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COLLEGE OF MEDICINE

Criteria and Procedures for the Appointment, Promotion, and Tenure of Faculty

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1. GENERAL POLICY

This document defines the College's overall expectations regarding promotion and tenure. As such, they are necessarily general; more detailed expectations at the level of each department must be written in accordance with, and no less rigorous than, the general principles that follow. Departmental requirements or subordinate criteria may not conflict with nor be weaker than college criteria, which in turn may not conflict with nor be weaker than university criteria.

Criteria for tenure and promotion focus on achievements and promise in the four broad areas of Teaching, Research/Scholarship, Patient Care where applicable and Service, the latter of which includes administrative and leadership activities that do not pertain directly to the other three areas. Departments may adopt more specific criteria that cannot conflict with or be lessor than the university or College-wide criteria herein. Criteria, including departmental criteria, shall become effective only after adoption by the COM Faculty Assembly, Dean and Provost's Office. T

recommendations, faculty should keep in mind that the successful candidate for tenure will assume

includes the vote of the College Promotion and Tenure Committee). The final decision on the award of immediate tenure is made by the University President.

3. APPOINTMENTS & PROMOTION

Introduction

All those involved with the faculty employment search process for all faculty especially for a tenure-track employee need to be impressed with the importance of the hiring decision. They need to assess the potential of the candidate in helping the unit further its goals and objectives, and to successfully achieve tenure and/or promotion. The same criteria shall apply for initial appointment to any rank as apply to promotion to that rank. These criteria recognize four broad areas of academic activity: teaching; research/scholarship; patient care; and service. Service shall include contributions to the effective functioning, administration and development of professional associations, department, college and university programs, and the university itself, as well as assigned service to the community.

Collegiality is not a distinct capacity to be assessed independently of the traditional activities. Evaluation in these four areas will encompass the contributions that the virtue of collegiality may pertinently add to a faculty member's career. Collegiality should not be confused with sociability or likability. It is a professional, not a personal, criterion relating to the performance of a faculty member's duties.

Movement between the tenure and non-tenure tracks will be treated as a new appointment. The Department must meet the requirements outlined in the College and University guidelines

Standard time-in-rank framework

Applicants seeking promotion to the rank of Associate Professor will typically have 5-7 years of experience at the rank of Assistant Professor, with at least two of those years serving at FAU. Those seeking promotion to the rank of Professor will typically have 5-7 years of experience at the rank of Associate Professor, with at least two of those years serving at FAU.

As an exception to this general framework, prior “credit” in rank and/or toward tenure based on work done outside of FAU may be outlined in the Letter of Appointment, and a formal credit for time in rank request.

Exceptional circumstances may also, on occasion, justify early promotion to a rank, in which case the justification must be well documented and demonstrate exemplary performance.

Standard promotional criteria framework

Promotions in rank from Assistant to Associate Professor require that a faculty member demonstrate *excellence* in their area of greatest effort (teaching, research/scholarship, service and/or patient care) and perform with proficiency in all other areas of effort outlined in their annual Assignment of Responsibilities. Promotions in rank from Associate to Full Professor require that a faculty member demonstrate *distinction* in their area of greatest effort (teaching, research/scholarship, service and/or patient care) and perform with proficiency in all other areas of effort as outlined in their annual Assignment of Responsibilities. Definitions of “excellence” and “distinction” in each of the four areas are provided below, however as a general guide “distinction” requires a higher and broader level of achievement than excellence (e.g. continuous and sustained funding, a national rather than regional reputation). Evidence of such performance in assigned areas should be reflected in a substantial majority of annual reviews over the duration of the review period.

A Special Note: Research/Scholarship

The College of Medicine does not draw an arbitrary line between Research and Scholarship. Rather, Research/Scholarship is defined herein as those activities in which faculty take a scholarly approach during execution of their education, clinical, and/or research activities. This includes the traditional definition of hypothesis-testing based research but also includes the systematic design, implementation, assessment or redesign of educational, clinical, or research materials, drawing from the scientific literature and “best practices” in the field. Documentation of Research/Scholarship describes how the activity was informed by the literature and/or best practices and stretches beyond that.

For tenure track faculty, research/scholarship must result in peer-reviewed publications in which the candidate is a major author.

providing formative and summative feedback to learners. Teaching activities also include curriculum development or revision, advising and mentoring, educational leadership and administration and learner assessment and serving as Chair or committee member for PhD and Masters students and directing and mentoring graduate students in research.

To be promoted to Associate Professor (non-tenured), candidates with teaching as their area of greatest effort must demonstrate excellence in teaching and commitment and contributions to the College's goal of quality instruction for promotion. To demonstrate excellence faculty members are expected to:

- participate in leadership activities that transform teaching programs
- advance the field at the local and regional level
- demonstrate evidence for effort including concise descriptions of the frequency and duration of the responsibility, the outcomes, and the evaluations of those outcomes
- demonstrate evidence of excellence in teaching including responsibility for design, organization, coordination, and evaluation in the context of a high-quality course or series of lectures
- developing innovative evaluation strategies and dissemination of educational innovations, including curriculum development and new teaching materials, and publications with or by mentored learners


To achieve excellent performance in teaching, candidates must:

- demonstrate a scholarly approach to the education mission as broadly defined by examples provided in the University Promotion and Tenure Guidelines
- demonstrate excellence through results of teaching evaluations including SPOT scores, peer/course director evaluations and contributions to course and or curricular development

[i.e., the person who directed the research] and/or corresponding author) is expected. The quality of the journal and the impact of the publication on the field can be considered in the evaluation. For example, an exception to the expected annual rate of publication can be made if the publications during the review period are in exceptionally high-ranking journals of international acclaim (e.g., Science, Nature, Cell, NEJM, Lancet) and are of substantial content and impact. Published review articles, opinions or perspectives can augment, but not replace this requirement for peer-reviewed original research publications.

Evidence of independence and excellence in original investigation recognized by peers may also include external funding of investigator-initiated hypothesis-oriented research projects by federal agencies such as NIH or NSF, national foundations such as Gates and Howard Hughes or national clinical funders such as the AHA or ACS. Serving on NIH and other federal grant review study sections, serving in an editorial capacity for high-impact peer-reviewed journals, are not required at this stage, but augments the evidence of “excellence”.

Other examples of excellence in research/scholarship include but are not limited to the following:

- Substantial documented contribution to a local or national clinical trial (patient recruitments, data collection, other documentable contributions that are important but do not result in authorship)
- Service as a board reviewer or writing board review questions
- Evidence-based development or revision of organizational policy
- Poster or oral presentations at a local, regional, or national meeting
- Incorporation of new technology or an evidence-based educational module into a curriculum or clinical practice
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on advisory boards or election to leadership in their professional organization are not required but augment the demonstration of “excellence”.

Service: Service-related activities are generally divided into other sections of this document when they pertain to Service related to Administrative Roles at the College (such as in the case of student affairs or other deaconal roles), Service related to Teaching (such as in the case of a course director, residency director or curriculum dean), Service related to Research/Scholarship (such as in the case of a departmental vice chair for research, a major multi-institutional grant director or for a research dean) and Service related to Clinical Care (such as in the case of a division chief, clinic director, clinical program director, hospital chief of service). However, in some cases service activities do not fit into one of these categories and will be considered in this section.

To be promoted to Associate Professor (non-tenured), candidates with Service as their area of greatest effort must show excellence in their commitment to the College’s missions. Examples of service rising to the threshold of excellence include but are not limited to:

- active participation in the governance of professional organizations (usually elected to that post and with a titled position such as chair, treasurer, secretary or president)
- engaging in the review of grants
- organizing national and international conferences in area of expertise
- serving or leading departmental, college, or university-wide units, committees or initiatives,
- significant sustained participation as a named University representative in community service or other volunteer activities.

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Examples of distinction supporting achieving promotion to the level of Professor (non-tenured) include, but are not limited to, the items listed below.

Teaching: To be promoted to non-tenured professor, candidates with a major effort in teaching must demonstrate distinction in teaching and commitment to the College's goal of quality instruction, and educational leadership/administration. Candidates must also demonstrate a scholarly approach to the education mission as broadly defined by examples provided in the University Promotion and Tenure Guidelines.

To be promoted to Professor (non-tenured) with a major effort in teaching, all standards applied to ecd p0xf0r eonsis and

- participation in extra-university clinical initiatives

3. Evidence of the ability to carry out research such as
 - a. publications in peer-reviewed journals or chapters/textbooks
 - b. presentations at national or international meetings
4. Candidates may have participated in the research training of undergraduate and/or graduate students.
5. Demonstrated interest in being a productive and collegial professional in the field of medicine and/or science.

Professional service, such as serving as a manuscript reviewer for journals, will also be considered but is not required.

Associate Research Professor

In order to achieve promotion to the rank of Associate Research Professor, a faculty member must provide evidence of excellent performance in their primary area of assignment, which should be research, in the substantial majority of annual reviews over the duration of the review period.

Evidence of excellence includes an increasing record of peer-reviewed publications, presentations at national or international meetings, and professional activities such as manuscript review or participation in the organization of meetings/symposia. Participation in the development and submission of grant proposals that result in extramural grant awards will be given significant weight in the decision for promotion to Associate Research Professor, particularly if the candidate is a Co-Investigator or Co-PI. A consistent record of contributing to undergraduate and/or graduate research education through supervision of student research and service on student thesis committees is also expected.

Candidates are required to provide at least 5 outside letters from experts in their discipline that address the research accomplishments of the candidate. For faculty supported on research grants to tenured faculty, an additional of letter must come from their supervising faculty member.

Outside reviewers will be selected as described above for tenure-track faculty. Internal letters may be included in addition to the external letters as per above. -

Candidates are required to provide at least 5 letters

7. Comprehensive understanding of the departments', Libraries', and Universities' goals.
8. Flexibility to adapt to new technologies, acquire new skills and innovate.
9. Ability to work successfully in a team environment and in a variety of library areas.
10. Leadership and supervision (if assigned).
11. Active participation in self-studies in all areas of the FAU Libraries' operations.
12. Perform training/instruction as assigned.

Scholarship of Discovery: Obtaining grants and oth

events.

7. Outreach service or presentations to professional associations, learned societies, civic organizations, and community agencies with emphasis on leadership.
8. Collaboration with regional cultural organizations and other extracurricular involvement in the community.

Tenure Track Faculty (tenure-earning and tenured)

The tenure-earning and tenured ranks at the College of Medicine are: Assistant Professor, Associate Professor and Professor. The College has no quotas for admission to rank nor number of tenure-earning and tenured faculty.

Assistant Professor (Tenure Track)

The criteria for appointment at the rank of Assistant Professor on a tenure track include:

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annual reviews over the duration of the review period. In addition, current competitive funding, peer-reviewed at the national level as defined above, is required.

Examples of excellence in the areas of **Teaching, Patient Care and Service** required to achieve promotion to the level of Associate Professor with Tenure are the same for those individuals seeking promotion to Associate Professor on Non-Tenure Track as detailed above.

However, since the majority of tenure track individuals have their greatest area of effort in research, those criteria are special and inserted here.

Research/scholarship: These activities include those related to discovery, innovation and the creation of new knowledge or understanding. Peer-reviewed funding and regular dissemination of research/scholarship are required for promotion on a tenure track.

Promotion to Professor is largely based on accomplishments since promotion to Associate Professor, and the candidate's portfolio should demonstrate consistent scholarly achievements since that time. In order to achieve promotion to the rank of Professor with Tenure, a faculty member must demonstrate Distinction in their area of greatest effort (teaching, research/scholarship, service, and/or patient care) and perform with proficiency in all other areas of effort as outlined in their annual Assignment of Responsibilities. This is intended to be a standard higher than the excellence standards outlined above under Promotion to Associate Professor with tenure. Evidence of such performance in assigned areas should be reflected in the majority of annual reviews over the duration of the review period.

Examples of excellence in the areas of **Teaching, Patient Care and Service** required to achieve promotion to the level of Professor with Tenure are the same as the standards for promotion to Professor for those individuals on Non-Tenure Track as detailed above with the notable exception of the requirement of current competitive funding, peer-reviewed at the national level.

Since the majority of tenure track individuals have their greatest area of effort in research, those criteria are special and inserted here.

Research/scholarship: To be promoted to professor with tenure for candidates with a major effort in research/scholarship, all activities related to the standards that applied to promotion to Associate Professor must have been sustained. To demonstrate distinction and continued commitment to high quality research activities, independent and original investigation recognized by peers should include significant external federal funding of investigator-initiated hypothesis-oriented research projects as PI/MPI (NIH, NSF, DOD etc.) Significant additional funding must have been secured during the majority of years in the review period since promotion to Associate Professor . That sustained funding ideally includes renewal of at least one federal NIH R01 or other significant grant. For promotion to the rank of Professor current extramural funding meeting the above criteria is required.

Evidence of distinction in research/scholarship also includes sustained levels of publication in high impact peer-reviewed journals and media. Distinction is also evidenced by national or international invited lectures in the candidate's field, scientific honors and awards, serving as a manuscript reviewer or on the editorial board of a high-impact scientific journal, serving on NIH or other study sections or on a Data Safety and Monitoring Board, leadership in the organization of international level conferences and national/international invitations to speak. The national/international recognition should be evidenced in the extramural letters of evaluation for promotion.

The successful acquisition of patents can be considered additional evidence of distinction in research, however dissemination in peer-reviewed media is preferred and must constitute the majority of the documentation of peer acceptance. A leadership role on federally funded entrepreneurial peer-reviewed grants or contracts can be considered as contributing to excellence in research, but is not, alone, sufficient to meet these criteria.

4. PROCEDURE FOR GRANTING PROMOTION AND/OR TENURE

Departmental Review

Candidates should acquaint themselves with all relevant documents and policies. The Chair is responsible for directing each new faculty member to the relevant promotion and tenure policies, as well as criteria for

evaluations. Many of these materials are posted on the website of the Provost, the College, and/or the department and college.

Regular feedback, advice and assistance shall be a part of the process at minimum the annual or more frequent evaluation meetings. Annual performance evaluations must be conducted and provide the opportunity to discuss the criteria for and the preparation of the faculty member for promotion. These annual evaluations must be considered in the promotion and/or tenure process, although as stated above success annually does not guarantee promotion and/or tenure. The annual evaluations of untenured faculty must include a separate component that fairly appraises the faculty member's progress towards tenure and, toward promotion to the appropriate rank above their current rank. In addition, an appointee to a tenure-track position shall receive, in the third year of his/her or their service, a formal written review at both the department and college levels. For employees awarded years toward tenure, these years count toward the Third Year

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5 days of receipt of the material. The department recommendation vote and chair letter are only recommendations to be considered in the process and are not binding.

College-Level Review

The College Promotion and Tenure Committee shall review the appropriate criteria, the candidate's file, and the recommendation made by the department and the chair of the department. It is expected that all committee members attend and participate in the discussion and voting process. Committee members who have a conflict of interest should recuse themselves from the discussion and the voting on the candidate with whom a conflict of interest exists. The committee shall vote on the case and make a written recommendation to the Dean. Committee member names, voting and non-voting, must be listed in the memo. The written report, however, shall preserve the anonymity of the voting but shall also convey, as best as can be discerned the reasons for the vote. A copy will be shared with the faculty member who may attach a brief response within 5 days of receipt of the material. For a candidate with joint appointment with a Pillar, the Pillar director should also submit a letter of recommendation to the Dean.

The Dean of the College shall review the recommendation of the department and the chair of the department, ensuring that the criteria for promotion and/or tenure have been appropriately applied and that annual assignments and performance evaluations have been considered in the recommendation. The Dean shall also review the recommendation of the College Promotion and Tenure Committee. The Dean shall consider the votes and summaries received, the candidate's record/file, annual assignments and evaluations, and the written college and/or department goals and criteria for promotion and/or tenure. In tenure cases, he/she or they shall consider the needs of the department, college and university, and the contributions the employee is expected to make to the institution. College requirements or subordinate criteria may not conflict with university criteria.

The Dean shall make a recommendation to the Provost. The Dean's letter shall include an evaluation of the candidate's record on the basis of appropriate criteria. A copy will be shared with the faculty member, who may attach a brief response within 5 days of receipt of the material. The college recommendation and Dean's letter are only recommendations to be considered in the process and are not binding.

University Provost and Vice President of Academic Affairs-Level Review

The University Promotion and Tenure Committee will review the candidate's portfolios for all tenure-track faculty, including the written criteria and the earlier recommendations on each case. It will make a recommendation to the Provost through its vote on each case. The recommendations shall include the numerical results of the poll of the University Promotion and Tenure Committee and a brief synopsis of the discussion of each candidate, pre-1 (i)-ag the wrU2-4 Tw 0.17 0 -11 i3.234 (a)4 (ndi)-12 (da)4 (t)-2 (e.a an)-2 (e.a P)-4 (r

