



TENURE AND PROMOTION MANUAL

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Part I: Tenure/Promotion Guidelines

PREAMBLE:

A university faculty is a community of scholars, scientists, designers, and artists cooperating in a collegial environment, entrusted with responsibility for the creation, development, and expansion of knowledge in a free and open society. The university's goal is to improve the quality of life for all members of society. Our participation in this stimulating and challenging endeavor should contribute to the achievement of that goal, and we best manifest our participation through excellence in teaching, research, creative activities, service, and where applicable, leadership and administration.

FIU is committed to the CORE values of *Responsibility, Truth, Freedom, Respect, and Excellence*. It is the **Responsibility** of all students, faculty, and administration to conduct all academic and scholarly activities in **Truth** which means the honest *pursuit, generation, dissemination, and application of knowledge*. **Freedom** of thought and expression allows us to show concern and act on issues related to Academic Integrity with **Respect** for the *diversity and dignity* of all individuals. Together these core values form the foundation for Academic Integrity at FIU which brings **Excellence in intellectual, personal and operational endeavors**.

FIU is equally committed to scholarly excellence that serves the public good through teaching, research, creative activities, and service. We value community-engaged scholarship as an essential component of our institution's research aspirations. FIU defines community-engaged scholarship as using intellectual capital to investigate and solve community problems; this requires dissemination of what has been learned from problem-solving engagement. Thus, community-engaged scholarship is the same as other types of scholarship with the exception of its focus. As a research university we also emphasize sustainable human development, social innovations, and economic development. Faculty tenure and promotion decisions may also include activities in technology transfer, innovation, start-up companies, and entrepreneurship.

Tenure/promotion is a shared collegial process of accomplishment, evaluation, and recognition. The tenure/promotion decision is one of the most important decisions in which a professional in higher education may be involved, for it is a shared undertaking that establishes an individual's sense of their own professionalism and the university community's recognition of it. Tenure guarantees annual reappointment for the academic year until voluntary resignation, retirement, removal for just cause (incompetence or misconduct), or layoff.

In a very real sense, the evaluation process involved in tenure/promotion is one of the most significant events in a faculty member's career, and, as such, ought to be treated with dignity, addressed with the serious attention it deserves, and recognized for the accomplishment and respect a successful outcome marks.

The tenure/promotion process should be conducted in a positive and cooperative atmosphere with adequate provision of both time and other essential resources. It should be conducted with a commitment to full disclosure, transparency, and collegiality. It should be rigorous and professional.

To these ends, the faculty and administration of Florida International University, in compliance with the requirements of the Florida Board of Governors and the Florida International University Board of Trustees (BOT), endorse the following guidelines for faculty tenure and promotion.

If there is any variance between these guidelines and the Florida International University Board of Trustees and United Faculty of Florida (UFF) Collective Bargaining Agreement (CBA), the Collective Bargaining Agreement takes precedence. Although the CBA applies only to “in-unit” faculty, tenure and promotion policies and procedures are consistent for all faculty and all faculty, both “in-unit” and “out-of-unit”, are entitled to apply for tenure/promotion in accordance with their rank.

‘Unit’ as used in this document is consistent with the CBA, such that: “department/unit” means a department or a comparable administrative unit generally equivalent in size and character to a department, and, “college/unit” means a college or a comparable administrative unit generally equivalent in size and character to a college (CBA, Article 19, Definitions).

Every department/unit is required to have clear promotion and tenure guidelines for every rank. This includes tenure-track, teaching professor, instructor, lecturer, clinical professor, professional practice professor, and research professor.

RESPONSIBILITIES OF PARTICIPANTS

Beginning in fall 2020, all college/unit Tenure & Promotion Committee members, chairs/directors, and deans are required to complete the Tenure & Promotion (T&P) Workshop offered by the Strategies and Tactics for Recruitment to Increase Diversity and Excellence (STRIDE) Committee through the Office to Advance Women, Equity & Diversity (this workshop is different from the STRIDE workshop for faculty search committee members). Thereafter, college/unit T&P committee members, chairs/directors, and deans only have to attend the STRIDE T&P Workshop when they are newly elected or reelected to the committee, or reappointed as chair/director or dean. It is strongly recommended that department/unit personnel committees also attend the STRIDE T&P Workshops.

Nomenclature

FIU has varying levels of organization within schools and colleges. Some colleges contain schools which in turn contain departments, some schools have no departments, some schools are led by directors, some by deans, etc. For the purposes of this document, the dean refers to the individual who reports directly to the Provost. The chair refers to the individual (in some cases holding the title director) who reports to the dean who reports to the Provost. In a school with no departments whose dean reports to the Provost, the departmental and chair recommendations do not exist. In a college

with departments within schools there may be an additional level of recommendation at that of the school director/dean. In these cases, the decision to have departmental and/or school recommendations is left to the college.

Time Line

In January each year, the Provost will post the schedule of the tenure/promotion processes for faculty who will be considered during the next academic year.

College/Unit and Department/Unit Guidelines

Every college/unit and department/unit must have tenure and promotion guidelines that clearly and unambiguously articulate the standards and expectations for teaching, research, creative activities, service, and where applicable, leadership and administration. For example, if a standard in research establishes the expectation that faculty generate funded research, then this standard must be articulated formally and be fully explained in the department/unit guidelines.

There must be a direct link between the department/unit's annual assignments, the annual evaluation criteria and the standards used for tenure/promotion. For both tenure and promotion candidates, the measures of productivity should consider the candidate's performance within the parameters of annual assignments. (A rubric for addressing the weighting of assignments can be found in the department/unit's differential assignment policy.) Should the criteria for earning tenure be modified during the tenure-earning time period, faculty who have at least three (3) years of tenure-earning credit shall be evaluated under the criteria prior to modification unless the employee has notified the University at least thirty (30) days prior to commencement of the tenure consideration that they choose to be evaluated under the newly-adopted criteria (please see the CBA section 9.4b). Candidates who apply for promotion to Full Professor more than six years after their tenure and promotion will be evaluated according to their annual assignments and the promotion criteria in effect six years before they initiate the promotion process. Candidates who wish to be evaluated under a more recent standard must indicate this choice at least thirty (30) days prior to the beginning of the promotion process. For all other promotions, criteria used will be those that are in effect the year prior to the promotion.

Conventions in the determination of quality peer reviewed journals vary among disciplines, therefore these should be identified in advance in the department/unit's guidelines, minimizing ambiguity about expectations. If there is an expectation that faculty increasingly publish single-authored work, then this must be so stated in the department/unit's standards for tenure and promotion. Wherever possible, published articles presented in the applicant's curriculum vitae should be listed along with the three to five-year average of acceptance rates, as attested by their respective editors.

The impact factor of journals and the rank of a journal among all ranked journals in its field(s), should be included when this information is available. Since not all journals are included in impact

evaluation, individual academic units should develop a standard that articulates how the quality of the journal(s) in which the faculty publishes will be determined. This information should be available to the faculty when their contracts begin.

If there is an expectation that creative work be recognized, then the level of recognition as well as the peer-review context and process must be articulated in the college/unit and department/unit's guidelines. If there is an expectation of community-engaged scholarship, specific criteria for the accepted types, levels and impact should be stated in the college/unit and department/unit's guidelines.

Teaching expectations must also be articulated by the department/unit. If expectations of teaching excellence are measured by a specified level of achievement and/or growth as evidenced in evaluations of teaching, or being the recipient of teaching awards, this must be articulated in the department/unit's evaluation of teaching criteria. Methods and assessments may vary according to discipline, but all may consider the university's standard of using the three sources of data (student, peer, and self) in the process of evaluating progress and accomplishments and must be articulated in the college/unit and department/unit's guidelines.

Standards must also be articulated regarding service, and where applicable, leadership and administration.

A. RESPONSIBILITIES OF INDIVIDUAL FACULTY:

Prior to the time of appointment, applicants should apprise themselves of the following:

- The tenure/promotion policies, procedures, and requirements by review of the current BOT-UFF contract as well as written departmental/unit, college/unit, and university policies, and by consultation with the departmental/unit chairperson/director and/or dean.
- The advantages and disadvantages of receiving tenure credit for prior service (See Section H—Guidelines for Tenure Credit or Tenure upon Appointment.)

During the first term of employment, faculty members should:

- Meet with the departmental/unit chairperson/director about departmental/unit, college/unit, and university expectations for tenure/promotion, including the department/unit's evaluation of teaching guidelines.
- Consult with the chairperson/director and other departmental/unit members on meeting these expectations.
- Consider reviewing the tenure/promotion application of a recent, successful candidate from the department/unit.
- Upload CV and other professionally relevant documents and pertinent information on the university online portal.

- Recognize that a three-to-five-year career plan can be particularly helpful in planning one's advancement toward a favorable tenure/promotion decision.
- Be formally assigned to a mutually agreeable mentor-mentee relationship, whether within or outside of the faculty member's home department/unit.

Each term faculty members should:

- Consult with their department/unit chairperson/director to ensure that their assignment of activities is consistent with the opportunity to continue their work toward meeting the tenure/promotion expectations of the university and the standards of their profession.
- Recognize that the impact of their assignments upon tenure/promotion activities needs to be evaluated carefully. Over-burdensome assignments may make it difficult or impossible to carry out the activities necessary for a candidate to be successfully tenured/promoted.
- Recognize that tenure/promotion decisions are a function of the expectations of the department/unit, college/unit, university, and profession as well as the execution of formal assignments.
- Meet with their assigned mentor. The mentee should report their activities in their respective annual faculty productivity reports to their departmental/unit chair/director .
- Update CV and upload other pertinent documents on the university online portal.

Each year faculty members should:

- Work toward rendering their research, scholarly, or creative work public. It is expected that faculty members will make their research, scholarly, or creative work public in the manner generally accepted and appropriate for their discipline or profession on a continuing basis.
- Recognize that excellence in teaching is important to the university. In addition to ensuring that Student Perception of Teaching surveys (SPOTs) or equivalent surveys are carried out in a manner consistent with departmental/unit policies, faculty members may engage in teaching evaluation activities that include peer feedback and self-reporting/reflection. Letters from peers documenting these teaching collaborations, feedback activities, and/or observations may be included in tenure/promotion files.
- Use the university online portal, as outlined by department/unit evaluation of teaching criteria , to report teaching evaluation activities they engaged in throughout the year.
- Submit to department/unit chair/director, in a manner determined by the department/unit, a summary/narrative of their teaching practice for the year. Faculty will choose which data/information to share with their chair/director and how they will frame it. These letters may be included in tenure/promotion files.
- Ensure that appraisal of progress towards tenure/promotion has been made in writing. Utilize this appraisal as a means of assistance and counseling, and request clarification of any unclear aspects of the letter. The BOT-UFF Collective Bargaining Agreement specifies that the purpose of the appraisal is to provide assistance and counseling to candidates to help them to

qualify themselves for tenure/promotion and that tenure/promotion appraisals shall not be the sole basis for a decision concerning tenure/promotion for an employee.

- Keep apprised of tenure/promotion policy changes and decisions within the department/unit and university.
- Ensure that the appraisal of progress towards further promotion has been made in writing. Utilize this appraisal as a means of assistance and counseling, and request clarification of any unclear aspects of the letter.

An employee shall normally be considered for tenure/promotion to Associate Professor (including non-tenure track) during the sixth year of continuous service in a tenure/promotion-earning position including any prior service credit granted at the time of initial employment. An employee's written request for early tenure/promotion consideration is subject to the Provost's written agreement.

A tenured employee shall normally be considered for promotion to Full Professor when they have met the criteria for promotion within their department/unit. The tenured employee should notify their chair/director when they feel they have met these criteria and intend to apply for promotion to Full Professor. (This is not specifically time-related, although the faculty member should allow themselves enough time to meet the departmental/unit criteria).

A non-tenure track employee shall be considered for promotion to Full Professor (Teaching/Clinical/Professor of Practice) 6-years after their promotion to Associate Professor.

During the 3rd year review for tenure, faculty members should understand the following:

- The Third Year Review is conducted fully on the university's online portal .
- Applicants are encouraged to submit concise documentation for the Third Year Review Process. In-depth supporting files are not required at this point in the process.
- Once an appraisal is submitted (department/unit, chair/director, dean), the system pauses for five (5) calendar days to allow the candidate to submit a rebuttal (should they choose to do so). These five (5) calendar days are automatically allocated and cannot be bypassed once the process has been initiated. Once five (5) calendar days have passed since the submission of the appraisal, the file subsequently progresses to the next stage of the review.
- Updating your application: faculty may update their application by updating the appropriate category in the online Activities section, e.g., a new publication should be entered in the Scholarly Publications and Creative Activities category.

During the year prior to applying for tenure/promotion, faculty members should:

- Organize the tenure/promotion file (see Part IV . The Tenure/Promotion File).
- Provide suggestions for possible individuals who may be asked to write external evaluative letters (see Part IV. B. 11.)

During the processing of the application for tenure/promotion:

- The applicant's complete file (see Part IV . The Tenure/Promotion File) must be uploaded to the Tenure/Promotion Portal and available for a minimum of one week for study by all faculty eligible to vote. It is the responsibility of the candidate to confirm that the full file has been uploaded.
- The candidate may add additional materials through the gatekeeper at each stage.
- The candidate has the right to review the contents of the tenure/promotion file and may provide a brief and concise response to any materials therein at each stage of the process, within five (5) calendar days after each of the following letters has been uploaded: the committee's letter, the chair/director's letter, the dean's letter, and the provost's letter.
- Candidates and other faculty members should recognize that lobbying for tenure/promotion with members of review committees at all levels is inappropriate.

Following the award of tenure/promotion, faculty members should recognize that:

- Professional responsibilities to the university and to one's field of endeavor, service and/or engagement activities not only continue but also take on greater importance. A faculty member at the higher ranks is expected to continue growing professionally, consider mentoring other colleagues, and keep apprised of changing expectations within the profession, university, and department/unit.
- Continuing review of the departmental/unit mission and personal goals is appropriate.

B. RESPONSIBILITIES OF THE DEPARTMENTAL/UNIT FACULTY:

A primary responsibility of the departmental/unit faculty is to create an environment that encourages excellence and collegiality. Experienced faculty members can contribute to their colleagues' growth in a number of important ways (e.g., by reading drafts of proposals and papers, initiating informal discussions of concepts and ideas for teaching, research, publication, social innovation and entrepreneurship, and providing moral support). Colleagues should periodically discuss the goals and expectations of the department/unit, the college/unit, and the university on tenure/promotion. Faculty members also should contribute to the enhancement of the quality of teaching by periodically providing feedback on course materials and assessments as needed, and offering constructive ideas for improving pedagogical, communication and conceptual skills.

Periodic faculty meetings should be devoted to discussing departmental/unit expectations, university policies and procedures, and the importance of careful professional review well before a department/unit convenes to consider individual candidates.

Departments/units should set aside sufficient time for the evaluation of each candidate's application. For both tenure and promotion candidates, the voting faculty should consider the candidate's performance within the parameters of annual assignments. Should the criteria for earning tenure be modified during the tenure-earning time period, faculty who have at least three (3) years of tenure-earning credit shall be evaluated under the criteria prior to modification unless the employee has

notified the University at least thirty (30) days prior to commencement of the tenure consideration that they choose to be evaluated under the newly-adopted criteria (please see the CBA, section 9.4b). Candidates who come up for promotion to Full Professor within six years of their tenure and promotion will be evaluated according to their annual assignments and the promotion criteria in effect at the time of their tenure and promotion. Candidates who come up for promotion to Full Professor more than six years after their tenure and promotion will be evaluated according to their annual assignments and the promotion criteria in effect six years before they initiate the promotion process. Candidates who wish to be evaluated under a more recent standard must indicate this choice at least thirty (30) days prior to the beginning of the promotion process. For all other promotions, criteria used will be those that are in effect the year prior to the promotion.

When the departmental/unit tenure and promotion committee meets to consider a candidate's application, all eligible members, i.e., tenured or promoted, and holding the rank to which the candidate is seeking to be promoted or higher, should be present either physically or virtually and each eligible member should have thoroughly reviewed each candidate's file. Faculty who are ineligible to vote on the application may participate to the extent provided for in departmental/unit bylaws but may not vote. Departmental/unit bylaws should explicitly state eligibility for voting, how votes will be recorded and whether or not (and how) absentee voting is allowed. For faculty seeking promotion as librarians or clinical/professional practice/research faculty, untenured faculty holding the rank to which the candidate is seeking to be promoted may participate in the departmental/unit committee. Rendering a professional judgment is a basic responsibility of the eligible faculty members and exceptions should be made only for conflict of interest. Such conflicts must be explained at the beginning of the process and persons who claim such conflict should not participate in the evaluation process for that candidate. Such cases should be reported on the appropriate form as conflict of interest (such as nepotism or other relationships that may render impartiality difficult). These must be reviewed by, and when cause is found to exist approved by, the chair/director of the department/unit or other primary unit. A conflict of interest automatically exists for the review of the file of a spouse, family member, previous or current romantic partner, or business partner.

Throughout their deliberations, department/unit members have an obligation to render their best professional judgment of the candidate's credentials, contributions, and potential using the standards appropriate to their scholarly or professional field. After discussing the candidates' qualifications fully, the eligible departmental/unit members should vote on each candidate by secret ballot. Once departmental/unit votes are recorded, no additional votes should be cast nor should any vote be changed. Abstentions should only be made for conflict of interest (in cases such as nepotism or other relationships that render impartiality difficult), with prior approval of the department/unit chair/director and notification to the committee chair prior to the vote. Departmental/unit members should recognize that discussions of candidates should be confidential, because effective evaluation requires that departmental/unit members be able to speak their minds freely. Persons who abuse this confidentiality compromise the integrity of the process.

In assessing a candidate's application for tenure or promotion, departmental/unit members should consider the candidate's accomplishments, contributions, assigned tasks, and potential to continue to provide significant professional contributions within the context of disciplinary norms and expectations as outlined above (in this section).

The departmental/unit evaluation letter is drafted by the chair of the committee, who is responsible for sharing its contents with the committee members. The committee chair's letter, addressed to the chair/director of the department/unit, must not be limited to a report of the vote of departmental/unit members. It should thoughtfully describe the role and function of the candidate in the department/unit, the candidate's area of specialization, accomplishments, and contributions; and discuss the strengths and weaknesses of the candidate and any factors which make the evaluation of the candidate difficult for others outside the field (see section on the Departmental/Unit Statement in Part IV, The Tenure/Promotion File). Fundamental responsibility for evaluating candidates is at the departmental/unit level and should be based on published departmental/unit tenure and promotion guidelines; these guidelines must be publicly available online. Accordingly, explanations of the actual departmental/unit vote are necessary to those evaluating the file at subsequent stages, who, in the absence of adequate explanations, may make inappropriate inferences. In particular, any conflicts of interest and absences must be explained. This letter should be uploaded to the candidate's online tenure/promotion file. The departmental/unit faculty designee (chair/director of departmental/unit Tenure and Promotion Committee or equivalent) should record the results of the faculty vote in the online portal. The departmental/unit chairperson/director should discuss the results of the vote and the departmental/unit evaluation letter with the candidate. The departmental/unit vote and evaluation letter will automatically be released for the candidate to view in three (3) calendar days.

In voting on tenure/promotion, the following university policy shall apply:

- If a department/unit (including the chairperson/director) has a total of three or more tenured faculty members, only the tenured members of the faculty shall vote on tenure applications.
- If a department/unit (including the chairperson/director) has a total of three or more tenured faculty members, only these faculty members shall vote on applications for promotion to assistant professor.
- If a department/unit (including the chairperson/director) has a total of three or more tenured faculty members at the level of associate professor or above, only these faculty members shall vote on applications for promotion to associate professor.
- If a department/unit (including the chairperson/director) has a total of three or more tenured faculty members at the level of full professor, only these faculty members shall vote on applications for promotion to full professor.
- If a department/unit (including the chairperson/director) has a total of three or more tenured or non tenure track faculty members at the rank of Associate or equivalent rank or above, only these faculty members shall vote on applications for promotion to Associate Teaching Professor/Senior Instructor/Senior Lecturer or equivalent non tenure track rank.

- If a department/unit (including the chairperson/director) has a total of three or more tenured or non tenure track faculty members at the rank of Professor or equivalent rank or above, only these faculty members shall vote on applications for promotion to Teaching Professor/University Instructor/University Lecturer or equivalent non tenure track rank.
- If a department/unit has fewer than the above-specified minimum number of faculty members, the departmental/unit or college/unit faculty must establish a written policy, which must be approved by the dean and the Provost, which specifies who may vote on that particular type of application and may include faculty of similar rank outside the department/unit. When the above-specified minimum numbers are later met, the general university policy takes precedence over departmental/unit policies.
- If the department/unit chairperson/director is one of only three in the department/unit to meet the criteria specified above, the chairperson/director votes with their two colleagues and writes a recommendation letter to the dean on behalf of the three voting faculty. In all other cases, the chairperson/director does not vote with the faculty committee, but rather writes an independent evaluation and recommendation of the candidate. No individual has two opportunities to vote on an application.

C. RESPONSIBILITIES OF THE DEPARTMENTAL/UNIT CHAIRPERSON/DIRECTOR:

One of the chairperson/director's most important roles is to guide a faculty member's efforts in achieving tenure and promotion. The chairperson/director is a colleague and an administrator, providing ongoing advice, counsel, direction, evaluation, appraisal, and resources that assist the candidate's efforts. If a school has a director that functions as a chairperson, the director will write the letter of support. When faculty have a joint appointment between a department/unit and a center/unit, the departmental/unit chairperson/director of the tenure/promotion home will write the letter. In this case, supporting letters from the center/unit director are encouraged.

The tenure/promotion process begins prior to the faculty member joining the university. The chairperson/director should advise potential and new faculty members of:

- The University's tenure/promotion process;
- Their responsibilities to create a record worthy of tenure/promotion;
- The impact of their assignments on the tenure and/or promotion process;
- The tenure/promotion policies and procedures of the department/unit, college/unit, and the university, and the impact of the expectations of each of these academic departments/units on the tenure and/or promotion process.
- The advantages and disadvantages inherent in receiving tenure/promotion credit for prior service. (See Part I. H.).

The chairperson/director should make clear to the candidate that evaluation is a continuing process based on performance related to expectations. They are responsible for creating a positive

environment to help the candidate meet department/unit, college/unit, and university expectations. To help ensure these expectations are met, the chairperson/director is expected to include in the faculty member's annual evaluation their progress toward tenure and promotion (including for promotion to Full Professor). In addition, the chairperson/director should meet regularly with each faculty member to discuss their progress in the areas of teaching, research and/or creative work, innovation, sustainable human development, entrepreneurship, and service. The chairperson/director also should consult informally with faculty members each semester on their progress toward their goals and objectives and their congruence with the goals and objectives of the academic departments/units.

The chairperson/director must provide faculty members with written annual appraisals, including progress towards tenure/promotion, that should be discussed prior to being uploaded onto the online portal. The chairperson/director must also upload progress towards tenure/promotion in the "Progress towards Tenure/Promotion" section of the online portal.

Chairpersons/directors may encourage senior faculty members to serve as mentors, and may advise candidates to seek mentors who can provide valuable information and advice to all parties of the tenure and/or promotion process. New faculty, and those seeking promotion to a higher rank, are encouraged to join the Faculty Mentor Program where they will be matched with a senior faculty mentor.

The chairperson/director should be aware of their responsibilities to faculty members, especially when assigning duties to untenured or un-promoted faculty, since over-burdensome or unrelated activities distract a faculty member from their professional development.

The chairperson/director should ensure that the department/unit's tenure and/or promotion policies and procedures are posted online on the college/unit website, that faculty members are aware of them, and that these policies and procedures are followed.

The chairperson/director has an important role in supervising the preparation of a candidate's application file. This role is especially important in ensuring that the file is well organized and complete and that departmental/unit procedures for obtaining external letters of evaluation are followed.

In all cases except where the chairperson/director is required to provide the third vote in the departmental/unit committee (see above), the chairperson/director is expected to provide an independent review of the candidate. They have an obligation to render their best professional judgment of the candidate's credentials, contributions, and potential using the standards appropriate to the scholarly or professional field. They should consider the candidate's accomplishments, contributions, assigned tasks, and potential to make significant professional contributions, based on departmental/unit, college/unit, and university criteria. When the chairperson/director has reached a decision on a candidate, a detailed written statement giving their reasons should be addressed to the

dean and uploaded to the candidate's file. The departmental/unit chairperson/director should discuss the recommendation and the chairperson/director's evaluation letter with the candidate. The chair/director's recommendation and evaluation letter will automatically be released for the candidate to view in three (3) calendar days. Chairpersons/directors must recognize that lobbying for or against a candidate is inappropriate and undermines the integrity of the evaluation process. The chairperson/director's evaluation is based solely on the file.

In the event that the chairperson/director is applying for promotion, no chairperson/director letter is required.

D. RESPONSIBILITIES OF THE COLLEGE/UNIT COMMITTEE:

The college/unit committee serves primarily to provide a faculty review of applications for tenure and/or promotion that (a) furnishes a professional evaluation from a broader perspective than the departmental/unit evaluation and (b) encourages departments/units and chairpersons/directors to undertake their evaluations in a professional and fair manner.

A committee should be elected by the faculty of each college/unit in accordance with written policies, which have been approved by that faculty. Copies of these policies should be posted online on the websites of the college/unit and the Office of the Provost. Candidates and untenured/un-promoted members of the faculty (except for Library) should not serve on such committees.

The principle of participating in the evaluation at only one step of the process is essential. Thus, faculty on the college/unit committee must recuse themselves from advocating for or against or voting on individuals from their department/unit. They may respond to questions posed by other committee members. It is expected that committee members will have voted as a member of their home department/unit and will therefore abstain from voting on the college/unit committee (i.e., one may not abstain in the departmental/unit vote and then vote in the college/unit committee).

Normally elections for such committees should be conducted near the end of the spring term. It is recommended that a written notice soliciting nominations be sent to all faculty members in the college/unit, that nominees be given the opportunity to withdraw as candidates should they wish to do so, and that an election be conducted. The results of the election should be announced in a memo to the faculty and a copy should be forwarded to the dean and the Provost. The policies should allow for continuity on the committee; staggered two or three-year terms for committee members can accomplish this end.

Ideally, committee chairpersons will have served on the committee previously and should have a copy of recommendations made by previous committees. Past committee chairs should be available to advise departmental/unit chairpersons/directors and candidates on the content of application files.

The college/unit committee should have written policies that provide for:

- Meeting with the dean of the college/unit before considering candidates. The committee should also review and discuss policies, procedures, and criteria.
- When the committee meets to consider the candidates' applications.
- Composition, deliberation and voting of the committee.
- Each committee member should have thoroughly reviewed each candidate's file.

In assessing a candidate's application for tenure and/or promotion, committee members should consider the candidate's accomplishments, contributions, annual assignments, and potential to continue providing significant professional contributions as outlined in the departmental/unit's tenure and promotion guidelines.

Committee members must take time to adequately discuss each candidate. Committee members should feel free to ask questions. If the committee requests additional information beyond that existing in the tenure file, sufficient time must be allowed so that the candidate and the departmental/unit chairperson/director may respond to such requests.

Throughout their deliberations, committee members have an obligation to render their best professional judgment of the candidate's credentials, contributions, and potential, using the appropriate standards. After fully discussing the candidates' qualifications, the committee members should vote on each candidate by secret ballot. Committee members should recognize that discussions within the committee must remain confidential. Effective evaluation requires that committee members be able to speak their minds freely; persons who abuse this confidentiality undermine the review process.

For each candidate, the committee should provide a detailed written statement assessing the strengths and weaknesses of the candidate. This statement should be addressed to the dean and uploaded to the candidate's tenure and/or promotion file. The results of the committee vote should be recorded by the committee chair in the online portal. A notification will be sent to the dean, the departmental/unit chairperson/director, and the candidate. The departmental/unit chairperson/director should discuss the committee vote and written statement with the candidate. The committee vote and written evaluation will automatically be released for the candidate to view in three (3) calendar days.

Each academic year, the committee should issue a written report to the faculty on the results of its deliberations. This report should include any recommendations for revisions of procedures and any advice on the content of files.

The committee also must evaluate any requests for the granting of tenure and/or promotion upon appointment for any faculty members within the college/unit. The department/unit that requests such an appointment should provide the committee with detailed information, which allows for the fair and professional evaluation of the applicant's qualifications for tenure. At a minimum, the committee should be presented with a vote by the departmental/unit faculty, a departmental/unit statement explaining the applicant's accomplishments and qualifications for tenure and/or promotion, and

detailed curriculum vitae. The committee should provide a detailed written statement assessing the strengths and weaknesses of the candidate. This statement should be addressed to the dean with copies to the candidate and the departmental/unit chairperson/director. The college/unit committee's evaluation is based solely on the file.

E. RESPONSIBILITIES OF THE DEAN:

As the chief academic and administrative officer of the college/unit, the dean's role in the tenure and/or promotion process begins long before a candidate applies. The dean must ensure that appropriate annual reviews and appraisals are conducted in a fair and timely manner, that assignments are made appropriately and fairly, and that departmental/unit chairpersons/directors and departments/units are fulfilling their missions and responsibilities. The dean should ensure that faculty members who request credit toward tenure as they seek employment at the university are carefully advised as to the university's tenure policies, procedures, and criteria. Faculty members should not be granted such credit if it will disadvantage their prospects for tenure later (see Section H. Guidelines for Tenure Credit or Tenure Upon Appointment). The dean is responsible for providing an annual evaluation (and other required evaluations, e.g. appraisals of progress toward tenure or promotion) for departmental/unit chairpersons/directors and for other faculty members assigned primarily to administrative posts within the college/unit. In addition to considering other aspects of the chairperson/director's responsibilities, such an evaluation should consider how well the chairperson/director is performing their responsibilities on advisement, evaluation, and facilitation of candidates for tenure and/or promotion.

The dean should discuss university policies, procedures, and criteria for tenure and/or promotion with the college/unit committee before the committee receives application files. It is not appropriate for the dean to lobby department/unit members, chairpersons/directors, or college/unit committee members for or against any application for tenure and/or promotion. Such efforts seriously undermine the review process.

The dean has an obligation to render their best professional judgment of the candidate's credentials, contributions, and potential using the appropriate standards. In assessing a candidate's application for tenure and/or promotion, the dean should consider carefully the departmental/unit evaluation, the recommendation of the chairperson/director, and the recommendation of the college/unit committee. The dean should consider the candidate's accomplishments, contributions, assigned tasks, and potential to continue providing significant professional contributions, based on departmental/unit, college/unit and university standards. The dean should notify the departmental/unit chairperson/director, who, in turn, should notify the candidate regarding both the sort of information to be gathered and the information that is finally acquired. The dean must reach a decision regarding the candidates for tenure and promotion within 30 days of receiving all preceding recommendations. The dean's evaluation is based solely on the file.

When the dean has reached a decision regarding tenure and/or promotion, a detailed written statement explaining their recommendation and the strengths and weaknesses of the candidate should be uploaded to the candidate's tenure and/or promotion file. A notification will be sent to the provost, college/unit committee chairperson, departmental/unit chairperson/director, and the candidate. The departmental/unit chairperson/director shall discuss the dean's recommendation and written statement with the candidate. The committee vote and written evaluation will automatically be released for the candidate to view in three (3) calendar days.

Hiring with Tenure

If anyone is to be hired with tenure, the dean must ensure that sufficiently detailed information is presented to the department/unit and the college/unit committee that allows for a timely, fair, and professional evaluation of the applicant's qualifications.

The dean is responsible for ensuring that current copies of the following documents are maintained and posted online:

- The written tenure/promotion policies and procedures for each department/unit within the college/unit;
- The college/unit procedures for electing a committee to review tenure/ promotion applications;
- Reports made by that committee containing recommendations for revisions in college/unit or departmental/unit procedures, and advice on the contents of application files.

Each year the dean should distribute online before the end of January a timetable indicating at minimum:

- The period during which departments/units and chairpersons/directors should conduct their deliberations;
- The deadline for college/unit committee consideration;
- The deadline for forwarding the dean's decision to the Provost.

F. RESPONSIBILITIES OF THE PROVOST AND EXECUTIVE VICE PRESIDENT:

As the chief academic officer of the university, the Provost;

- Promotes an environment which fosters professional growth and development;
- Fully informs faculty of the tenure and/or promotion policies, guidelines and process;
- Establishes a consistent timetable to ensure sufficient time for preparation and deliberation;
- Ensures that the colleges/units are fulfilling their missions and conducting their evaluations in a fair and professional manner;

- Either meets (or designates someone to meet) with applicants for faculty positions who qualify for tenure credit or tenure upon appointment (see Section H. Guidelines for Tenure Credit or Tenure upon Appointment).

The Provost has an obligation to render their best professional judgment of the candidate's credentials, contributions, and potential using the appropriate standards. In assessing the candidate's application and accomplishments, the Provost should consider the articulated mission of the candidate's department/unit and college/unit, the candidate's accomplishments, contributions, annual assignments, and potential to continue providing significant professional contributions; the university's standards and criteria; and the evaluations of the department/unit, chairperson/director, college/unit committee, and the dean.

- The Provost may consult with the chair of the department/unit tenure and promotion committee, the department/unit chair/director, the chair of the college/unit tenure and promotion committee, the dean, or other individuals whose advice could assist the Provost in making a decision.

When the Provost has reached a decision regarding the candidates for tenure/promotion, a detailed written statement explaining their recommendations should be addressed to the President and uploaded to the candidate's tenure and/or promotion file. A notification will be sent to the president, dean, college/unit committee chairperson, departmental/unit chairperson/director, and the candidate. The departmental/unit chairperson/director should discuss the Provost's recommendation or final decision and written statement with the candidate. The Provost's recommendation or final decision and written statement will automatically be released for the candidate to view in three (3) calendar days.

It is the Provost's role to have this Tenure and Promotion Policies and Procedures Manual reviewed by the faculty every seven years.

G. RESPONSIBILITIES OF THE PRESIDENT:

The President has an obligation to render their best professional judgment of the candidate's credentials, contributions, and potential using the appropriate standards. In assessing the candidate's application and accomplishments, the President should consider the articulated mission and standards of the candidate's college/unit, the candidate's accomplishments, contributions, annual assignments, and potential to continue providing significant professional contributions; the university's criteria; and the evaluations of the department/unit, chairperson/director, college/unit committee, dean, and Provost.

The President is responsible for ensuring that approved tenure applications are forwarded to the FIU Board of Trustees with the appropriate information.

H. GUIDELINES FOR TENURE CREDIT OR TENURE UPON APPOINTMENT:

Usually, no more than three years should be credited toward tenure eligibility at the time of appointment. Requests for exceptions to this limitation will be considered by the Provost upon recommendation of the dean and the department/unit chairperson/director.

- 1. Tenure Credit:** The appointment of a faculty member who qualifies for one or more years of tenure credit places special responsibilities on the university as well as the faculty member. A decision to grant such credit must be considered carefully since it affects both the faculty member's career and the university. The Provost (or their designee) shall meet with and counsel faculty members who qualify for tenure credit to make certain that they are fully informed of the consequences of the decision.

The decision to grant tenure credit should not be made until after the faculty member's record of research, publication, innovation, sustainable human development, entrepreneurship and/or creative work, teaching, and service have been reviewed. Factors to be considered in reviewing such an application include:

- a determination of the record to date;
- current and planned activities that can reasonably be expected to be completed;
- evidence of sustained accomplishment in the past and a promise of continued achievement;
- time needed for the adjusting to the new environment.

Where employees are credited with tenure-earning service at the time of initial appointment, all or a portion of such credit may, at any time prior to formal application for tenure, be withdrawn once by the faculty member.

- 2. Tenure upon Appointment:** Anyone appointed with tenure must be subject to a thorough review and evaluation process within the department/unit, college/unit, and the university. This process must include an interview by the tenured members of the department/unit as well as a vote and detailed letter describing the strengths and weaknesses of the candidate as outlined in the department/unit's published tenure and promotion guidelines; these guidelines must be publicly available online. A file containing a detailed curriculum vita, the departmental/unit letter and vote, the departmental/unit chair/director's recommendation, the vote and written evaluation of the college/unit committee, and the dean's evaluation and recommendation must be submitted to the Provost. The candidate must be informed in the letter of offer that the decision regarding tenure upon appointment is made by the Board of Trustees upon recommendation by the President.
- 3. Tenured FIU employees who transfer within FIU** and who are employed in the same or similar discipline may transfer their tenure if a vacancy exists and they are offered employment through the normal hiring process. For tenure-earning faculty, the amount of prior FIU service creditable toward tenure within FIU may, by mutual agreement, be all or part of such service. When a tenured FIU employee is transferred as a result of a

reorganization within the university and is employed in the same or similar discipline in which tenure was granted, the employee's tenure shall be transferred to the new department/unit.

Part II: Tenure and Promotion Policies & Procedures

TENURE

A. TENURE EVALUATION

1. Tenure is awarded upon demonstration of highly competent performance during the entire term of tenure earning service at the university. Tenure criteria shall address the areas of teaching; research, creative work, community-engaged scholarship and other scholarly activities; and service to the public, the discipline, and the university including those professional responsibilities consistent with faculty status. Where applicable, these areas may include teaching scholarship, innovation, sustainable human development, and entrepreneurship.
2. Performance for each year shall be evaluated with respect to the rank held.
3. In quality, quantity and consistency, such performance must provide grounds for assurance that future performance will constitute a significant professional contribution.
4. All tenure-earning faculty will be reviewed in their third year of employment. For faculty hired with two or more years of tenure credit, this review should take place in the second year of employment.

B. ELIGIBILITY

1. Normally, only employees with the rank of associate professor and professor shall be eligible for tenure.
2. Except for employees who, by virtue of prior service credited at time of appointment, are eligible for consideration earlier, an employee must be considered for tenure during the sixth year of continuous service in a tenure-earning position. Any deviations from this schedule must be approved by the Provost. Part-time service of an employee shall be accumulated. For example, two semesters of half-time service shall be considered one-half year of service for purposes of tenure eligibility. An employee shall normally be considered for tenure only once.
3. Anyone appointed with tenure must be subject to a thorough review and evaluation process as described in Part I, H.2. . The Provost recommends to the President and the President's recommendation must be approved by the BOT.
4. See Part I, H.2. for eligibility of tenured FIU employees who transfer within FIU. For tenure-earning faculty, the amount of prior FIU credit toward tenure within FIU may, by mutual agreement, be all or part of such credit .

C. CREDIT TOWARD ELIGIBILITY

1. At the time of employment, the Provost may credit an employee with tenure-earning service from another institution of higher education; however, such credit is typically limited to not more than three years of tenure-earning service.
2. Where employees are credited with tenure-earning service at the time of initial appointment, all or a portion of such credit may be withdrawn once by the employee prior to formal application for tenure.

D. TENURE REVIEW: THE SIXTH YEAR

1. By May 15 of the sixth year of service at the University, an employee eligible for tenure shall either be recommended for tenure by the President or given notice that the next academic year will be the employee's last year of employment with FIU. The President's recommendation for tenure will be submitted for ratification by the Board at its next scheduled meeting, but not later than July 15. If the Board does not award tenure to the employee, the employee shall be given notice that the next academic year will be the employee's last year of employment with FIU. The employee shall be notified in writing by the President or designee within five (5) calendar days of the Board's rejection of the President's recommendation. Denial of tenure by either the President or the Board shall include a statement that the employee has seven (7) calendar days to request a statement of the reasons. Upon written request by an employee within seven (7) calendar days of the employee's receipt of notice that further employment will not be offered, the President or Board, as appropriate, shall provide the employee with a written statement of reasons why tenure was not granted. Should an employee elect not to request such a written statement of reasons, the date of the act or omission giving rise to any grievance concerning denial of tenure shall be deemed to be seven (7) calendar days from the date of the employee's receipt of notice that tenure was not granted. Should an employee request such a written statement of reasons, the date of the act or omission giving rise to any grievance concerning denial of tenure shall be deemed the date of the employee's receipt of a written statement of reasons why tenure was not granted.
2. Faculty members in their sixth year who are not on a terminal contract normally must apply for tenure. Failure to apply for tenure in the sixth year must result in a letter of non-renewal, unless the faculty member has obtained an extension of the tenure clock.

E. EARLY TENURE REVIEW

An employee shall normally be considered for tenure during the sixth year of continuous service in a tenure-earning position including any prior credit granted at the time of initial employment. An employee shall normally be considered for tenure only once. An employee's

written request for early tenure consideration must be submitted to their dean and is subject to the Provost's written agreement.

PROMOTION (NON-TENURE EARNING)

A. PROMOTION EVALUATION

1. Promotion is awarded upon demonstration of highly competent performance during the entire term towards earning promotion at the university. Promotion criteria shall address the areas of teaching and teaching scholarship; research (when appropriate), creative work (when appropriate) and service to the public and university including those professional responsibilities consistent with faculty status.
2. Performance for each year shall be evaluated with respect to the rank held.

B. ELIGIBILITY

1. It is not expected that faculty will receive an initial appointment as Associate Teaching Professor. This is a position typically obtained through promotion from Assistant Teaching Professor. Such promotion will not be considered prior to the start of the sixth year of continuous service as an Assistant Teaching Professor. Candidates who have held the position of Visiting Assistant Teaching Professor and for whom there has been no break between the visiting and regular appointment may aggregate their full-time teaching service to reach the required total of five completed years.
2. In May each year, the Provost will submit a list of those eligible to apply to Non-Tenure Track Promotion consideration during the next academic year.

ACADEMIC RANKS

A. FACULTY

1. Expectations

The following position descriptions define the expectations at each rank. Appointment to a rank requires sufficient evidence, as required by the college's/unit's guidelines to sustain an expectation that the candidate will successfully meet the requirements of a holder of that rank.

The criteria for promotion shall include substantially exceeding expectations at the rank currently held, showing an increased skill in teaching, increased evidence of community-engaged scholarship, knowledge in the field of specialty, recognition of creative work, recognition as an authority in the field and, potential for professional growth as required by the departmental/unit's guidelines. Service to the university and the profession is an expectation of faculty throughout their careers, but in a normal professional trajectory untenured, tenure-track faculty will be more

focused on teaching and research. It is the responsibility of the tenured faculty to assume a greater share of the service obligations in the university on behalf of their untenured colleagues.

The evaluation for tenure/promotion involves three main components as listed and defined below. It is noted that the overall achievements and standards for each component increases with each rank; such expectations are noted under each rank below.

Additional information on documenting performance for each category is noted under the section titled “The File.”

- **Research and/or creative works:**

Research and/or creative works take many forms, including independently conducted research/creative works, and collaboratively generated contributions to the field of study, community, and arts. These productions of work vary across the disciplines ranging from research (basic or applied), the humanities, or to the creation of artistic products/productions. The respective work should add value to the respective field and work to increase FIU’s commitment as a research university and our Carnegie Classification. Research and/or creative activities aim to advance the generation of new knowledge or production of new creative works and technologies through various forms including social and other media outlets, inventions, innovations, patents and patent licensing, commercialization, entrepreneurship, and start-up companies.

The candidate may exhibit their accomplishments through the production of books (chapters), published articles, grants, fellowships, criticism and reviews of creative works, reviews of grant applications, patent submissions/issuances, evidence of impact on policy/practice. This may also include works of art, designs, exhibitions, performances, presentations, compositions, productions, and other creative works. The quality and significance of journals, series, and presses by which the candidate’s work has been published is also considered. Where appropriate, consideration will be given to external peer recognition as demonstrated by a record of funded research, and to the demonstrable impact of research through inventions and innovations, development and/or commercialization of intellectual property and the transfer of technology such as through patent disclosures, applications, and provisional patent awards, including disclosure of innovation, entrepreneurship, sustainable human development, and related activities. A start-up company that enhances student success, and/or the broader scholarly and public service missions of FIU will also be taken into consideration. It is noted that some works may only appear after lengthy or extensive effort and may appear in a wider range of venues, both locally, nationally, and/or internationally. Recommendations for tenure/promotion should take these and other factors into account and present a clear and compelling case towards the merit of the work.

- **Teaching:**

Teaching is an important factor in the tenure/promotion decision as FIU is committed to teaching excellence and student learning. The evaluation of teaching effectiveness or comparable activity appropriate per the unit standards is understood to be fundamentally grounded in demonstrable learning outcomes, appropriate to the discipline and level, and is learning-centered, evidence-based, and inclusive, according to specific criteria/guidelines developed by the faculty in each department/unit.

A candidate must furnish evidence of excellence in teaching and field-appropriate learning outcomes.

- **Service:**

Service includes service to the department/unit, college/unit, the university, the professional field or discipline, and the community. Service outside the university may include work for professional organizations, local, state, federal, or international entities that relate to the University mission and capitalize on the faculty's expertise. Due to the diverse units within FIU, it is recognized that such standards will vary across the units. Evaluation of service will include an examination of the nature and degree of engagement within the University and in the local, regional, national, and global communities. Faculty who engage in administrative duties and/or increased service should be fully credited for such activities, and not be penalized for reduced activities in other areas of faculty activity (teaching and research).

2. Position Descriptions

The following are descriptions for the most common faculty positions. Colleges/units that maintain different naming schemes should indicate in their unit guidelines how they align with these descriptions below or those listed under Sec. B. Clinical/Professional Practice/Research Faculty

a) Instructor/Lecturer- Regular, non-tenure-earning

- i. **Required Degree:** the master's degree is normally required in a field directly relevant to the corresponding program. Exceptions must be approved by the Provost upon recommendation from the dean.
- ii. **Teaching:** gains experience by teaching a variety of courses, particularly undergraduate, based on the above criteria. Demonstrates a commitment to and growth towards excellence in teaching.
- iii. **Other Activities:** while typically a full teaching load, differential assignments may include research, and/or community-engaged scholarship, and/or other creative work and service, which are primarily related to maintaining and developing teaching competency.
- iv. **Service:** to the department/unit, college/unit or university, including participation in collegial governance.

b) Senior Instructor/Senior Lecturer - Regular, non-tenure-earning

- i. Required Degree: the master's degree is normally required in a field directly related to the corresponding program. Exceptions must be approved by the Provost upon recommendation from the dean.
- ii. Teaching: builds on experience by teaching a variety of courses, particularly undergraduate, based on the above criteria. Demonstrated record of a commitment to and growth towards excellence in teaching as characterized by learning-centered, evidence-based, inclusive practices. Indicators of a commitment to excellence in teaching include the successful use of appropriate pedagogies and modes of teaching and learning, and guiding and advising students.
- iii. Other Activities: while typically a full teaching load, differential assignments may include research, and/or community-engaged scholarship and/or other creative work and service, which are primarily related to maintaining and developing teaching competencies.
- iv. Service: to the department/unit, college/unit or university, including participation in collegial governance, and community and/or professional service.

c) University Instructor/ University Lecturer - Regular, non-tenure-earning

- i. Required Degree: the master's degree is normally required in a field directly relevant to the corresponding program. Exceptions must be approved by the Provost upon recommendation by the Dean.
- ii. Teaching: a demonstrated record of successfully teaching a variety of courses. Also, demonstrates leadership in and advocacy for excellence in teaching at the department/unit or institutional levels. Shows continued commitment to student learning that is grounded in teaching that is characterized by learning-centered, evidence-based, inclusive practices. Some indicators of a commitment to excellence in teaching include the successful use of appropriate pedagogies and modes of teaching and learning, and guiding and advising students.
- iii. Other Activities: while typically a full teaching load, differential assignments may include conduct research, and/or community-engaged scholarship, and/or other creative work and service, which are primarily related to maintaining and developing teaching competency.
- iv. Service: to the department/unit, college/unit or university, including participation in collegial governance, and community and/or professional service.

d) Assistant Teaching Professor - Regular, non-tenure-earning

- i. Required Degree: the doctorate (or other terminal degree preferred or sufficient experience where appropriate) is normally required in a field directly related to the corresponding program.
- ii. Teaching: gains experience by teaching a variety of courses, particularly undergraduate, based on the above criteria. Demonstrates a commitment to and

growth towards excellence in teaching as characterized by learning-centered, evidenced-based, inclusive practices. Some indicators of a commitment to excellence in teaching include the successful use of appropriate pedagogies and modes of teaching and learning, and guiding and advising students.

- iii. Other Activities: while typically a full teaching load, annual assignments may include research, community-engaged scholarship, and/or other creative works.
- iv. Service: to the department/unit, college/unit or university, including participation in collegial governance, and community and/or professional service.

e) Associate Teaching Professor - Regular, non-tenure-earning

Promotion to Associate Teaching Professor signifies significant accomplishment in the area of teaching, the scholarship of teaching and learning (when appropriate) and service worthy of status as a member of the senior faculty. Candidates should also demonstrate a commitment to FIU's mission and goals, and be willing to contribute to the excellence of its reputation.

- i. Required Degree: the doctorate (or other terminal degree preferred or sufficient experience where appropriate) is normally required in a field directly related to the corresponding program.
- ii. Teaching: builds on experience by teaching a variety of courses, including graduate courses where appropriate based on the above criteria. Demonstrated record of a commitment to and growth toward excellence in teaching as characterized by learning-centered, evidenced-based, inclusive practices. Some indicators of a commitment to teaching include the successful use of appropriate pedagogies and modes of teaching and learning, and guiding and advising students.
- iii. Other Activities: while typically a full teaching load, annual assignments may include research, community-engaged scholarship, and/or other creative works.
- iv. Service: to the department/unit, college/unit, or university, including participation in collegial governance, and community and/or professional service.

f) Teaching Professor - Regular, non-tenure earning

Candidates should present a record that unambiguously demonstrates and documents the highest quality and productivity in teaching, engaged scholarship and/or creative work (as applicable), and university citizenship, during the period following the candidate's last promotion.

- i. Required Degree: the doctorate (or other terminal degree preferred or sufficient experience where appropriate) is normally required in a field directly related to the corresponding program.
- ii. Teaching: a demonstrated record of successfully teaching a variety of courses. Also, demonstrates leadership in and advocacy for excellence in teaching at the

department/unit or institutional levels. Shows continued commitment to student learning through teaching that is grounded in learning-centered, evidence-based and inclusive practices. Some Indicators of a commitment to excellence in teaching include the successful use of appropriate pedagogies and modes of teaching and learning, and guiding and advising students.

- iii. Other Activities: while typically a full teaching load, annual assignments may include research, community-engaged scholarship, and/or other creative works.
- iv. Service: to the department/unit, college/unit, or university, including participation in collegial governance, and community and/or professional service.

g) Assistant Professor - Regular, tenure-earning

- i. Required Degree: the doctorate (or other terminal degree where appropriate) is required in the corresponding field. Where the doctorate is not the terminal degree, the college/unit should specify what constitutes the terminal degree, with the concurrence of the Provost or designee.
- ii. Teaching: gains experience by teaching a variety of courses, particularly undergraduate. Demonstrates commitment to and growth towards excellence in teaching as characterized by learning-centered, evidence-based, inclusive practices. Some indicators of a commitment to excellence in teaching include the successful use of appropriate pedagogies and modes of teaching and learning, guiding and advising students, and providing opportunities for involvement in research projects. In departments/unit with graduate programs, teaching also includes mentoring of master's students and on-going work with doctoral and postdoctoral students.
- iii. Research and creative work: a satisfactory level of research performance, and/or community-engaged scholarship, and/or other creative work, which are aimed at expanding, sharing and disseminating knowledge. These activities should receive regional and national professional recognition; e.g., through publication in peer reviewed venues, professional society presentations and leadership, and appointment to national panels. Social innovation, sustainable human development, entrepreneurship, and/or creating a start-up company that enhances the broader scholarly, public service or health care mission of FIU is also valued.
- iv. Service: should include professional service at a satisfactory level of performance and service to the department/unit and college/unit, including participation in collegial governance. Professional service should receive regional and national recognition.

h) Associate Professor - Regular, tenure-earning

Promotion to Associate Professor signifies significant accomplishment in scholarship, teaching, and service worthy of status as a member of the senior faculty. Candidates should also demonstrate a commitment to FIU's mission and goals, and be willing to contribute to the excellence of its reputation.

- i. Required Degree: the doctorate (or other terminal degree where appropriate) is required in the corresponding field. Where the doctorate is not the terminal degree, the college/unit should specify what constitutes the terminal degree, with the concurrence of the Provost or designee.
- ii. Teaching: builds on experience by teaching a variety of courses, including graduate courses where appropriate based on the above criteria. Demonstrated record of commitment to and growth towards excellence in teaching, as characterized by learning-centered, evidence-based, and inclusive practices. Indicators of a commitment to excellence in teaching include the successful use of appropriate pedagogies and modes of teaching and learning, guiding and advising students, and providing opportunities for involvement in research projects. In departments/units with graduate programs, teaching also includes mentoring of master's students and doctoral and postdoctoral students.
- iii. Research and creative work: demonstrated quality, consistency, and productivity, achieving national/international recognition through well-respected, peer-reviewed journals and/or other venues that are consistent with national professional recognition. Consistent with disciplinary and unit norms, applicants should demonstrate success at funded research. Collaborative or team-based scholarship including community-engaged scholarship with community partners is also valued. Consistent with disciplinary and unit norms, applicants' files should reflect, at minimum, a course of professional development that establishes their independent scholarly standing or increasing leadership roles in collaborative/team-based scholarship. Social innovation, sustainable human development, entrepreneurship, and/or creating a start-up company that enhances the broader scholarly, public service or health care missions of FIU is also valued.
- iv. Service: a record of substantial professional service including, for example, leadership in regional, national or international professional societies, organizing conferences, serving on editorial boards; service to schools, agencies, companies and community organizations; and evidence of service to the department/unit, college/unit, or university, including participation in collegial governance.

i) Professor - Regular, tenure-earning

Candidates should present a record that unambiguously demonstrates and documents the highest quality and productivity in research, and/or community engaged scholarship, and/or creative work, teaching, professional service, and university citizenship and/or leadership, during the period following the candidate's last promotion. Reference should also be made to the record in the aggregate.

- i. Required Degree: the doctorate (or other terminal degree where appropriate) is required in the corresponding field. Where the doctorate is not the terminal

- degree, the college/unit should specify what constitutes the terminal degree, with the concurrence of the Provost or designee.
- ii. Teaching: a demonstrated record of successfully teaching a variety of courses, including advanced undergraduate and graduate courses where appropriate., Also, demonstrates leadership in and advocacy for excellence in teaching at the department/unit or institutional levels. Shows continued commitment to student learning through teaching that is grounded in learning-centered, evidence-based and inclusive practices. Some indicators of a commitment to excellence in teaching include the successful incorporation of appropriate pedagogies and modes of teaching and learning, guiding and advising students, and providing opportunities for involvement in research projects. In departments/units with graduate programs, teaching also includes mentoring of master's students and doctoral and postdoctoral students.
 - iii. Research and creative work: a record demonstrating sustained research, and/or community-engaged scholarship, and/or creative work that has received national/international status through highly recognized, peer-reviewed venues. Consistent with disciplinary and professional norms, the record should clearly demonstrate independent scholarly standing, or leading roles in nationally or internationally recognized collaborative/team-based scholarship. Applicants should have a record of funded research in accordance with articulated unit norms. Collaborative or team-based scholarship including community engaged scholarship with community partners is valued. Social innovation, sustainable human development, entrepreneurship, and/or creating a start-up company that enhances the broader scholarly, public service or health care missions of FIU is also valued.
 - iv. Service: a substantial record of sustained, professional service as evidenced, for example, through leadership in national or international societies, organizing conferences, or serving on editorial boards; service to schools, agencies, companies and community organizations; and evidence of service to the department/unit, college/unit, or university, including participation in collegial governance.

3. Promotion Evaluation

- a) For any promotion, successful performance at the level of the qualifications corresponding to the higher faculty rank is required.
 - i. Teaching performance at the level corresponding to the higher faculty ranks is necessary for promotion.
 - ii. The relative importance of performance in scholarly research and/or community-engaged scholarship, or other creative work and in service may vary by discipline. Nevertheless, performance at the level corresponding to the higher rank is necessary.

- b) Promotion to Assistant Professor from Instructor presupposes an administrative decision to alter significantly the functions of the faculty line in question. This decision requires the express approval of the Provost.
- c) Promotion to Associate Professor from Assistant Professor will normally be simultaneous with tenure.
- d) Promotion to Professor is the highest academic distinction the university may grant to those faculty members whose level of performance is outstanding. While no specific number of years as an Associate Professor can be associated with this promotion, ability to sustain such level of excellence over a significant period of time is required.
- e) Promotion to Associate Teaching Professor from Assistant Teaching Professor signifies significant accomplishment in the area of teaching.
- f) Promotion to Teaching Professor from Associate Teaching Professor is the highest academic distinction the university may grant to those faculty whose teaching is outstanding.
- g) Promotion to Senior Instructor/Senior Lecturer from Instructor/Lecturer signifies significant accomplishment in the area of teaching.
- h) Promotion to University Instructor/University Lecturer from Senior Instructor/Senior Lecturer is the highest academic distinction the university may grant to those faculty whose teaching is outstanding.
- i) No promotion will be considered during a faculty member's first year of regular appointment at Florida International University, nor while a faculty member is on leave from the University.

B. CLINICAL/PROFESSIONAL PRACTICE/RESEARCH FACULTY

Requirements for appointment to and promotion within clinical/professional practice/research positions will be determined by the individual colleges/units, and should be developed in accordance with appropriate BOT rules, the BOT-UFF Collective Bargaining Agreement, appropriate policies, and the University's Tenure and Promotion Manual. Each department/unit or college/unit making clinical/professional practice/research appointments must develop appointment and promotion guidelines through a department/unit or college/unit faculty committee. The guidelines must be approved by the department/unit or college/unit faculty governance body, the dean, and the Faculty Senate prior to final approval by the Provost. Approved guidelines will be appended to the college/unit's Tenure and Promotion Manual.

Clinical/Professional Practice Faculty

- a. If applicable, promotion to Assistant Clinical Professor from Clinical Instructor will be based on department/unit and/or college/unit guidelines. Promotion will be evaluated accordingly based on annual assignments.
- b. Promotion to Associate Clinical/Professional Practice/Research Professor from Assistant Clinical/Professional Practice/Research Professor will be based on department/unit and/or

college/unit guidelines. Promotion will be evaluated accordingly based on annual assignments.

- c. Promotion to Clinical/Professional Practice/Research Professor from Associate Clinical/Professional Practice/Research Professor will be based on department/unit and/or college/unit guidelines. Promotion will be evaluated accordingly based on annual assignments.

Research Faculty

a. Assistant Research Professor - Non-tenure-earning

- i. Required Degree: the doctorate (or other terminal degree preferred or sufficient experience where appropriate) is normally required in a field directly related to the corresponding program.
- ii. Teaching: when applicable, gains experience by teaching a variety of courses, particularly undergraduate, based on the above criteria. Demonstrates a commitment to and growth towards excellence in teaching as characterized by learning-centered, evidenced-based, inclusive practices. Some indicators of a commitment to excellence in teaching include the successful use of appropriate pedagogies and modes of teaching and learning, and guiding and advising students.
- iii. Research and creative work: a satisfactory level of research performance, and/or community-engaged scholarship, and/or other creative work, which are aimed at expanding, sharing and disseminating knowledge. When applicable, these activities should receive regional and national professional recognition; e.g., through publication in peer reviewed venues, professional society presentations and leadership, and appointment to national panels. Social innovation, sustainable human development, entrepreneurship, and/or creating a start-up company that enhances the broader scholarly, public service or health care missions of FIU is also valued.
- iv. Service: to the department/unit, college/unit, or university, including participation in collegial governance, and community and/or professional service.

b. Associate Research Professor - Non-tenure-earning

Promotion to Associate Research Professor signifies significant accomplishment in the area of research, teaching, engaged scholarship and/or creative work (as applicable), and service worthy of status as a member of the senior faculty. Candidates should also demonstrate a commitment to FIU's mission and goals, and be willing to contribute to the excellence of its reputation.

- i. Required Degree: the doctorate (or other terminal degree preferred or sufficient experience where appropriate) is normally required in a field directly related to the corresponding program.
- ii. Teaching: when applicable, builds on experience by teaching a variety of courses, including graduate courses where appropriate based on the above criteria. Demonstrated

record of a commitment to and growth toward excellence in teaching as characterized by learning-centered, evidenced-based, inclusive practices. Some indicators of a commitment to teaching include the successful use of appropriate pedagogies and modes of teaching and learning, and guiding and advising students.

- iii. Research and creative work: demonstrated quality, consistency, and productivity in research. Where applicable, achieving national/international recognition through well-respected, peer-reviewed journals and/or other venues that are consistent with disciplinary and unit norms; and, demonstrates success at funded research. Collaborative or team-based scholarship including community-engaged scholarship with community partners is also valued. Social innovation, sustainable human development, entrepreneurship, and/or creating a start-up company that enhances the broader scholarly, public service or health care mission of FIU is also valued.
- iv. Service: to the department/unit, college/unit, or university, including participation in collegial governance, and community and/or professional service.

c. Research Professor - Non-tenure earning

Candidates should present a record that unambiguously demonstrates and documents the highest quality and productivity in research, teaching, engaged scholarship and/or creative work (as applicable), and university citizenship, during the period following the candidate's last promotion.

- i. Required Degree: the doctorate (or other terminal degree preferred or sufficient experience where appropriate) is normally required in a field directly related to the corresponding program.
- ii. Teaching: when applicable, a demonstrated record of successfully teaching a variety of courses. Also, demonstrates leadership in and advocacy for excellence in teaching at the department/unit or institutional levels. Shows continued commitment to student learning through teaching that is grounded in learning-centered, evidence-based and inclusive practices. Some Indicators of a commitment to excellence in teaching include the successful use of appropriate pedagogies and modes of teaching and learning, and guiding and advising students.
- iii. Research and creative work: demonstrated quality, consistency, and productivity in research. When applicable, achieving national/international recognition through well-respected, peer-reviewed journals and/or other venues that are consistent with disciplinary and unit norms; and, demonstrates success at funded research. Collaborative or team-based scholarship including community-engaged scholarship with community partners is also valued. Social innovation, sustainable human development, entrepreneurship, and/or creating a start-up company that enhances the broader scholarly, public service or health care mission of FIU is also valued.
- iv. Service: to the department/unit, college/unit, or university, including participation in collegial governance, and community and/or professional service.

C. LIBRARIANS

a. Instructor - Librarian

This is an entry-level professional position performing basic professional library operations under close supervision by a higher-level professional librarian. The level of difficulty of the work assignments will be commensurate with the minimum qualifications of this classification. Employment in this position shall be considered initial professional employment to which a person will not be assigned permanently.

Minimum Qualifications:

- i. Master's degree in library science from an American Library Association accredited school.
- ii. No previous experience is required.
- iii. Shall have an academic record and recommendations that indicate a potential for successful performance as an academic librarian.

b. Assistant University Librarian

Performs technical processes and/or public service library work requiring full professional training in library science.

A librarian holding this title shall have made significant professional contributions to the library and/or the institution where employed. The librarian should have a documented record of effective performance, which shows an increasing responsibility and continuing growth. There should be evidence of strong commitment to the library profession and potential for making scholarly contributions to the field. The standards for promotion of librarians are specified in *Florida International University Libraries Promotion Manual for Librarians*

Minimum Qualifications:

- i. Master's degree in library science from an American Library Association accredited school.
- ii. Desirable: Additional academic course work and/or participation in institutes, workshops, or conferences which would further one's education.
- iii. A minimum of two years' professional experience after receiving the master's degree in library science. Some appropriate professional, non-library experience or responsible nonprofessional library experience may be substituted.

c. Associate University Librarian

Performs technical processes and/or public service library work requiring full professional training in library science.

Years of experience shall be only one of the criteria for classification as an Associate Librarian. A librarian holding this title shall have made substantial contributions to library professional organizations and/or to the institution or library where employed and achieved a high level of competence in bibliographical activities, in research or in other professional endeavors. The librarian should have a documented record of effective performance that shows an increasing responsibility and continuing growth. There should be evidence of scholarly contributions to the field. The standards for promotion of librarians are specified in *Florida International University Libraries Promotion Manual for Librarians*.

Minimum Qualifications:

- i. Master's degree in library science from an American Library Association accredited school.
- ii. Additional academic course work and/or participation in institutes, workshops, or conferences which would further one's education.
- iii. Desirable: Second master's degree or doctoral degree in progress or achieved.
- iv. A minimum of five years' experience as a professional librarian after receiving the master's degree in library science. Some years of appropriate professional, non-library experience or responsible non-professional library experience may be substituted.
- v. Evidence of scholarly contributions to the field.

d. University Librarian

Performs technical processes and/or public service library work requiring full professional training in library science.

Years of experience shall be only one of the criteria for classification as a University Librarian. A librarian holding this title shall have been recognized for outstanding achievements in bibliographical activities, in research or in other professional endeavors. The librarian should have a documented record of effective performance that shows an increasing responsibility and continuing growth. The librarian should have demonstrated exceptional service to the library profession and to the academic institution where employed through successful committee work, offices held, projects completed or other evidence of exceptional commitment to the concerns of the institution and the profession. A University Librarian is expected to make continuing scholarly contributions to the profession. The standards for promotion of librarians are specified in *Florida International University Libraries Promotion Manual for Librarians*.

Minimum Qualifications:

- i. Master's degree in library science from an American Library Association accredited school.

- ii. Additional academic course work and/or participation in institutes, workshops, or conferences which would further one's education.
- iii. Desirable: Second master's degree or doctoral degree in progress or achieved.
- iv. A minimum of nine years' experience as a professional librarian after receiving the master's degree in library science. Some years of appropriate professional, non-library experience or responsible non-professional library experience may be substituted.
- v. Sustained scholarly contributions to the field.

Part III. The Pre-Tenure Third Year Review File

The File

1. Curriculum Vitae: will be automatically generated based on activities listed in the university's online portal.
2. A list of courses taught will be generated from Courses Taught category in the university's online portal. Courses are pre-populated using data from the Office of Class Management but faculty may edit as needed.
3. Student Supervision/Mentoring: will be generated from Student Supervision/Mentoring section from the university's online portal.
4. A 1-3page description of the applicant's goals and a work plan for the remaining 2 years of tenure-earning status should be upload to the application form.
5. Copies of annual evaluations: should be uploaded to the application form.
6. Supplemental materials pertaining to scholarship: any copies of publications/and data on external grant proposals should be uploaded directly to the appropriate category in the Activities section of the online portal. Any additional items not listed that are deemed important in supporting the candidate's application should be uploaded to the application form.
7. Third year review appraisals from the department/unit committee, chair/director, and dean will be uploaded to the online portal.

Part IV: The Tenure/Promotion File

A. GENERAL APPEARANCE AND INTEGRITY OF THE FILE

Any file for tenure/promotion must be complete and must accurately reflect the record of the candidate. Misrepresentation of a candidate's record, either by false information or omission of information, will result in disciplinary action, which might include termination of employment.

1. It is extremely important that each candidate for tenure/promotion prepare and present for evaluation a complete, well organized, well documented, and clear application file. A disorganized, unclear file has the effect of diminishing the applicant's case.
2. The tenure/promotion application and review process is, for most appointment types, conducted fully online.
3. The online file contents should include all relevant materials, uploaded to the appropriate section and clearly arranged.
4. For faculty seeking promotion to Full Professor, the file should include only those materials which represent achievement or accomplishments since last promoted to Associate Professor or tenured, as appropriate.
5. If any material is added to the file after the commencement of consideration, a notification shall be sent to the candidate within five days (by email notification). The candidate may

submit a brief response within five days of their receipt. The file shall not be forwarded until either the candidate submits a response or until the second five-day period expires, whichever occurs first. The only documents that may be considered in making a tenure or promotion recommendation are those contained or referenced in the file.

6. Candidates are allowed to update the file anytime during the process; however, these documents will be reviewed only at the stages following the modifications without requiring adjustments to the timetable.
7. When the tenure/promotion file is released for departmental/unit review, it is electronically locked and the candidate can no longer add material. If material is subsequently added to a file it must be done through a gatekeeper. Relevant material (such as a book publication, honor, grant, etc.) may be added to the file at each stage through the gatekeeper up through the level of the Provost. At the departmental/unit review stage that gatekeeper is the departmental/unit chair/director. At the college/unit T&P committee the gatekeeper will be the chair of the college/unit T&P committee. Subsequent gatekeepers, at the levels of the dean's office, and academic affairs, must be identified by the appropriate departments/units in advance.

B. THE FILE

The file must be available for study by the department/unit faculty at least one week prior to the departmental/unit discussion.

1. A brief, two or three-paragraph biographical summary that might include education, work experience, publications, external funding received, creative works, community engaged scholarship, teaching experiences/development, contributions to the profession, professional associations and/or licenses, research interests, expertise. The summary should be written in the third person format.
2. Application: The application is generated by the online Tenure and Promotion system and verified for accuracy by the candidate prior to uploading documents.
3. Electronic signature: by providing an electronic signature, the candidate attests that they have uploaded all appropriate documents and that all works are the candidate's own. Furthermore, the electronic signature serves as the curriculum vita certification, whereby the candidate certifies that the information provided in the curriculum vita is accurate and complete to the best of the candidate's knowledge, and that the candidate understands that if they have knowingly provided false information or omitted relevant information, they may be subject to disciplinary action, including termination.
4. Curriculum Vitae
 - a. The Curriculum Vitae for a tenure and promotion file must be presented according to the university format for Tenure and Promotion—see [T&P Curriculum Vitae Format](#)¹

¹ A link to this document can be found at https://academic.fiu.edu/faculty_resources.html.

- b. Under “Publications,” list only works already in print or accepted for publication. For works accepted but not yet published, indicate “in press” and provide expected date of publication. If publication is co-authored, all authors must be listed as they appear in the publication. If sole authored, author’s name must be given. All other works that have not been accepted for publication must be listed under “Works in Progress.”
 - c. Under “Creative Work,” list only completed artifacts, compositions, designs, installations, performances, presentations, and productions. For works not yet completed, list under “Works in Progress,” and provide current phase and expected date of completion. If a work is co-created, all creators must be listed as credited in the venue. If sole created, creator’s name must be given.
5. Candidate’s statement of research/creative work/community-engaged scholarship, teaching philosophy and practice, and approach to university and national service. No more than two pages should be devoted to each of the three primary evaluation criteria: teaching, research/creative work/ community-engaged scholarship, and service. In the Research/Creative Work/Community-Engaged Scholarship Statement the candidate would present the major themes in the research and/or creative work, and/or community engaged scholarship, identify how they are coordinated, what success there has been to date in terms of publications and presentation of creative work in other venues, student support and student degrees, external funding, when appropriate, and plans for the future. These statements provide the candidate an opportunity to convince the reviewers that there is a coherent plan for scholarly productivity and engagement for the future. This statement would also provide the candidate with the opportunity to explain publishing decisions (e.g., books, articles, invited chapters). Teaching is a discipline for which there is no one best approach but the candidate has the opportunity to describe their philosophy and approach to teaching at the undergraduate and graduate levels and to mentoring undergraduate and graduate research and creative work. The candidate should describe how their teaching aligns with FIU’s vision for teaching excellence; e.g., learning, which is grounded in evidence-based, learning-centered and inclusive practices. Service opportunities are manifold. A statement from the candidate explaining how they chooses to focus on particular service opportunities and to allocate time between university and professional service would help reviewers understand the service component of the CV. If the candidate has assumed significant administrative responsibility or leadership roles and wishes this to be considered in the evaluation of promotion to full professor, this is the opportunity to make that case.
6. Department/Unit Statement
 - a. Department/Unit Procedures: This section should include a description of the tenure/promotion process and criteria that are used in the candidate's department/unit. This should describe such things as the department/unit's tenure and promotion guidelines, evaluation process, the way that voting is carried out, which members of the department/unit vote and why any eligible members of the department/unit did not

participate. Abstentions should only be made for conflict of interest (in cases such as nepotism or other relationships that render impartiality difficult), with prior approval of the department/unit chair/director and notification to the committee chair prior to the vote.

- b. Department/Unit Evaluation: The departmental/unit criteria for tenure and promotion must be clearly documented. The Department/Unit Evaluation should be addressed to the department/unit chair/director, should discuss the results of the vote, and should present a collective statement of recommendation that discusses the strengths and weaknesses of the candidate. This statement offers the opportunity to explain the role and function of the candidate in the department/unit and to describe the candidate's area of specialization. Such a statement affords the department/unit an opportunity to discuss or describe any particular matters that may be relevant to the faculty member's candidacy. For example, in some cases there are unusual or extraordinary circumstances about a particular candidate that makes evaluating their record difficult. Such atypical situations should be addressed.
 - c. All faculty have the responsibility to participate in a manner that is fair and impartial throughout the entire tenure and promotion process. If either fairness or impartiality are not observed, faculty are obligated to notify the Provost or designee.
7. Chairperson/Director's Evaluation
- a. Chairperson/Director's Recommendation: A letter addressed to the dean that explains the chairperson/director's recommendation must be included in the file. Where appropriate, the chairperson/director can also comment on such things as the annual assignments, annual evaluations, and tenure/promotion appraisals that have been given to the candidate.
 - b. Annual Assignment: A copy of each annual assignment of the faculty member since last promoted or tenured must be included in the file.
 - c. Annual Evaluations: A copy of each annual evaluation of the faculty member since last promoted or tenured must be included in the file.
 - d. Tenure and/or Promotion Appraisals: A copy of each tenure/promotion appraisal of the faculty member must be included in the file.
 - e. The Chairperson/Director has the responsibility to participate in a manner that is fair and impartial throughout the entire tenure and promotion process. If either fairness or impartiality are not observed, they are obligated to notify the Provost or designee.
8. College/Unit Committee Evaluation
- a. The committee's evaluation letter is addressed to the dean and provides both the vote of the committee and an explanation of the strengths and weaknesses of the candidate.
 - b. Abstentions should only be made for conflict of interest (in cases such as nepotism or other relationships that render impartiality difficult), with prior approval of the dean and notification to the committee chair prior to the vote.

- c. The chairperson/director has the responsibility to participate in a manner that is fair and impartial throughout the entire tenure and promotion process. If either fairness or impartiality are not observed, they are obligated to notify the Provost or designee.
9. Dean's Recommendation
 - a. The dean's recommendation should be addressed to the Provost and provide a full rationale for the recommendation.
 - b. The Dean has the responsibility to participate in a manner that is fair and impartial throughout the entire tenure and promotion process. If either fairness or impartiality are not observed, they are obligated to notify the Provost or designee
 10. Provost's Recommendation

The Provost's recommendation should be addressed to the President and provide a full rationale for the recommendation.

11. Solicited Letters of Evaluation

- a. Procedure Used to Solicit Letters of Evaluation
 - i. This section of the file must contain a minimum of five letters which must be from external reviewers who are in a position to provide an evaluation of the candidate's scholarly and professional activities. The dean or department/unit chairperson/director in consultation, with some or all members of the departmental/unit Tenure and Promotion committee, will decide from whom to request letters and will make the formal request for letters. The candidate will be informed of the identities of the outside reviewers and shall be given the opportunity to add up to two names from whom letters will be solicited and to strike up to two names from the list. Outside letters are intended to be an independent, professional evaluation. Letters should not be solicited from former mentors, mentees, coauthors, co-editors, or anyone who has been associated with the candidate closely enough so that there would be reason to question the impartiality of the evaluation. Exceptions must be accompanied by an explanation in the dossier.
 - ii. These letters should come from individuals at institutions that are benchmark research universities in accordance with FIU's mission and goals; i.e. they should come from universities ranked by Carnegie as Research University/Very High Research Activity or Research University/High Research Activity. Because the former is the category to which FIU aspires, at least two letters should come from RU/VHR universities. For universities outside the U.S., the Institute of Higher Education, Shanghai Jiao Tong University, rankings of the top 500 world universities is generally accepted as an international standard and should be consulted. If a letter is solicited from someone outside the above criteria, an explanation should be provided in the dossier. The solicited letters should come from individuals who have attained positions of national leadership in their respective fields.

- iii. Outside reviewers should be instructed to briefly identify their credentials and authority to review the candidate's accomplishments, within the context of their letters. In addition, the file should include full curriculum vitae of the authors of external letters of support, rather than abbreviated or summary biography.
 - iv. The department/unit should have clearly written guidelines that identify the process (including timelines) by which the evaluators are selected by the department/unit. The guidelines should also specify how examples of the candidate's scholarly activity will be selected to send to the external reviewer—e.g., copies of all publications, copies of publications in the past five years, copies of the five most recent publications, etc. The unit dean must be in agreement with this process. The process by which evaluators are chosen and what the evaluators are asked to comment on shall be included in this section of the file.
 - v. Each department/unit shall decide by a democratic vote of the tenured and tenure-earning employees and according to that department's/unit's procedures, whether the candidates in its area will have access to the external reviewers' letters.
 - vi. All solicited letters received must be included in the dossier.
- b. Letters Themselves:
- i. Provide a copy of the letters sent to the Outside Reviewers requesting evaluation.
 - ii. Required components in a request for an external letter (see [here](#) for a template²):
 - 1) Status of FIU as a Carnegie R1: Doctoral University--Very High Research Activity.
 - 2) Selection process for the candidate's scholarly work sent to the external reviewer (e.g., full output, five best selected by candidate, five most recent, books or articles in press)
 - 3) If the candidate has had a tenure clock extension for any reason, chairs/directors are required to include Paragraph 5 from the [Request for External Evaluation Letter Template](#)² (also p. 47) that addresses this issue (*i.e.*, *Please note...*).
 - 4) Candidate's statements with respect to research/creative work, teaching and service
 - 5) Request for information on the reviewer's prior relationship with the candidate
 - 6) Request of evaluation of quality, quantity, and impact of candidate's scholarly activity
 - 7) Request for evaluation of the venues in which the candidates work has been presented
 - 8) Request for evaluation of teaching philosophy and practice, if in addition to the candidate's teaching statement other material such as course syllabi and annual teaching evaluation narratives are sent to the reviewer
 - 9) Request for evaluation of professional service

² A link to this document can be found at https://academic.fiu.edu/faculty_resources.html.

10) Request for full CV of reviewer

- c. Upload the Outside Reviewers' response with their curriculum vitae

12. Contributed Letters of Evaluation

The candidate may include up to three letters from FIU colleagues who can address the candidate's teaching, research and service. These letters cannot be written by colleagues who will be voting on the candidate at any level.

The candidate may include up to three letters from prior mentors, co-authors, and any other individuals excluded from serving as external reviewers because of prior professional association with the candidate, as outlined in 11.a.(i) above.

13. Teaching

- a. List of courses taught at FIU and years in which they were taught.
- b. Graduate Student Supervision: List here the name of each graduate student supervised, including years, dissertation/thesis title, and degree awarded. List also membership on dissertation/thesis committees for graduate students other than your own. List publications, joint with the students or by the students on their own, resulting from your mentorship. Provide information on the current positions of former graduate students who have completed their degrees and postdoctoral students who have worked with you.
- c. Course, Curriculum Development Activities
- d. Department/Unit Statement Describing Procedures Used to Evaluate Teaching: A statement should be included describing the department/unit's procedures for evaluating teaching based on the department/unit's evaluating teaching guidelines, which includes documenting teaching effectiveness through evidence from students, peers and self. Details as to how SPOTs or equivalent surveys are administered and what role, if any, the candidate plays in this process should also be included. Additional data from students may be included. If peer observation is required by the department/unit, the process should also be included. (see CBA, BOT-UFF policy Employee Performance Evaluation, Procedures, General A.1)
- e. Evidence from Students
- i. Student Perception of Teaching (SPOTs) or equivalent surveys
- 1) A sample copy of each different student evaluation instrument, including the years that each was used, should be included here. An explanation of the scoring system, any weighing factors, and analysis procedure for each different instrument should be given.
 - 2) There should be a table summarizing the evaluations of the candidate's teaching for each year of the candidate's employment at FIU. This summary should show both the absolute number of responses in each category and the percentage distribution of responses in each category.

- 3) Summaries of evaluations for each course, including written comments, should be included. Explanations for any gaps or missing evaluations should be provided.
 - ii. Faculty may wish to report additional evidence on student perceptions (e.g., mid-semester feedback, student focus groups) and/or learning outcomes (e.g., grades on final exams or capstone assignments).
 - iii. A summary of student data (e.g., pre- and post- scores), including changes in teaching practices/materials resulting from that information.
 - f. Evidence from Peers:
 - i. A description of activity(ies) through which a peer provided feedback, such as a syllabus review, offering possible student reactions to course materials and/or exercises, identifying practices that may encourage/limit participation, and/or
 - ii. A summary of feedback, including changes in teaching practices/materials that resulted from the feedback (e.g., copies of assignments pre- and post- feedback), and/or
 - iii. Peer Evaluations of Teaching: In departments/units that have formalized peer review of teaching, including classroom visits, the reports of these visits and other peer teaching evaluations should be included. Units are encouraged to develop policies and procedures for peer review of teaching.
 - iv. Departments/units that have formalized peer review are strongly encouraged to develop policies and procedures for these evaluations.
 - g. Evidence from Self
 - i. A description of activity(ies) through which faculty engaged in critical reflection as outlined in departmental/unit evaluation of teaching guidelines, and/or
 - ii. A summary of the activity(ies), including changes in teaching practices/materials that resulted from self-evaluation
 - h. Other Teaching-Related Activities
14. Research/Scholarship/Creative Work/Community-Engaged Scholarship
- a. Publications: Each publication should be described in the form of a complete, standard bibliographic citation--including co-authors, title (exactly as it appears in print), year, volume, publisher, and page numbers. A copy of the first page, or letter of acceptance if not yet in print, of each publication should be included in the file.

Items appearing in more than one place should be clearly cross-referenced.

- i. Refereed Publications: Because of the diversity of conventions from discipline to discipline, this section should contain a description of the reviewing/ refereeing procedure for each refereed publication cited. The impact factor for each journal should be provided as should the rank of a journal among all ranked journals in its field(s), using Web of Science or Scopus and the ISI impact factor. When available, full counts of non-self-citations should also be provided.

- ii. Non-refereed Publications: An explanation of the nature of each non-refereed publication should be given.
- iii. Books/Book Chapters: Each book or book chapter should be listed separately with a description of the type of monograph and the candidate's involvement in that publication; that is, each book should be classified as single author monograph, an edited book with different authors for different chapters, textbook, etc. Note whether the review of the submission was conducted only by the editor/co-editors or if the editors solicited other peer reviews of the submissions. The reputation of academic and scholarly presses publishing books should be included whenever there is external validation for such reputation. Copies of all published reviews of the books should be included.
- iv. Other publications: Any other written publications that do not fall into categories (i)-(iii), for example reviews and notes, should be entered and described here.
- b. Papers/Presentations at Meetings/Conferences: Indicate which papers/presentations were invited and/or refereed.
- c. Creative Work: Indicate artifacts, compositions, designs, installations, exhibits, performances, presentations, and productions. Indicate date and place of work. If the creative work has received recognition, such as design award, competition prize, exhibition or publication by others, or critical review, indicate the level of recognition as well as the peer-review context and process.
- d. Research Grants/Contracts: Funded and unfunded proposals should be listed separately and be so indicated. Competitive grants and/or contracts which are meant to finance the development of ideas and research and that are subject to peer review should be listed separately from noncompetitive grants and/or contracts where the emphasis is on providing professional service to agencies/organizations. When there are co-PIs on an award, the role and responsibility of the candidate relative to other co-PIs should be explained as well as the portion of the total award coming to the candidate.

The following information should be included for each grant/contract:

- i. Name of principal investigator and all co-investigators
- ii. Title page of grant proposal
- iii. Funding agency—note if the funding is a subcontract and if so from what organization. Also note if the funding is the result of an earmark or other limited competition or whether the funding is the result of an open national competition. If the candidate is the administrative PI, not the primary author of the grant, that should be noted.
- iv. Amount of funding proposed or awarded
- v. Time period of the grant
- e. Community-Engaged Scholarship: Documentation of the mutually beneficial collaboration with urban, regional, state, national, and global groups in the diverse stages

of scholarship, including the definition of the research problem, designation of research methodology, development and implementation of the final outcome of the scholarly activity, development of future actions plans, and documentation of the impact of the partnership.

- f. Social innovation and social entrepreneurship activities should be listed along with relevant documentation.
- g. Invention and innovation related activities including Patent Disclosures/Applications/Awards: Patent disclosures, applications, and provisional and final patent awards should be listed. If there are co-investigators on the disclosure, application or award, these should be indicated. Other invention related activities such as innovations, entrepreneurship activities and start-up companies should be listed as well with relevant documentation.
- h. Technical Reports/Research Reports: Written reports submitted to and accepted by funding agencies, governmental agencies, foundations, etc., should be listed and described here.
- i. Works in Progress: Clarify stage of completion of works, for example under review, being revised for resubmission, accepted for publication, etc.
- j. Other Research/Community-Engaged Scholarship/Creative Work: Any other research/community-engaged scholarship/ creative activities that do not fall into the categories listed above should be entered and described here.

15. Service

- a. Professional Service: The file should list separately
 - i. Service to Professional Associations/Societies: Examples of service to professional associations/societies that may be listed in this section include activities related to appropriate professional organizations; conferences, symposia, workshops; activity as referee/reviewer for journals, granting agencies, conferences.
 - ii. Service to the Community or Public: Examples of professional and community service that may be listed in this section include service as speaker/presenter at non-academic meetings in area of professional competence; instruction/training for local, state, regional, national, international organizations/agencies in area of professional competence; participation in community meetings; media service, including granting interviews for television, radio, or digital programming; providing background expertise for a news story; preparing professionally relevant podcasts, blogs, tutorials or other digital presentations; memberships on advisory boards, committees, task forces, commissions, program/project coordination/development; and other volunteer service which represents a donation of time and professional skills to meet the needs of society or any other forms of productive and professionally-relevant service as a public intellectual.
 - iii. Professional service that results in remuneration.

- b. University Service: Examples of University Service, which may be listed in this section include service on committees; councils; senates; assemblies; task forces; program coordination/administration; student organizations; conferences, workshops, seminars. The file should list separately service:
 - i. to the Department/Unit
 - ii. to the College/Unit
 - iii. to the University
 - iv. in leadership or administrative capacities

16. Awards and Honors

17. Supportive Information.

The tenure/promotion file may contain, depending on department/unit policy or practice and on the applicant's desire for full and complete presentation of relevant information, documentation beyond that specified in Items 1-17, above. Such documentation may include copies of articles or similar scholarly works, fuller documentation of teaching innovations and creative works, and other supportive information. Such supportive information should be uploaded and appropriately cross-referenced. When not readily available electronically, full documentation should be provided whenever possible.

Part V. The Non-Tenure Track Promotion File

The guidelines for non-tenure-track faculty have now been approved by all colleges/units as required by the Collective Bargaining Agreement. Please refer to the Provost's web site for the Guidelines for Appointment and Promotion for Non-Tenure-Track Faculty.

A. GENERAL APPEARANCE AND INTEGRITY OF THE FILE

Any file for promotion must be complete and must accurately reflect the record of the candidate. Misrepresentation of a candidate's record, either by false information or omission of information, may result in disciplinary action, which might include termination of employment.

1. It is extremely important that each candidate for promotion prepare and present for evaluation a complete, well organized, well documented, and clear application file. A disorganized, unclear file has the effect of diminishing the applicant's case.
2. The non-tenure track promotion application and review process is conducted fully online.
3. The online file contents should include all relevant materials, uploaded to the appropriate section and clearly arranged and labelled. In most cases it is inappropriate to merge materials in varying categories into one file. Please keep the reviewer's perspective in mind when assembling your online file.

4. If any material is added to the file after the commencement of consideration, a copy shall be sent to the candidate within five (5) calendar days (by personal delivery or by mail, return receipt requested). The candidate may attach a brief response within five (5) calendar days of their receipt. The file shall not be forwarded until either the candidate submits a response or until the second five (5) day period expires, whichever occurs first. The only documents that may be considered in making a promotion recommendation are those contained or referenced in the file.
5. Candidates are allowed to update the file anytime during the process. However, these documents will be reviewed only at the stages following the modifications without requiring adjustments to the timetable.
6. When the file is released for departmental/unit review, it is electronically locked and the candidate can no longer add material. If material is subsequently added to a file it must be done through a gatekeeper. At the departmental/unit review stage that gatekeeper is the department/unit chair/director. Subsequent gatekeepers, at the levels of dean's office and academic affairs, must be identified by the appropriate departments/units in advance.
7. For promotions to University Instructor/University Lecturer/Teaching Professor the file should concentrate upon the candidate's continuing record of outstanding teaching since promotion to Senior Instructor/Senior Lecturer/ Associate Teaching Professor.

B. THE FILE

The file must be available for study by the department/unit committee at least one week prior to the committee's discussion.

1. A brief, two or three-paragraph biographical summary (outlining, for example, education, work experience, publications, external funding received, creative works, contributions to the profession, professional associations and/or licenses, research interests, expertise). The summary should be written in the third person format.
2. The application is generated by the Online Tenure and Promotion System and verified for accuracy by the candidate prior to uploading documents.
3. Electronic signature: by providing an electronic signature, the candidate attests that they have uploaded all appropriate documents and that all works are the candidate's own. Furthermore, the electronic signature serves as the curriculum vita certification, whereby the candidate certifies that the information provided in the curriculum vita is accurate and complete to the best of the candidate's knowledge, and that the candidate understands that if they have knowingly provided false information or omitted relevant information, they may be subject to disciplinary action, including termination.
4. Curriculum Vitae: the Curriculum Vitae for a non-tenure track promotion file must be presented according to the university format for Non-Tenure Track Promotion – see [NTTP Curriculum Vitae Format](#)

5. A candidate's statement of teaching philosophy, pedagogic innovations and assessment instruments, and pedagogic practice. Teaching is an art for which there is no one best approach and in this statement the candidate has the opportunity to describe their philosophy and approach to teaching at the undergraduate (and graduate) level(s) and to mentoring students. It should be no longer than one page.
6. A statement describing the candidate's approach to departmental/unit, college/unit, university, and national service. Service opportunities are manifold. This statement explains how the candidate chooses to focus on particular service opportunities and to allocate time between university and professional service. The statement would help reviewers understand the service component of the CV. It should be no longer than one page.
7. Evidence in support of the promotion application. This section should include evidence that the Instructor/Lecturer/Teaching Professor has used assessments of student learning outcomes to influence in a positive manner their subsequent teaching. Any classroom and laboratory innovations, contributions to student advising, and university service should be identified. This section should include a copy of each annual assignment, each annual evaluation, and each promotion appraisal of the faculty member since last promoted. This section should also include student evaluations, peer evaluations, documentation of formal classroom evaluation of teaching and a list of teaching awards along with any other relevant professional honors received. If the candidate has publications/creative work (whether pedagogic or disciplinary) this should be discussed in terms of how it bears on and improves the candidate's teaching.
8. Department/Unit Recommendation. The department/unit committee recommendation should be addressed to the department/unit chair/director. It should discuss the results of the vote, and present a collective statement of recommendation that discusses the strengths and weaknesses of the candidate. This statement offers the opportunity to explain the role and function of the candidate in the department/unit and to describe any particular matters that may be relevant to the faculty member's candidacy. The department/unit committee chair records the results of the vote in the Online Tenure and Promotion System.
9. Chairperson/Director's Evaluation: A letter addressed to the dean that explains the chairperson/director's recommendation must be included in the file. Where appropriate, the chairperson/director can also comment on such things as the annual assignments, annual evaluations, and any promotion appraisals that have been given to the candidate.
10. Dean's Recommendation. The dean's recommendation should be addressed to the Provost and provide a full rationale for the recommendation.

The completed file will be due in the Office of the Provost by November 1 of each year.

Tenure Approval Flow Chart

