

FLORIDA ATLANTIC UNIVERSITY POST-TENURE REVIEW POLICY

A well-qualified and productive faculty is essential to the core teaching, scholarship, and service missions of Florida Atlantic University (FAU). Post Tenure Review (PTR) serves as a periodic review of tenured faculty and is designed to foster sustained excellence and professional development, and recognize and reward outstanding achievement.

PTR is separate and distinct from annual and other employee evaluations in that PTR will focus on long-term accomplishments over a period of five years. Most importantly, the PTR process has been designed to uphold the University's fundamental principles of tenure, academic freedom, due process, and confidentiality in personnel matters.

The PTR process for tenured faculty will initially begin in Spring 2024, and continue in subsequent years, and encompass 20% of eligible tenured faculty. During the first five years of implementation, the University will issue a call to eligible tenured faculty for volunteers to participate in the PTR process. Should the number of volunteers be greater than 20% of the eligible faculty, volunteers will be randomly selected by the Associate Provost for Academic Personnel using a random selection generator app, with priority given to those who have not yet undergone a Sustained Performance Evaluation (SPE). Eligible faculty due for SPE may volunteer for PTR in lieu of SPE but may not participate in both processes. If the number of volunteers is less than 20% of the eligible faculty, faculty scheduled for SPE the following year may volunteer for PTR. For academic years 2023-2024 and 2024-2025, if the number of volunteers is still less than 20% of the eligible faculty, a random selection from the remaining eligible faculty, by the Associate Provost for Academic Personnel using a random selection generator app, will identify a sufficient number of eligible faculty to volunteer to participate in PTR. Starting in academic year 2025-2026, if the number of volunteers is still less than 20% of those eligible, faculty will be randomly selected by the Associate Provost for Academic Personnel using a random selection generator app.

PTR is intended to accomplish the following:

- (a) Ensure continued high standards of quality and productivity among the University's tenured faculty.
- (b) Determine whether a faculty member is meeting the responsibilities and expectations associated with assigned duties in research, teaching and service, including compliance with state laws, Board of Governors (BOG) regulations, and University regulations and policies, including BOG approved accreditation standards.
- (c) Recognize and honor exceptional achievement and provide incentives and support for professional growth, development, and retention.
- (d)

Definitions

For purposes of this policy, the following definitions apply:

- (a) “Administrative Role” means a position or role at FAU in which a tenured faculty member is the Provost, a vice president, dean, chair, school director, institute director, center director, or otherwise has administrative duties and for which an annual evaluation of all assigned duties, responsibilities and professional conduct is performed.
- (b) “Eligible Faculty Member” means a tenured faculty member at the University who has been notified by the University that they are subject to PTR in a given year, as outlined in BOG Regulation 10.003(2) and determined by the University, and who has not received an approved postponement or submitted a letter of resignation/retirement. Faculty who are going up for promotion in the same fiscal year in which they are due for PTR are exempt from the PTR process. If they withdraw their promotion application or are not promoted, then they shall go through the PTR process in the next year’s PTR cycle. If the faculty member chooses to apply for promotion in the next year, they must undergo both the promotion and PTR processes in that year. Tenured faculty in out

- (d) “PTR File” means items/documents prepared by an Eligible Faculty Member, and subsequently supplemented by the Unit Head (if applicable), Advisory Committee(s), and College Dean, highlighting the Eligible Faculty Member’s accomplishments, and demonstrating performance relative to assigned duties for the Review Period and Criteria (as defined below).
- (e) “Review Period” means the five-year period prior to the semester in which PTR will occur for Eligible Faculty Members.
- (f) “Substantiated” means supported by documentation or evidence.
- (g) “Criteria” includes clear, written, quantified criteria relative to assigned duties for the Review Period by which faculty will be evaluated. Each department/unit at FAU shall develop and maintain clear, written criteria and expectations by which to evaluate each faculty (see articulation of in-unit criteria below). During the five-year Review Period, the PTR shall also include consideration of the following:
 - i. The level of accomplishment and productivity relative to a faculty member’s assigned duties of research, teaching, and service;
 - ii. History of academic responsibilities to the University and its students, and professional conduct per University regulations and policies;
 - iii. Any finding following an investigation that the faculty member has failed to comply with applicable laws, BOG/University regulations, or policies within the scope of their University employment;
 - iv. Any unapproved absences from teaching assigned courses that are substantiated; and

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- a copy of the report of the previous SPE or PTR, if available,
- a copy of the published criteria from the faculty member's academic unit (see Articulation of Unit Expectations below)

If a faculty member is due for post-tenure review and is involved in a timely filed, pending grievance, then the faculty member may submit a written request no later than thirty (30) calendar days before the dossier is due, that they intend to either:

- extend the deadlines for completing the post-tenure review until the grievance process is complete; or
- include the disputed matter and simultaneously proceed with the post-tenure review evaluation (the faculty member may address the grieved issue in their post-tenure review narrative); or
- omit reference to the pending grieved matter.

Upon such request, the University will act accordingly and accept the faculty member's decision.

The review shall not consider or otherwise discriminate based on faculty members' political or ideological viewpoints.

If applicable, the PTR File should also include documentation regarding the faculty member's substantiated non-compliance with state law, Board of Governors' regulations, and University regulations and policies within the scope of their University employment; substantiated unapproved absences from teaching assigned courses; and substantiated student complaints. The faculty member in the 2-page narrative may also provide explanations in relation to alleged noncompliance with relevant laws, regulations, and policies.

These are the documents required throughout the University. Each College may establish guidelines (see Establishment of College-Wide Evaluation Policies below) requiring additional items to be included in its faculty members' PTR files.

The contents of each PTR file are to be kept confidential, pursuant to Florida law and University regulations and policies.

Review Report Requirements

Each responsible party (e.g., Unit Head Advisory Committee, Unit Head, Dean, Provost) that is charged with preparing a report in the PTR process described below must adhere to the following:

- The report must include an assessment of the Eligible Faculty Member's performance and conduct for the five-year Review Period based on the aforementioned Criteria.
- The report must state whether the faculty member's performance and conduct Exceeds Expectations, Meets Expectations, Fails to Meet Expectations, or is Unsatisfactory and provide specific reasons to support the determination.
- Faculty members who have received Good, Outstanding, or Exceptional for each annual evaluation during the review period will not receive a post-tenure review ranking of

“Does Not Meet Expectations” or “Unsatisfactory” unless:

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return them to the Unit Head. The PTR Advisory Committee's report shall not be binding upon the Unit Head.

Provost: The Provost may, in their sole and absolute discretion, request assistance from an advisory committee at their level of review. If formed upon the request of the Provost, the faculty advisory committee must consist of at least three faculty members of appropriate rank. Any such consultations with an advisory committee shall not be binding upon the Provost. The recommendations of the advisory committee convened by the Provost shall be submitted in writing and formally incorporated into the PTR File within 5 calendar days.

In all cases, any person with a plausible, perceived conflict of interest in evaluating a particular faculty member cannot serve on the PTR Advisory Committee in the year of th ra on tattedvi --2 (ons)-1 (ul(h-2

The faculty member may appeal the contents of a PIP to the Provost. The appeal must be submitted within seven calendar days of receiving the approved PIP. The Provost shall make final decisions regarding the PIP requirements.

year and submit to the Board of Trustees by July 1st of that year an audit report that includes:

- the number of tenured faculty members that received each of the four ratings in the Performance Rating Scale from the Provost,
- the outcome in cases of each Performance Rating category, and any findings of non-compliance with applicable laws and regulations.

The Board of Trustees shall consider the audit report outlined above at its next meeting following the audit report's publication. The audit report cannot be a consent agenda item and must be presented to the Board by the Chief Audit Officer. The audit report must be provided to the BOG, as specified in BOG Regulation 10.003(6)

Establishment of College-Wide Evaluation Policies

Each College Faculty Assembly will appoint a committee to develop PTR guidelines specific to its College during AY 2023-24. These guidelines should describe evaluation procedures established by its individual academic units.

No College policy may conflict with a University or Provost's policy. Accordingly, the Provost must approve the College policy prior to its implementation or amendment. The Provost may either approve the College policy or send it back to the College committee with instructions to modify it.

Articulation of Unit Criteria

Each academic unit that does annual evaluations shall clearly define criteria for PTR among its tenured faculty in the areas of teaching, scholarship, and service. These written criteria shall reflect the customs and practices of the academic unit, the professional discipline(s) of its faculty, and its overall mission as part of the University.

In view of the various kinds of contributions faculty members make during the course of their careers, unit criteria must also be sufficiently flexible to embrace the variability of faculty interests, activities, and strengths.

Since PTR explicitly considers the annual assignments of each faculty member, unit criteria should weigh appropriately the full range of assignments a tenured faculty member may receive.

As with other policies for faculty evaluation, the academic unit's criteria for PTR must be approved by the Dean of the College and aligned with the eligible faculty member's assigned duties. Once approved by the Dean, each unit's PTR criteria will be submitted to the University Provost for final approval. The Provost or designee may either approve the criteria or send it back with instructions and justifications for required modifications. Once final, each College will publish the unit criteria on the College's website.

