

University of Florida
College of Liberal Arts and Sciences

Tenure and Promotion Guidelines for the College of Liberal Arts and Sciences for
Award of Tenure & Promotion to Associate Professor & Professor
2008-9
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INTRODUCTION –Tenure and Promotion within the College of Liberal Arts and Sciences includes the evaluation of candidates at the Department, College, and University level. Criteria for promotion and tenure at the Department level occur within the regulations and guidelines of the College and University. Candidates should familiarize themselves with the criteria in their own department or unit, these guidelines, and those of the University of Florida. University Guidelines are found at

<http://www.aa.ufl.edu/tenure/>

These College of Liberal Arts and Sciences guidelines review the preparation of the packet and should be used in conjunction with the CLAS template

http://www.clas.ufl.edu/faculty/tenure_packet_workbook.doc

The template is a word document and can be used by candidates as they prepare the packet. In addition, each department or unit has tenure and promotion guidelines and criteria. Please contact the chair/director for a copy of those that are relevant to a case.

The responsibility for preparing the packet, reviewing it for content and format, and approving its submission belongs to the candidate for tenure and/or promotion. Questions about tenure and promotion should be directed to Associate Dean Allan Burns (afburns@ufl.edu); questions about the format of the packet should be addressed to Human Resources Manager Carolyn Lebron (clebron@clas.ufl.edu).

Timeline: Tenure and Promotion preparation usually begins in the Spring term prior to the submission of packets to the Department in early fall. The latest the process can begin, according to the University guidelines is July 1st. Packets should be reviewed by Carolyn Lebron in the Dean's office prior to official submission. It is the responsibility of the Candidate first and then the Chair of the department to be sure the packets are prepared properly. Chairs or office managers working with the packets should be in contact with Carolyn Lebron during the process to allow enough time for this review before final submission.

The deadline for packets to the office of the CLAS Human Resources Manager is October 13th, 2008 at 4 PM.

In order to achieve this goal, department votes should be conducted in the second half of the month of September so as to allow time for the chair's letter of transmittal to be written and final

editing of the packet completed prior to the 13th of October.

College Criteria

Tenure and Promotion to Associate Professor and Promotion to Full Professor are based on distinguished professional activities in the areas of teaching, research, and service. Candidates must exhibit “distinction” in two of these areas, and normally these are research and teaching. “Distinction” is defined in the College of Liberal Arts and Sciences as an excellent and sustained record as demonstrated by well-known evaluative measures in the disciplines and areas of the College. The distinction of a candidate is based on complex information that includes productivity, innovation and creativity, and positive impact on students, the community, and the academic discipline of the candidate. These criteria are evident in the evaluation of teaching through student class evaluations, contributions to Department and University curriculum, peer evaluations, and recognition of teaching. Distinction in research and scholarship is especially evident through the documentation of productivity included in the packet and the evaluation of that record by internal and external referees in light of expectations of productivity at major research universities.

TEACHING - There should be evidence of a sustained commitment to excellence in teaching by the candidate as reflected in student teaching evaluations, faculty/departmental peer evaluations, and instructional materials. Peer evaluations are expected for promotion and tenure to Associate Professor as well as promotion to Full Professor. If student or peer evaluations are not present in the packet, their lack must be explained by the candidate and/or chair/director.

RESEARCH - There should be evidence of a body of work of sufficient quality and quantity that has produced at least the beginning of a national reputation for significant and creative contributions to the candidate's field of research for the promotion to Associate Professor with tenure. In addition, there should be evidence of the promise of continued intellectual growth and productivity. For promotion to Professor, an established national and/or international reputation is expected, as well as the indication of sustained high quality work.

The expectations of research productivity vary by the major areas of Liberal Arts and Sciences (Humanities, Social Sciences, and Natural/mathematical sciences as well as by each discipline within these broad areas). Each department has published guidelines that detail these expectations. In general, candidates for promotion to Associate Professor/tenure in the humanities are normally expected to have a book-length scholarly manuscript completed and accepted for publication by a press recognized in the field. Candidates for promotion to Professor in the humanities are normally expected to have two scholarly books in published form available for departmental/college review. The expectations in some fields may, however, be closer to those in natural and social science disciplines. The natural and laboratory sciences are focused primarily on a substantial record of refereed articles in visible journals and evidence of the viability of a research program, often reflected in successful external funding. The mathematical and natural sciences regard refereed articles in important journals appropriate to the field as primary publication outlets. Social science fields vary according to discipline and even sub-field within them. A scholarly record of research resulting in several peer-reviewed articles published each probationary year is expected, and in some cases, a scholarly book on that

research is deemed appropriate for promotion to Associate Professor with tenure. Candidates for promotion to Professor in the social sciences are generally expected to have a second book, when appropriate, or a similar record of articles with recognized impact on the field or profession.

SERVICE - For promotion to Associate Professor/tenure, there should be evidence of a positive contribution to the life of the department, college, and university. For promotion to full Professor, a candidate is expected to make a positive contribution to the department through service on key committees as well as participation in university and professional service. A candidate's service record may also include service to the state and the nation.

These three areas of activity should conform to the annual assignment of duties, and the tenure and promotion evaluation should be a reflection of these annual assignments. For this reason, annual letters of evaluation of the faculty should make note of any exceptional assignments in teaching, research, or service and the resulting productivity in any area that goes beyond that of other faculty members in the unit.

CLAS Guidelines

The following guidelines are intended to facilitate the tenure and promotion process, to ensure that certain important items are included, and to assist in preparing the strongest case. In addition to these guidelines, chairs and candidates should review the University Guidelines cited above, the College template for preparing the packet, and the "Frequently Asked Question" notes from College Tenure and Promotion Workshops on the College web site.

1) Outside Letters

Candidates must declare whether they waive their rights to see letters of evaluation before packets of materials are sent to outside reviewers (appendix 1 in the university guidelines). The minimum number of outside letters is five and the maximum is six. University guidelines (page 9) include the provision that the candidate submits a list of at least 7 names and the Department chooses other names so that no more than half of the letters come from the candidate's list. Most departments submit six letters. While it is acceptable (and understandable) that perhaps one or in extreme cases two of the letters might come from the candidate's senior colleagues (i.e. research collaborators, etc.), the majority should be from more disinterested parties. It is not recommended that a candidate's dissertation advisor be asked for a letter of reference for tenure and/or promotion. As noted in the university guidelines, letters cannot be included from referees who have worked at the University of Florida in the past ten years. You are encouraged to solicit outside letters from those who do not have a personal relationship with the candidate. All letters received shall become part of the dossier.

Referees should be asked to assess the quality of the candidate's publication and research record, her/his standing in the field, her/his teaching and service performance (if known), and the appropriateness of tenure and/or promotion at a major research institution. The request for a review must come from the chair or another authorized senior member of the department faculty. In requesting the letters of recommendation the respondents should be advised as to whether or not the candidate has waived her/his right of access to the letters of recommendation. Please also

note in the letter of solicitation that should a candidate pursue a grievance or legal action over tenure, the letters of recommendation may be revealed to the candidate, even when he/she has waived access.

The University regulations require that the Department criteria be appended to the letter of solicitation (see page 9). Those guidelines require that the reviewers “assess the candidate’s research performance in order to determine whether it: (a) satisfies the University criteria for tenure as clarified in writing by the candidate’s department; (b) represents a significant contribution to the field; and (c) is comparable to the research performance of successful tenure candidates at the same stage in their careers at comparable public research universities. The guidelines note also that the letters should not lead the reviewers in a positive or negative way regarding the case.

Since the Tenure and Promotion Committee will not generally be acquainted with any of the outside referees, the chair is asked to provide a thumbnail sketch of the reviewers in Section 30, so that Committee members are aware of who they are and the authority with which they speak. In your thumbnail sketch, please state from which list the outside writers of evaluation letters were selected, exclusively from the candidate’s or from the department’s (some of which may overlap with those suggested by the candidate) and whether there is a special relationship (and if so what the nature of that relationship is) between the candidate and the referees. In general, all letters should be from a rank higher than that of the candidate. Be sure to explain why letters might have been solicited from Associate Professors or from non-research institutions. Letters from other countries are acceptable, but they must be on letterhead and include a translation when needed.

A sample copy of the departmental letter requesting the recommendation letters must be included in the packet.

2) Internal letters of recommendation

There should be three internal letters, but a fourth can be included under unusual circumstances, such as for candidates with several affiliate appointments. These internal letters are solicited from department members as appropriate, and from colleagues in other departments or units where the candidate has significant scholarly activity. These letters should come from colleagues who can comment intelligently on a candidate's research, teaching, and service. Since the outside referees are unlikely to have much knowledge of the candidate's teaching and service activities on campus, these should be addressed in particular by local reviewers. The University requires a thumbnail sketch of each of the internal referees as well. These internal letters are separate from the transmittal letter from the chair.

3) Chair's letter

This letter should carefully review the candidate's various activities and the uniqueness of his/her record. Without being effusive or verbose, it should assess frankly the candidate's work in all three areas and should indicate how it contributes to and enhances the mission of the department and the University. This letter also ought to indicate the impact the granting of tenure for this

faculty member will have on the department's future. The chair's letter should not be longer than four single spaced pages. As described in the University guidelines, the chair's letter must explain the circumstances of the candidate's contribution to the department and discipline if the vote for a candidate contains more than 20% negative, abstain, or absent votes.

4) Duty assignments and evaluations

On the tenure/promotion forms, under "Assigned Activity," an indication of the candidate's assignment percentages and performance level is required. These numbers must coincide with the candidate's Semester Faculty Assignment Report which the chair signed in previous years.

Likewise, the evaluations of performance inserted in these reports must reflect the evaluations received by the candidate in her/his annual evaluations.

5) Teaching evaluations

This material should accurately represent the work of the candidate over a period of several years and should include all UF evaluations since last promotion (not to exceed 10 years) or from UF Employment for tenure nominees. Please make sure that the proper department and College averages for the terms reported are inserted correctly. List the names for each course as well as the Department number.

Departments are expected to submit with their promotion/tenure materials a teaching evaluation for each candidate, as conducted by an appropriate departmental committee or review team. Part of this evaluation must now include classroom visitation by a peer review committee (or a member of such committee). The teaching appraisal may also include a review of syllabi, examinations, and other instructional materials. Please note that individual cases may be delayed if peer assessment reports of teaching are not included in the faculty member's packet.

6) Publications

Please list (either in the chair's letter of transmittal or elsewhere) the major journals in the candidate's discipline and how the candidate's research publications is viewed in terms of the major journals. If a large portion of a candidate's publications appear elsewhere, please explain. If the candidate is one of several joint authors, please give us some indication of the person's ranking in the group and underline the name of the senior author. In the case of books (monographs), please comment on their significance. Include reviews if possible; if a newly-published book has not yet been reviewed in the journals, it is advisable to include manuscript reviews from major scholars in the specialty. If the candidate has edited books or articles which are listed as publications, comment on their significance. If you can supply information on the rejection rate of the journals, please do so.

Publications that are in press must have their status verified by the inclusion of copies of letters from editors indicating acceptance. Materials that are "in preparation," "under review," etc. are not yet publications.

7) Grants and contracts

These should be listed by funding source, amounts, and start/stop dates. It is important to have information concerning the individual's status in jointly held contracts and grants. Was the candidate a principal investigator? If not, where did s/he rank among the co-investigators? The impact of grants and contracts to the department and discipline should be discussed in the chair's letter.

8 Statement by candidate

Statements by the candidate about their research goals and trajectory should be included in Section 13. Statements about teaching, mentoring, and engagement with the graduate program should be included in section 9.

9) Peer review of candidate

The tenure/promotion file should also include an assessment of the scholarly progress of the candidate. The chair may elect to do this alone, but a small fact-finding committee may assess the candidate's progress and scholarly reputation to date and consult with the chair.

Fact-finding and consultation involve more than counting numbers of articles, books, conference papers, grants etc. The faculty on a committee may reach judgments through informed fact-finding. That is, those with expertise may assist the ultimate decision-maker with determining the significance of journals in which work is placed, the significance and importance of the work itself, the relative achievement and place of the scholar in a national or international context, etc.

The eligible faculty members of the academic department in which the faculty member shall be promoted and/or shall hold tenure status if it is awarded shall review the packet and may meet to discuss the nomination. A secret ballot of the eligible faculty members in the department shall be taken no earlier than one day following the meeting.

10) Departmental criteria for T&P

Departments are asked to have on file in the College Office a statement of the guidelines or standards for tenure and promotion. These criteria are useful to the T&P Committee as it seeks to make an impartial and informed decision in each case. Questions, for example, may arise about expectations of departments in research, teaching, and service.

11) Recommendation of tenure at appointment

The award of tenure may be recommended to the Board of Trustees at the time of initial appointment to Associate Professor or above. Requests for tenure upon appointment should be submitted through the College Office to the Provost (or designee) with a statement of the reasons for the request and supporting documentation, including but not limited to, a copy of the nominee's resume, the letters of recommendation, and the vote of the appropriate departmental faculty. A department should obtain a formal vote from the faculty at the same time that it votes

to extend an offer and prior to seeking the approval of the Dean of Liberal Arts and Sciences. The statement shall set forth the special circumstances which warrant granting tenure as a condition of employment, including a brief summary of the nominee's academic credentials and employment. After the chair recommends the appointment with tenure to the College Office, the Dean may seek the advice of the College Tenure and Promotion Committee, so that he may benefit from the expertise of its members.

12) Tenure when ready

Assistant Professors may be reviewed for tenure and promotion in any year of tenure accrual. For "Tenure when ready" cases, the department must provide a clear statement addressing why consideration is warranted, for example, on the basis of the candidate's positions prior to employment at UF and/or the candidate's excellence in research, teaching, and service. There is no defined time period for when candidates who have been promoted to the rank of Associate Professor at UF should be given formal review for promotion to full Professor, but customarily the issue of early consideration is raised if the candidate has been in rank fewer than six years. Again, chairs should provide a clear rationale for the support for the case.

13) Withdrawal from the Process

Candidates have the right to withdraw without prejudice from the tenure process prior to the President's decision in all but the last year of probationary status for faculty seeking tenure. Promotional applications do not have a fixed timeline, so a candidate can withdraw without prejudice at any time during that process. In the event that a candidate for tenure and/or promotion elects to withdraw from the process it must do so in writing before the nomination packet is complete, no further materials should be added to the file. Internal and external evaluators who have not yet responded should be notified immediately that their letters will not be required and that any letter en route will be returned. The candidate shall have access to the file as it exists at the point of withdrawal. Candidates who have not waived their right to see letters of evaluation may read any letters that have already been placed in the nomination packet.

14) Review process

All reviews at every level, whether positive or negative, flow forward to the President. Packets submitted to the College by a Department are reviewed by the Tenure and Promotion committee, as constituted through the CLAS constitution. This committee assesses all cases and makes a recommendation to the CLAS Dean. During the assessment period in the fall, the committee may ask for clarification of the packet of the chair of the department. All communication is done through the office of the Associate Dean for Faculty Affairs. Candidates and chairs cannot consult with the committee or discuss with them applications for tenure and promotion.

The College Tenure and Promotion Committee members record their individual assessments as part of their fact finding and consultative role. An individual assessment shall consist of a committee member's indicating whether or not the candidate meets the standards for tenure and/or promotion within the college. Individual faculty members making the assessment shall not be identified. The College Committee's individual assessments will be submitted to the

candidate and to the University's Academic Personnel Board.

The CLAS Dean reviews the application packets and assessment of the Tenure and Promotion committee and then recommends or does not recommend cases to the President. In the case of those applications which are not recommended, candidates can withdraw from the process without prejudice.

The University of Florida Academic Personnel Board receives the forwarded cases from the College and reviews them for recommendation to the President of the University. The President of the University then approves or disapproves cases. The Board of Trustees must give final approval for consideration of Tenure. The responsibility for approving promotions has been delegated to the President.