



# TENURE AND PROMOTION MANUAL

## **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 that 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, meaningful research.

FIU is committed to scholarly excellence and creative activities that serve the public good. 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.

Tenure/promotion is a shared collegial process of accomplishment, evaluation, and recognition. The tenure 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 his or her 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 Collective Bargaining Agreement, 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.

## **RESPONSIBILITIES OF PARTICIPANTS**

### **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 Guidelines**

Every college/unit must have tenure and promotion guidelines that clearly and unambiguously articulate the standards and expectations for tenure and promotion. 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 unit guidelines.

There must be a direct link between the college/unit’s annual evaluation criteria and those standards used for tenure/promotion. If there is an expectation that faculty

increasingly publish single-authored work, then this must be so stated in the college/unit's standards for tenure and promotion. Because conventions in the determination of quality peer reviewed journals vary from discipline to discipline, these should be identified in advance, minimizing ambiguity about expectations. Wherever possible, published articles presented in the applicants' 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's guidelines. If there is an expectation that excellence in teaching is measured by a specified level of student evaluations, or being the recipient of teaching awards, this must be articulated in the college/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's guidelines. Standards must also be articulated regarding service.

#### **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, college, and university policies, and by consultation with the departmental chairperson 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 chairperson about departmental, college, and university expectations for tenure/promotion.

- Consult with the chairperson and other departmental members on meeting these expectations.
- Consider reviewing the tenure/promotion application of a recent, successful candidate from the department.
- 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.

**Each term faculty members should:**

- Consult with their department chairperson 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 teaching or service 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, school/college, 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 chair or school director.

**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 good teaching is important to the university. In addition to ensuring that student evaluations are carried out in a manner consistent with departmental policies, faculty members are encouraged to engage in peer observation of teaching activities. Collegial activities of this nature are of value to all participants because they promote the sharing of teaching methods and often spark increased discussion of issues of importance to the field of interest. Observations should consider effectiveness in presenting knowledge, information, and ideas by various means or methods. Letters documenting these observations may be included in tenure/promotion files. These letters, along

with student evaluations help substantiate the quality of teaching for the tenure/promotion file.

- 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 and that tenure appraisals shall not be the sole basis for a decision concerning tenure for an employee.
- Keep apprised of tenure/promotion policy changes and decisions within the department and university.
- Request evaluation of progress towards promotion once tenured and use this evaluation as a means of assistance and counseling.

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

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

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

**During the processing of the application for tenure/promotion:**

- The applicant's complete file (see Part III. 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 days after the committee's letter, the chair's letter, the dean's letter and provost's letter have been uploaded.
- 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 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.
- Continuing review of the departmental mission and goals and of personal goals is appropriate.

**B. Responsibilities of the Departmental Faculty:**

A primary responsibility of the departmental faculty is to create an environment that encourages excellence among colleagues. 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 research and publication, and providing moral support). Colleagues should periodically discuss the goals and expectations of the department, the school/college, and the university on tenure/promotion. Faculty members also should contribute to the enhancement of the quality of teaching by periodically observing the classroom work of their colleagues and offering constructive ideas for improving pedagogical, communication and conceptual skills.

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

Departments should set aside sufficient time for the evaluation of each candidate's application.

When the departmental tenure and promotion committee meets to consider a candidate's application, all eligible members, i.e., tenured, and holding the rank to which the candidate is seeking to be promoted, should be present 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 bylaws but may not vote. 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 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. These must be reviewed by, and when cause is found to exist approved by, the chair of the department or other primary unit. A conflict of interest automatically exists for the review of the file of a spouse, significant other, or family member.

Throughout their deliberations, department 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 members should vote on each candidate by secret ballot. Once departmental votes are recorded, no additional votes should be cast nor should any vote be changed. Abstentions should be rare, as normally these should only be made for conflict of interest. Departmental members should recognize that discussions of candidates should be confidential, because effective evaluation requires that departmental 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 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.

The departmental 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 of the department, must not be limited to a report of the vote of departmental members. It should thoughtfully describe the role and function of the candidate in the department, 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 Statement in Part III, The Tenure/Promotion File). Fundamental responsibility for evaluating candidates is at the departmental level. Accordingly, explanations of the actual departmental 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 faculty designee (chair of departmental Tenure and Promotion Committee or equivalent) should record the results of the faculty vote in the Portal. The departmental chairperson should discuss the results of the vote and the departmental evaluation letter with the candidate. The departmental vote and evaluation letter will automatically be released for the candidate to view in three days.

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

- If a department (including the chairperson) 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 (including the chairperson) 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 (including the chairperson) 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 (including the chairperson) 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 has fewer than the above-specified minimum number of faculty members, the departmental or college 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. When the above-specified minimum numbers are later met, the general university policy takes precedence over departmental policies.
- If the department chairperson is one of only three in the department to meet the criteria specified above, the chairperson votes with his/her two colleagues and writes a recommendation letter to the dean on behalf of the three voting faculty. In all other cases, the chairperson 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 Chairperson:**

*One of the chairperson's most important roles is to guide a faculty member's efforts in achieving tenure and promotion. The chairperson is a colleague and an administrator, providing ongoing advice, counsel, direction, evaluation, appraisal, and resources that assist the candidate's efforts.*

The tenure/promotion process begins prior to the faculty member joining the university. The chairperson 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, school/college, and the university, and the impact of the expectations of each of these academic units on the tenure and/or promotion process.
- The advantages and disadvantages inherent in receiving tenure credit for prior service. (See Part I. H.).

The chairperson should make clear to the candidate that evaluation is a continuing process based on performance related to expectations. She or he is responsible for creating a positive environment to help the candidate meet department, school/college, and university expectations. To help ensure these expectations are met, the chairperson is expected to meet regularly with each faculty member to discuss his or her progress in the areas of teaching, research and or creative work, and service. The chairperson 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 units.

The chairperson must provide faculty members with written annual appraisals that should be discussed prior to insertion in personnel files.

Chairpersons 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 to the tenure and/or promotion process. New tenure-track faculty should have an appropriate mentor assigned to them during their first semester of employment.

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

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

The chairperson 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 procedures for obtaining external letters of evaluation are followed.

In all cases except where the chairperson is required to provide the third vote in the departmental committee (see above), the chairperson 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, and the university's criteria. When the chairperson has reached a decision on a candidate, a detailed written statement giving her or his reasons should be addressed to the dean and uploaded to the candidate's file. The departmental chairperson should discuss the recommendation and the chairperson's evaluation letter with the candidate. The chair's recommendation and evaluation letter will automatically be released for the candidate to view in three days. Chairpersons must recognize that lobbying for or against a candidate is inappropriate and undermines the integrity of the evaluation process.

#### **D. Responsibilities of the School/College Committee:**

The school/college 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 evaluation and (b) encourages departments and chairpersons to undertake their evaluations in a professional and fair manner.

A committee should be elected by the faculty of each school/college 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 school/college and the Office of the Provost. Candidates and untenured 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 school/college committee must recuse themselves from advocating for or against or voting on individuals from their department. They may respond to questions posed by other committee members.

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 school/college, 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 chairpersons and candidates on the content of application files.

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

- Meeting with the dean of the school/college 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, assigned tasks, and potential to continue providing significant professional contributions.

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 chairperson may respond to such information.

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 Portal. A notification will be sent to the dean, the departmental chairperson, and the candidate. The departmental chairperson should discuss the committee vote and written statement with the candidate. The committee vote and written statement will then be released for the candidate to view. The committee vote and written evaluation will automatically be released for the candidate to view in three days. The departmental chairperson shall inform the faculty of the candidate's department.

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 upon appointment for any faculty members within the school/college. The department 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 faculty, a departmental statement explaining the applicant's accomplishments and qualifications for tenure, 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 chairperson.

#### **E. Responsibilities of the Dean:**

As the chief academic and administrative officer of the school/college, 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 chairpersons and departments 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) for departmental chairpersons and for other faculty members assigned primarily to administrative posts within the school/college. In addition to considering other aspects of the chairperson's responsibilities, such an evaluation should consider how well the chairperson is performing her or his 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 school/college committee before the committee receives application files. It is not appropriate for the dean to lobby department members, chairpersons, or school/college 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 her or his 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 evaluation, the recommendation of the chairperson, and the recommendation of the school/college committee. The dean should consider the candidate's accomplishments, contributions, assigned tasks, and potential to continue providing significant professional contributions, and the university's standards. The dean may consult with others, if he or she feels the need to acquire additional information. The dean should notify the departmental chairperson, 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. Additional consultations, solicitations of additional reviews, or additional information must be accomplished within the 30-day period.

When the dean has reached a decision regarding tenure and/or promotion, a detailed written statement explaining her or his 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 committee chairperson, departmental chairperson, and the candidate. The departmental chairperson 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 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 and the school/college 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 within the school/college;
- The school/college procedures for electing a committee to review tenure/promotion applications;
- Reports made by that committee containing recommendations for revisions in school/college or departmental 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 and chairpersons should conduct their deliberations;
- The deadline for school/college 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 schools/colleges 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 her or his 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 school/college, the candidate's accomplishments, contributions, assigned tasks, and potential to continue providing significant professional contributions; the university's standards and criteria; and the evaluations of the department, chairperson, school/college committee, and the dean.

- The Provost may consult with the chair of the department tenure and promotion committee, the department chair, the chair of the college 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 his or her 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 committee chairperson, departmental chairperson, and the candidate. The departmental chairperson 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 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 her or his 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 school/college, the candidate's accomplishments, contributions, assigned tasks, and potential to continue providing significant professional contributions; the university's criteria; and the evaluations of the department, chairperson, school/college 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 chairperson.

- 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 his/her 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 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, school/college, and the university. This process must include an interview by the tenured members of the department as well as a vote and detailed letter describing the strengths and weaknesses of the candidate. A file containing a detailed curriculum vita, the departmental letter and vote, the departmental chair's recommendation, the vote and written evaluation-of the school/college 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.

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.

## **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.
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 H.2. above. The Provost recommends to the President and the President's recommendation must be approved by the BOT.

4. See H.2. above for eligibility of tenured FIU employees who transfer within FIU. 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.

### **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) 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) days to request a statement of the reasons. Upon written request by an employee within seven (7) 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) 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 service 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 his or her dean and is subject to the Provost's written agreement.

## **ACADEMIC RANKS**

### **A. REGULAR FACULTY**

1. 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 college/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 patent submissions/issuances.

The candidate may exhibit his/her 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, development and/or commercialization of intellectual property and the transfer of technology such as through patent disclosures, applications, and provisional and final patent awards. 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 student success and the dissemination of knowledge and degree production. The evaluation of teaching effectiveness or comparable activity appropriate per the unit standards is understood to be fundamentally grounded in demonstrable learning outcomes. A candidate

must demonstrate activities that provide evidence of excellence in teaching and field-appropriate learning outcomes. This is demonstrated through knowledge of the subject matter, the ability to clearly communicate that knowledge which leads to student success, and the ability to work with, motivate, and serve as a positive role model for students. Teaching can be evaluated in a variety of means but can be best judged by a comprehensive review of the teaching dossier, student evaluations, instructional materials, external classroom assessments, assessment of activities and products and other materials that may be used within the course. Course redesign, course development, and the incorporation of new technologies are also recognized as positive means to increase student success and teaching effectiveness.

- **Service:**

Service includes service to the department, college, 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.

- a. Instructor and similar - 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:** particularly in laboratory skill courses, beginning courses, and team-taught courses, at a satisfactory level of performance.
- iii. **Professional Development:** conduct research, and/or community-engaged scholarship, and/or other creative work and service, which are primarily related to maintaining and developing teaching competency.

- b. Lecturer - Regular, non-tenure-earning**

- i. **Required Degree:** the doctorate (or other terminal degree where appropriate) 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: particularly in laboratory skill courses, beginning courses, and team-taught courses, at a satisfactory level of performance. Some indicators of a commitment to teaching include the successful use of appropriate pedagogies and modes of teaching and learning.
  - iii. Research and creative work: to undertake a satisfactory level of research performance, and/or community-engaged scholarship and/or other creative work and service, which are primarily related to maintaining and developing teaching competencies.
- c. 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 school/college should specify what constitutes the terminal degree, with the concurrence of the Provost or designee.
  - ii. Teaching: a variety of courses, particularly undergraduate, at an above-satisfactory level of performance. Some indicators of a commitment to 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 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.
  - iv. Service: should include professional service at a satisfactory level of performance and service to the department and college, including participation in collegial governance. Professional service should receive regional and national recognition.
- d. 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.

- ii. Teaching: demonstrated strong commitment to excellence and creativity in teaching and student learning. Qualifications and experience for teaching a variety of courses, including graduate courses where appropriate, at an above satisfactory level of performance. Some indicators of a commitment to 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 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.
- 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, college or university, including participation in collegial governance.

**e. 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, 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.
- ii. Teaching: a demonstrated record of successfully teaching a variety of courses, including advanced undergraduate and graduate courses where appropriate, at a level of performance above-satisfactory. Some indicators of a commitment to 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 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 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, college or university, including participation in collegial governance.

## 2. 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 an indispensable condition 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. 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 college/unit making clinical/professional practice/research appointments must develop appointment and promotion guidelines through a college/unit faculty committee. The guidelines must be approved by the 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/School's Tenure and Promotion Manual.

## **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 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 his/her 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 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 review stage that gatekeeper is the departmental chair. At the college T&P committee the gatekeeper will be the Chair of the College T&P Committee. Subsequent gatekeepers, at the levels of the dean's office, and academic affairs, must be identified by the appropriate units in advance.

## **B. The File**

The file must be available for study by the department faculty at least one week prior to the departmental 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, 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 she/he has 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 he/she has knowingly provided false information or omitted relevant information, she/he 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 – see [University Curriculum Vitae Format](#)
  - 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 an art for which there is no one best approach but the candidate has the opportunity to describe her or his philosophy and approach to teaching at the undergraduate and graduate levels and to mentoring undergraduate and graduate research and creative work. Service opportunities are manifold. A statement from the candidate explaining how he or she 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 and wishes this to be considered in the evaluation of promotion to full professor, this is the opportunity to make that case.

6. Department Statement

- a. Department Procedures: This section should include a description of the tenure/promotion process that is used in the candidate's department. This should describe such things as the department's evaluation process, the way that voting is carried out, which members of the department vote and why any eligible members of the department did not participate.
- b. Department Evaluation: The Department Evaluation should be addressed to the department chair, 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 and to describe the candidate's area of specialization. Such a statement affords the department 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 his or her record difficult. Such atypical situations should be addressed.

7. Chairperson's Evaluation
  - a. Chairperson's Recommendation: A letter addressed to the dean that explains the chairperson's recommendation must be included in the file. Where appropriate, the chairperson 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.
  
8. School/College Committee Evaluation

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.
  
9. Dean's Recommendation

The dean's recommendation should be addressed to the Provost and provide a full rationale for the recommendation.
  
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 chairperson in consultation, with some or all members of the departmental 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. Normally, 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 should have clearly written guidelines that identify the process (including timelines) by which the evaluators are selected by the department. 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 template):
    - 1) Status of FIU as a Carnegie Research University/High Research Activity and a university with the expectation of moving into the

- 2) ranks of Research 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) Candidate's statements with respect to research/creative work, teaching and service
  - 4) Request for information on the reviewer's prior relationship with the candidate
  - 5) Request of evaluation of quality, quantity, and impact of candidate's scholarly activity
  - 6) Request for evaluation of the venues in which the candidates work has been presented
  - 7) Request for evaluation of teaching philosophy and practice, if in addition to the candidate's teaching statement other material such as course syllabi are sent to reviewer
  - 8) Request for evaluation of professional service
  - 9) Request for full CV of reviewer
  - c. Upload the Outside Reviewers' response with his/her 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 Statement Describing Procedures Used to Evaluate Teaching: A statement should be included describing the department's procedures for evaluating teaching. Details as to how student evaluations are administered and what role, if any, the candidate plays in this process should also be included. In the cases where anonymous student comments provide the only basis for evaluation, a statement to that effect should be included. The process for peer evaluation, chairperson evaluation, etc., should also be described.
  - e. Student Evaluations
    - i. 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.
    - ii. 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.
    - iii. Summaries of evaluations for each course, including written comments, should be included. Explanations for any gaps or missing evaluations should be provided.
  - f. Peer Evaluations of Teaching: In 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.
  - g. 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. 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.
  - g. Technical Reports/Research Reports: Written reports submitted to and accepted by funding agencies, governmental agencies, foundations, etc., should be listed and described here.
  - h. Works in Progress: Clarify stage of completion of works, for example under review, being revised for resubmission, accepted for publication, etc.
  - i. 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
    - ii. to the School/College
    - iii. to the University
16. Awards and Honors
17. Supportive Information.

The tenure/promotion file may contain, depending on department policy or practice and on the applicant's desire for full and complete presentation of relevant information, documentation beyond that specified in Items 1-16, above. Such documentation may include copies of articles or similar scholarly works, fuller documentation of 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.

## Tenure Approval Flow Chart

