Post-Tenure Review Evaluation Guidelines and Criteria
Department of Biological Sciences
College of Science
Florida Atlantic University
Provost Approved December 1, 2023

Post Tenure Review (PTR) serves as a periodic review of tenured faculty and is designed to foster sustained excellence and professional development as well as 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. The PTR process is to uphold the University's fundamental principles of tenure, academic freedom, due process, and confidentiality in personnel matters.

The FAU PTR process and procedures are outlined in FAU Post-Tenure Review Policy in compliance with Florida BOG regulation 10.003.

The Biological Sciences Department shall establish criteria for evaluation of faculty undergoing PTR and the determination of a "Performance Rating".

"Performance Rating" means the following rating scale:

- **Exceeds Expectations**: a clear and significant level of accomplishment beyond the unit's and University's written criteria, and beyond the average performance of faculty across the faculty member's discipline and unit.
- **Meets Expectations**: an expected level of accomplishment based on the unit's and University's written criteria, compared to faculty across the faculty member's discipline and unit.
- **Does Not Meet Expectations**: performance falls below the unit's and University's written criteria, compared to faculty across the faculty member's discipline and unit, but is capable of improvement.
- **Unsatisfactory:** performance fails to meet the unit's written criteria which reflects disregard or failure to follow previously documented and/or otherwise given advice or other efforts to provide correction; or documented incompetence or misconduct, as defined in applicable University regulations and policies, or applicable CBA provisions

<u>Evaluation Procedure</u>

The office of the Dean of the College of Science shall notify faculty members and the Department Chair of upcoming PTR evaluations and the due date for the evaluation file. The Department Chair shall establish appropriate departmental deadline dates for the PTR process to meet the due date set by the College of Science.

The faculty member shall prepare a PTR Portfolio in Interfolio. The PTR will be conducted based on a portfolio containing a summary of the faculty member's activities, and performance of academic responsibilities to the University and its students during the entire five-year Review Period.

The PTR portfolio should contain relevant documentation that covers the five-year review period including:

- a current curriculum vita (CV) that clearly highlights accomplishments in teaching, scholarship, and service
- copies of the faculty member's last five annual assignments and annual evaluations including any attached written rebuttals by a faculty member under review
- 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 for the faculty's position (see Articulation of Unit Expectations below)
- a brief (2 page) narrative from the faculty member
- additional measures of faculty productivity and relevant materials

The faculty member shall upload his or her PTR portfolio to the Department by the deadline date set by the Department. This portfolio (other than CV) is confined to the five-year period under review. The Department Chair may return noncompliant portfolios to the faculty member for revisions. Refusal to present a completed and acceptable portfolio or failure to submit it on time shall result in the outcome of "Does Not Meet Expectations". The faculty can apply for extension of deadline. The faculty will be evaluated based on the material provided.

<u>Departmental PTR Committee</u>

- The Departmental PTR Committee shall be composed of tenured faculty members from the Departmental Personnel Committee and shall be approved annually by a majority of the tenure-track faculty members of the Department.
- Two additional tenured committee members may be added as approved by departmental vote of PTR eligible faculty.
- The Departmental PTR Committee is tasked with initiating the review process and deliberation of all submitted PTR portfolios. The PTR Committee and/or the faculty member being reviewed may request the appointment of an additional external member by the Department Chair or the Dean of the College of Science to participate in its deliberations under special circumstances.
- Upon completion of the evaluation, the Departmental PTR Committee shall prepare a brief report summarizing its recommended assessment of the faculty member's performance during the five-year period under the PTR. The Committee's report shall indicate whether the faculty member's performance (1) Exceeds Expectations, (2) Meets Expectations, or (3) Does Not Meet Expectations, or is (4) Unsatisfactory, and shall cite specific areas, reasons and evidence, corresponding to the annual assignments and

evalutations, to support the Committee's conclusion. In case the evaluation report is not unanimously agreed upon by the full committee, the report must include dissenting opinions written anonymously by the dissenting members of the Committee. The Departmental PTR Committee shall deliver its evaluation reports to the Department Chair by the deadline date set by the Department. The Chair will consider the PTR Committee's evaluation in his/her report.

- The Department Chair will prepare a PTR report for the faculty member under review based on the aforementioned Criteria and Report Requirements defined above and affix the reports to the faculty PTR file. The Department Chair's report shall include a recommended Performance Rating which shall not be binding upon the Dean or the Provost. This report shall also be returned to the PTR committee for review.
- The Department Chair will provide the faculty member under PTR with access to the complete PTR file, including all reports, and notify the faculty member that they have five calendar days to submit a rebuttal to be included in the PTR file. After the five-calendar day response period, the PTR file will be forwarded to the College Dean.

PTR Evaluation Expectations and Criteria

The Departmental Policy and Criteria for Annual Evaluations and the Departmental Policy and Criteria for Promotion and Tenure will serve the process and expectations in the determination of the performance rating for the PTR Evaluation. In view of the various kinds of contributions faculty members make during their careers, departmental expectations must be sufficiently flexible to include variability in faculty activities and contributions to the Department and University.

It is expected that tenured professors in the department contribute in meaningful ways to the areas of teaching, research, and service. The main sources of information to judge these contributions are the annual evaluations and the self-evaluation that is submitted as part of the PTR Evaluation file. Any problem areas should have been identified in the chair's annual evaluations. Thus, faculty who have consistently received annual evaluations that are rated satisfactory or better in the period covered by the PTR are to be considered as fulfilling expectations.

PTR Evaluation Expectations

- Teaching: As defined by annual assignments, the faculty member must maintain dutiful teaching of assigned undergraduate and/or graduate courses, exhibit competence as demonstrated by student evaluations, peer review, and/or other evaluation means and actively mentor undergraduate/graduate students in research

- Research: As defined by annual assignments, the faculty member must maintain assigned level of research activities, as demonstrated by publication of research results in refereed journals and/or at professional conferences, application for and/or attraction of research funding, and directing and training of undergraduate and graduate students

performing research. Other evidence of research as presented by faculty can be considered.

- Service: As defined by annual assignments, the faculty member must serve on assigned departmental/college/university committees and/or perform other administrative duties, engage in public service in various forms, provide service to professional societies, attend national/international scientific meetings, and/or serve as a peer reviewer for scientific journals, grant agencies, which promote the stature and reputation of the Department, the College, and the University.

PTR Evaluation Criteria

1. The overriding criteria for faculty PTR evaluations are the faculty member's annual assignment and annual evaluation scores over the past five years The PTR Committee and Chair shall consider that the faculty member's assignments and respective performance expectations may have changed over the past five years.

2. The PTR Committee and Chair shall consider that the faculty member may have made contributions to the Department, College, and University in various ways over the past five years that might not be explicitly stated in the annual evaluations but will be considered by the PTR Committee and Chair. The PTR Committee and Chair shall consider that the nature or form of the faculty member's contributions may have varied over the past five years.

3. The PTR Committee and Chair shall consider that innovative and transformative research or teaching may take time to succeed and may sometimes fail; thus, productivity will be assessed based on efforts (e.g., proposals written) as well as results (e.g., funding, publications).

4. The PTR Committee and Chair shall consider that unusual or unpopular research, teaching, or service is not by itself sufficient cause for a negative evaluation.

5. The PTR Committee and Chair shall consider any unique circumstances of each faculty member's areas of research, teaching, service, and/or academic administration in the context of overall performances by all tenured faculty members in the Department. The PTR Committee and Chair shall also consider personal and/or extraneous circumstances that the faculty endured during the five year review period that may have affected the faculty's performance.

6. For each faculty member who receives a final performance rating of "does not meet expectations," the Dean, in consultation with the Chair, shall propose a performance improvement plan (PIP) to the Provost. The plan must include a deadline for the faculty member to achieve the requirements of the PIP. The deadline may not extend more than twelve months past the date the faculty member receives the PIP. Any Personal

Improvement Plan developed in response to the evaluation criteria specified in this document shall have achievable targets that can be completed during the PIP's evaluation period.