

**College of Marine Science  
University of South Florida  
St. Petersburg, FL 33701**

**Guidelines for Promotion of Ranked, Non-Tenure Earning (NTE) Faculty in the  
College of Marine Science (CMS), University of South Florida**

July20, 2005

**Background**

Written by the Ad Hoc Committee appointed by the Dean, CMS:

Dr. Albert C. Hine, Chair  
Dr. Gary Mitchum  
Dr. Edward Van Vleet  
Ms. Desiree Woroner

Unanimously approved by CMS faculty and the Dean, College of Marine Science; June 9, 2005 subject to minor modifications to be made by the Ad Hoc Committee. Such modifications were made June 20, 2005. Further modifications were made June 26, 2005 based on suggestions made by the Associate Provost, Dr. Phil Smith. Document was finalized by the Ad Hoc Committee Chair July 20, 2005 based upon final approval from Dr. Smith. Dr. Hine ([hine@marine.usf.edu](mailto:hine@marine.usf.edu)); phone 727-553-1161; fax 727-53-1189, is the CMS contact person.

**Purpose and Definitions**

The purpose of these guidelines is to define the standards and the procedures for non-tenure earning (NTE) Ranked Faculty in the College of Marine Science (CMS) for promotional consideration and advancement. The guidelines are established consistent with the USF "Plan to Improve Research at USF", which states that the USF President and Cabinet seek to establish "A policy about non-tenure-track Research faculty tied to their being funded by grants only."

(<http://www.research.usf.edu/absolutenm/templates/newro.asp?articleid=172&zoneid=2>)

Ranked, NTE Faculty members, often referred to as Research Faculty members, are an essential part of the research enterprise at leading universities. These faculty members are generally wholly, or at least largely, supported by research funds derived from projects on which they are the Principal Investigators. Research Faculty provide an effective means for the CMS to build critical mass in new research areas, address new complex multidisciplinary problems, and grow the strength of its human capacity.

The Research Faculty members are expected to be self-supporting, in contrast to postdoctoral employees of individual ranked, tenured or tenure earning faculty members. These Ranked, NTE Faculty members are expected to be productive and creative members of our faculty. Effectively, they are peers to the tenured and tenure-earning faculty, and deserve the respect and collegial treatment afforded to tenure-track faculty. They are therefore subject to parallel, and equally rigorous, standards and annual evaluations.

Officially, at present there is no clear definition of Ranked Faculty. Generally, Ranked Faculty are considered to be Lecturers, Instructors, Assistant Professors, Associate Professors, Professors and equivalent Librarian ranks. At times, Ranked Faculty are considered only at the rank of Assistant Professor and above. Lecturers and Instructors are listed as Ranked Faculty in the UFF CBA. However, under the Provost's guidelines, they are not included in the T&P guidelines and, therefore, there are no promotional guidelines in place.

There are two categories of Ranked Faculty: (1) tenured/tenure earning (TE), and (2) non-tenure earning (NTE). Both may be Assistant Professors, Associate Professors, and Professors, but to distinguish one from the other, Ranked, NTE Faculty will be designated **Research Assistant Professor**, **Research Associate Professor**, or **Research Professor** in the CMS. Both Ranked, TE and Ranked, NTE Faculty at the assistant and associate levels will have mentors assigned in accordance with the CMS Mentoring of Junior Faculty Guidelines dated April 12, 2004 ([www.marine.usf.edu/internal](http://www.marine.usf.edu/internal)).

Ranked Faculty have a standard survey (Oklahoma State University) to measure salary comparison and market value. Salary increase guidelines for Ranked faculty are specified in detail in Article 23 in the current UFF CBA.

Ranked Faculty have promotional opportunities based on University Guidelines subject to Collective Bargaining and availability of funding. Pay raises should reflect those of the Ranked, TE Faculty at the appropriate level.

### **Initial appointment**

Criteria for the initial appointment would be similar to that used to hire Ranked, TE Faculty. The rank of the initial appointment would be negotiated between the Dean of the College of Marine Science in consultation with the Associate Dean of Research. The normal manner of assessing one's research profile such as number and quality of publications, level and source of funded research support, and the level of scientific maturity and stature in one's field as indicated in the letters from the candidate's referees would be primary factors to consider.

Time-in-rank served before promotion to the next level would be negotiated through discussions with the Dean and Associate Dean of Research in the College of Marine Science. Normally, the record of five full years of performance at the Research Assistant Professor rank should be available for examination before promotion to

Research Associate Professor is considered. However, the Dean and Associate Dean have the flexibility to shorten this time frame. Since there is no tenure consideration, there is no "up-or-out" time frame. For promotion from Research Associate Professor to Research Professor, the time frame is only constrained by the duration needed by the candidate to meet the standards set forth in this document for promotion to Research Professor.

## **Standards**

Since the CMS Mission Statement and the Guidelines for Promotion and Tenure for Ranked, TE Faculty emphasize research as the critical component of activity in the CMS, similarly, excellence in research is expected of Ranked, NTE Faculty. Since Ranked, NTE Faculty at present do not have teaching assignments, their research performance should logically exceed the research performance of the Ranked, TE Faculty. The research performance of the Ranked, NTE Faculty is the primary activity judged for promotion.

Ranked, NTE Faculty at the Research Assistant Professor level or higher must have the PhD or equivalent degree.

To be promoted from **Research Assistant Professor** to **Research Associate Professor**, the candidate's research must be judged to be truly **outstanding**. This would require senior authorship on papers published in upper tier journals as well as being the senior PI on significant competitive grants/contracts.

To be promoted from **Research Associate Professor** to **Research Professor**, not only does the candidate have to perform truly **outstanding** research, the candidate's research performance must be widely recognized and cited by senior scientists as being consistently new and innovative thus providing critical intellectual leadership. The candidate's research must be recognized in the form of service on high-level review or planning panels or some comparable form. Finally, there must be indications that this high level of excellence will be sustained.

Other non-research oriented assignments or duties may be performed by Ranked, NTE Faculty including those consuming E&G resources from the CMS. However, these assignments and duties would not be included for consideration in the promotion package. The promotion decision is driven exclusively by research accomplishments/productivity/recognition.

Ranked, NTE Faculty should be evaluated by the CMS Annual Review Committee along with the Ranked, TE Faculty.

## **Procedure**

The procedure for the promotion of Ranked, NTE Faculty is similar to the procedure for the promotion of the Ranked, TE Faculty.

The candidate must write a letter to the Chair of the CMS Promotion and Tenure Committee and Associate Dean of Research asking to be promoted and providing a summary justifying promotion. Attached to this letter the candidate provides names of 10-12 external reviewers (not CMS) along with: (1) full name, affiliation, and contact information, (2) brief summary of the reviewer's field of endeavor and reputation, and (3) the candidate's relationship with the reviewer. The Associate Dean of Research, the Chair of the Promotion and Tenure Committee, the candidate's mentor, as well as the candidate meet and choose 6 names from which the Associate Dean of Research solicits letters of support.

The candidate constructs a Promotion File and submits it to the Promotion and Tenure Committee. The components of this Promotion File are:

1. Letter to the Chair of the CMS promotion and Tenure Committee and the Associate Dean of Research requesting and justifying promotion.
2. Full CV to include all grants and contracts with PI's properly listed as well as all publications. Beneath each grant/contract and publication citation the candidate should state in detail his/her specific contribution.
3. Annual evaluations.
4. The matrix of external scientists identified as potential referees.
5. Statement of long-term research goals, philosophy, and approach to marine science.

The Associate Dean of Research adds the outside letters of recommendation to the Promotion File.

The Chair convenes the Promotion and Tenure Committee for discussion and vote.

The Chair provides a written summary of the discussion and the result of the secret ballot. In the case of a split vote both the majority and minority viewpoints should be presented. The Promotion File is forwarded to the Dean of the CMS and the Associate Dean of Research for consideration.

The Dean, with advice from the Associate Dean of Research, decides if promotion is justified. If promotion is justified, the Dean makes a written recommendation to the Provost and forwards the file with his/her recommendation to the Provost's Office.

The guidelines specified herein can be amended by a two-thirds vote of the full CMS Promotion and Tenure Committee.

The University Guidelines for promotion are provided here for information purposes. Note that references to tenure and teaching below are not pertinent to these guidelines established above.

Respectfully submitted to the USF Provost's Office (Dr. Dwayne Smith):

---

Dr. Peter R. Betzer, Dean  
College of Marine Science

Date

## **UNIVERSITY CRITERIA**

Proceeding from the framework of Rule 6C-5.940, the University of South Florida's University-wide guidelines on tenure and promotion states:

The University has established minimum criteria for tenure and promotion as follows. Tenure and promotion in the professorial ranks will be granted only to persons of significant achievement, especially in teaching, research/creative activity and service. As a minimum standard for tenure and/or promotion, there must be evidence of strong performance in both teaching and scholarship and outstanding achievement in at least one of these areas. Academic units in which public/professional service receives significant prominence may so recognize service contributions within unit guidelines.

The academic units of the University may further refine these criteria according to the standards of the respective disciplines.

**Research/Creative Work.** The purpose of research and creative activity at a university such as USF is to make a substantive contribution to the body of knowledge and understanding in one's discipline. For tenure to be granted, a faculty member must have established an original, coherent and meaningful program of research/creative activity, which is adding substantively to the body of knowledge within the discipline, and through which the faculty member is expected to make a continuing contribution throughout his or her career. A short period of intensive research/creative activity in the years immediately preceding tenure consideration is not an acceptable substitute for a continuous and progressive record.

The peer review process is the best means of judging significance and contribution of the candidate's research/creative work. Evaluation at the department level should take into account such information as reviews of books and articles, criticism of creative work, reviews of grant applications, citations of the candidate's work, and the quality of refereed journals and presses by which the candidate's work is published. Objective peer review of the candidate's work by scholars external to the University is required. In addition, evaluative review by the candidate's department chair or director and dean is required. The contribution of a candidate for tenure must be judged against the national standards in the discipline, focusing on the significance of the work and the quality of the contribution made, rather than on the quantity of publications. (See following sections regarding process for securing input from external reviewers.)

### **B. PROMOTION IN ACADEMIC RANK**

## **UNIVERSITY CRITERIA**

As in the case of tenure, the judgment of readiness for promotion to higher academic rank is based upon a careful evaluation of a candidate's contributions in teaching (or comparable activity appropriate to the unit), research/creative work, and service: and the

sections pertinent to evaluation of these factors for the tenure decision apply as well to promotion. Promotion will not be granted unless a determination of the candidate's effectiveness in teaching (or in comparable activity appropriate to the unit) has been made. Promotion also requires collegiality and participation as a citizen of the University, as this is an integral part of faculty performance.

Standards for the ranks of Assistant Professor, Associate Professor, and Professor (or their equivalents) are as follows:

**1. Assistant Professor (or Assistant University Librarian)**

- a. Promise of continued growth as a teacher, or in comparable activity appropriate for the unit.
- b. Promise of independent and collaborative research/creative work, supported by publications or other appropriate evidence.
- c. Promise of substantive contributions in the area of service.
- d. The doctorate or the highest degree appropriate to the field (or, where appropriate, the equivalent based on professional experience).

**2. Associate Professor (or Associate University Librarian)**

- a. Acknowledged record of success in teaching, or other comparable activity appropriate for the unit, including a record of such activities as participation on thesis and/or dissertation committees, and successful direction of the work of master's and doctoral candidates, where applicable.
- b. Focused program of independent and collaborative research/creative work, supported by substantial publications or their equivalent. Original or creative work of a professional nature may be considered an equivalent. The record should be sufficient to predict, with a high degree of confidence, continuing productivity in research/creative work throughout the individual's career.
- c. Substantive contributions in the area of service.
- d. Ordinarily, the rank of Associate Professor is not granted in advance of the tenure judgment.

**3. Professor (or University Librarian)**

- a. Acknowledged record of success in teaching, or other comparable activity appropriate for the unit, such as a record of participation on thesis and/or dissertation committees, and successful direction of the work of master's and doctoral candidates, where applicable.

b. Established record of productive research/creative work of at least national visibility, supported by a record of substantial publications or their equivalent. Original or creative work may be considered an equivalent. The record should predict continuing high productivity in research/creative work throughout the individual's career.

c. Substantive contributions in the area of service.

d. Unmistakable evidence of significant achievement among peers in one's discipline at the national or international level. True distinction is expected in at least one of the areas of teaching (or comparable activity appropriate to the unit); research/creative work; or service. Any recommendation for promotion to the rank of Professor (or University Librarian) must contain evidence that such distinction has been identified.

e. As a general guideline a faculty member normally would not apply for promotion to rank of Professor without five years of service at the rank of Associate Professor.