college/department/school/unit policies and criteria.)

Non-Tenure Earning Positions

Assistant Scholar/Assistant Scientist/Assistant Engineer/Assistant Research Professor

Associate Scholar/Associate Scientist/Associate Engineer/Associate Research Professor

Scholar/Scientist/Engineer/Research Professor

Criteria for Appointment

For each position classification, criteria for appointment should be specified by the college/department/school/unit. This should include, but not be limited to, requirements for earned degrees, professional training and experience, and performance expectations. Assistant Scholars/Assistant Scientists/Assistant Engineers/Assistant Research Professors must meet the credential requirements for their discipline and are generally expected to hold the terminal degree in their field.

Criteria for Promotion

Colleges/departments/schools/units may adopt the following University Criteria as their own, or they may supplement those criteria with their own requirements, but college/department/school/unit criteria must be compatible with those noted below.
Promotion to Associate Scholar/Associate Scientist/Associate Engineer/
Associate Research Professor

Candidates for promotion to Associate Scholar/Associate Scientist/Associate Engineer/Associate Research Professor must demonstrate a consistent record of excellence in assigned duties. Evidence of excellence may include annual evaluations of research, scholarship and creative activities, demonstration of leadership in the discipline, and departmental collegiality. Additional contributions to the department/school, college, or university should be included in the promotion application along with any publications, patents, research awards, grants, contracts, professional presentations, or performance in other areas of assigned duties.

Promotion to Scholar/Scientist/Engineer/Research Professor

Candidates for promotion to Scholar/Scientist/Engineer/Research Professor must first attain promotion to Associate Scholar/Associate Scientist/Associate Engineer/Associate Research Professor. Substantial contributions of a continuing nature in research, scholarship and creative activity, and leadership contributions to the university and the profession are expected. Promotion to this rank denotes a status and level of significant achievement among one’s disciplinary peers on a national or international level. Promotion to Scholar/Scientist/Engineer/Research Professor carries an expectation of notably consistent, increasingly high levels of performance and career achievement.

Approval

The development and approval of college/department/school/unit criteria, guidelines, timelines and processes must follow the procedures set forth annually by the Provost’s Office and outlined in the Provost’s Promotion and Tenure Memorandum, FAU’s Guidelines for Appointment, Promotion and Tenure of Faculty, and Principles for Creating Criteria and Standards for Promotion & Tenure, as amended, and must be approved by the Provost or designee. Criteria generally become effective one year following adoption. The date of adoption shall be the date the criteria are approved by the Provost or his/her designee.

Eligibility

Assistant Scholars/Assistant Scientists/Assistant Engineers/Assistant Research Professors must be on regular, full-time appointments to be considered for promotion.

Candidates will be eligible to apply for promotion to Associate Scholar/Associate Scientist/Associate Engineer/Associate Research Professor at the beginning of their 6th year of full-time continuous service or thereafter.

Candidates may bring in prior years of service from another institution but must have at least three years of continuous service at FAU

Candidates will be eligible to apply for promotion to Scholar/Scientist/Engineer/Research Professor at the beginning of their 6th year of full-time service as an Associate Scholar/Associate Scientist/Associate Engineer/Associate Research Professor at FAU or thereafter.
Scholars/Scientists/Engineers/Research Professors at any rank are not required to apply for promotion.

Levels of Review – Procedures

Promotion portfolios and timelines will follow those disseminated annually as determined by the Office of the Provost: Provost’s Promotion and Tenure Memorandum, University Promotion and Tenure Portfolio Preparation, and Guidelines for Appointment, Promotion and Tenure of Faculty.

In the colleges, promotion portfolios will be considered by a Committee (college and/or department/school) composed of two tenured faculty, two Scholars/Scientists/Engineers/Research Professors at any rank (senior ranked are preferred when they are available), and one college faculty administrator. Each college/department/school will determine how the tenured faculty and the Scholars/Scientists/Engineers/Research Professors will be selected; the faculty administrator will be appointed by the dean of the college. Recommendations from the committees will go to the Chairs/Directors, and the dean – who makes a recommendation to the Provost. The Provost makes a positive or negative recommendation to the President. The President shall make the final decision on the granting of the promotion.

At Harbor Branch Oceanographic Institute (HBOI), internal promotion procedures will be detailed in their promotion guidelines. The recommendations will be forwarded to the Provost. The Provost makes a positive or negative recommendation to the President. The President shall make the final decision on the granting of the promotion.

Salary increases at each promotion step shall be as established by college/unit administrative policies or in applicable collective bargaining agreements.

Cc: Provost’s Advisory Council

William Mc Daniel, President, University Faculty Senate

Chris Robe, President, FAU Chapter of the United Faculty of Florida
outcomes, demonstration of leadership and rigor in teaching, curricular development, and departmental collegiality. Additional contributions to the department/school, college, or university should be included in the promotion application along with any pedagogical publications, or professional presentations, discipline publications and/or creative activities, classroom and laboratory innovations, or performance in other areas of assigned duties.

Promotion to University Instructor/University Lecturer

Candidates for promotion to University Instructor/University Lecturer must first attain promotion to Senior Instructor/Senior Lecturer. Additionally, consistency of teaching success, evidence of teaching quality enhancement, and leadership contributions to the university and the profession are expected. Promotion to University Instructor/University Lecturer carries an expectation of notably consistent, increasingly high levels of performance and career achievement.

Approval

The development and approval of college/department/school/college criteria, guidelines, timelines and processes must follow the procedures set forth annually by the Provost’s Office and outlined in the Provost’s Promotion and Tenure Memorandum, FAU’s Guidelines for Appointment, Promotion and Tenure of Faculty, and Principles for Creating Criteria and Standards for Promotion & Tenure, as amended, and must be approved by the Provost or designee. Criteria generally become effective one year following adoption. The date of adoption shall be the date the criteria are approved by the Provost or his/her designee.

Eligibility

Instructors/Lecturers must be on regular, full-time appointments to be considered for promotion.

Candidates will be eligible to apply for promotion to Senior Instructor/Senior Lecturer at the beginning of their 6th year of full time continuous service or thereafter.

Candidates may bring in prior years of service from another institution but must have at least three years of continuous service at FAU.

Candidates will be eligible to apply for promotion to University Instructor/University Lecturer at the beginning of their 6th year of full time continuous service as a Senior Instructor/Senior Lecturer at FAU or thereafter.

Instructors/Lecturers at any rank are not required to apply for promotion.

Transition Period

In addition to meeting the Eligibility requirements above, a transition period will take effect in order to ease the promotion process of currently employed Instructors/Lecturers. The transitional period will phase in promotion eligibility according to hire date through the first five years of implementation. An employee’s first year of potential eligibility will be as follows:

- **Year One (2012/2013):** All faculty hired prior to 1/1/2003.
- **Year Two (2013/2014):** All faculty hired during calendar year 2003 and 2004.


Year Six (2017/2018) and thereafter: Any faculty member who meets the regular Eligibility criteria above.

Levels of Review – Procedures

Promotion portfolios and timelines will follow those disseminated annually as determined by the Office of the Provost: Provost’s Promotion and Tenure Memorandum, University Promotion and Tenure Portfolio Preparation, and Guidelines for Appointment, Promotion and Tenure of Faculty.

Promotion portfolios will be considered by a Committee (college and/or department/school) composed of two tenured faculty, two Instructors/Lecturers (Senior or University Instructors/Lecturers are preferred when they are available), and one college faculty administrator. Each college/department/school will determine how the tenured faculty and Instructors will be selected; the faculty administrator will be appointed by the dean of the college. Recommendations from the committees will go to the chairs/directors, and the dean – who makes a recommendation to the Provost. The Provost makes a positive or negative recommendation to the President. The President shall make the final decision on the granting of the promotion.

Salary increases at each promotion step shall be as established by college/unit administrative policies or in the applicable collective bargaining agreement.

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