Guidelines on Allocation of Effort, Annual Review, Promotion and Tenure

for Tenure Track Faculty

Department of Consumer and Design Sciences

*September 2021*

College of Human Sciences

Department of Consumer and Design Sciences (CADS)

Guidelines on (1) Allocation of Effort for Lecturers, Tenure-Track Faculty, and Tenured Faculty; (2) Annual Reviews; and (3) Promotion and Tenure for Tenure-Track Faculty

**Introduction**

1. **Background**

The Department of Consumer and Design Sciences (CADS) values and supports the creation and dissemination of knowledge through the activities of its academic faculty including research and creative scholarship, instruction, outreach, and service. With the goal of pursuing excellence in each of these key activities, the Department developed guidelines to identify and establish equitable allocations of faculty effort and consistent processes for annual assessment, and promotion and tenure review. The CAHS Guidelines are supplemental to the *Auburn University Faculty Handbook and AU Policies*, and accordingly were intended to be reviewed, revised, and updated periodically in response to changes in the *Auburn University Faculty Handbook, AU policies,* or to relevant CADS criteria. The CADS Guidelines were first approved by the Office of the Provost and went into effect in August 2011. This document represents the first update since that date.

1. **Purpose**

The purpose of these guidelines is threefold:

1. To ensure an equitable allocation of faculty assigned effort across the different disciplines within the department;
2. To ensure faculty and departmental accountability in relation to agreed upon annual allocation of faculty assigned effort; and
3. To provide a mechanism to recognize excellence in faculty achievement and ensure that the appropriate rewards, including compensation, promotion and tenure, and other types of awards, are made in accordance with faculty performance on assigned effort allocation.
4. **Key Stakeholders**

Key stakeholders with an interest in this document include CADS faculty, College of Human Sciences (CHS) Administrators, internal and external peer reviewers in the Auburn University (AU) promotion and tenure and post-tenure review processes, members of the AU Promotion and Tenure Committee and the AU central administration office. A full version of the CADS Guidelines will be provided to external peer reviewers with each candidate dossier. The Dean, Department Head, and faculty may reference these guidelines in the support letters that go to the University Promotion and Tenure Committee with a candidate’s dossier package.

1. **Intent**

It is intended that these guidelines will serve as a guide for CADS lecturers and tenured and tenure-track faculty discussions on the issues of allocation of assigned faculty load or effort, the annual review process, and promotion and tenure. The document is to be viewed as a basis for discussion in the development and application of a fair, equitable, and totally transparent set of departmental guidelines.

**Annual Assignment of Responsibilities**

1. **Description of Assigned Responsibilities**

Assignment of responsibilities, often referred to as “faculty load, faculty effort, or distribution of effort”, is the combined total of assigned responsibilities undertaken by a faculty member over the course of the normal academic year. Assigned responsibilities, as described below, follow guidelines established in the Department of Consumer Affairs Workload Policy approved 9/18/2009 by the Office of the Provost.

1. **Composition of Assigned Faculty Responsibilities**

Tenure-Track and Tenured Faculty with Research and/or Creative Scholarship Assignments

Normal distribution of effort or assignment of faculty responsibilities is comprised of the broad areas of instruction (including student advising and recruiting) and/or outreach, research and/or creative scholarship, and service. Each area may comprise differing percentage allocations (of 100% of assignment) based upon the agreed assignment of responsibilities set annually between the Department Head and the individual faculty member and in consultation with the Dean. Appointments and assignment of responsibilities are reevaluated each year during the faculty annual review.

The normal tenure-track faculty assignment of responsibilities is broken down as follows: 70% for instruction-related activity including student advising and recruiting, 25% for research and scholarly (research and/or creative) activity, and 5% for service. Service includes departmental, college, and university service, as well as professional service responsibilities. Historically and normally, only Extension faculty have an outreach assignment. That percentage time allocation is 95% outreach and 5% service. Research activity is a part of the outreach component.

Collaborative and interdisciplinary efforts in teaching, research, and outreach are encouraged and should be documented in the dossier as to the faculty member’s role and percentage contribution to the program. Involvement in international teaching, research and/or outreach activities is also encouraged and should be documented in the dossier as to the type of program, the faculty member’s role in that program, and evaluative information about the program/faculty member’s involvement.

In cases where faculty do not meet performance expectations, appropriate adjustments may be made to the faculty member’s assignments in discussion between the Department Head and the faculty member. All faculty receive a copy of their distribution of effort for the upcoming academic year at the time of their annual performance review.

1. Instruction (70% assignment)

Teaching is expected of all departmental faculty except for an individual with an Extension appointment. Each faculty member’s teaching component will be assigned by the Department Head in consultation with the Dean during the normal annual review period. Normal CADS departmental expectations in relation to the area of instruction include the following:

1. A normal full-time (100%) teaching load is 24 semester credit hours for each academic year (fall and spring), or 12 credit hours per semester. The standard course is delivered within a classroom, bears 3-4 credit hours and is taught by one faculty member.
2. A typical appointment for a 9-month tenure-track or tenured CADS faculty member is an approximately 60% teaching assignment for 6-8 credit hours per semester and for a total of 12-16 credit hours per academic year. The remainder of the 70% instructional assignment is composed of undergraduate and graduate advising, serving on graduate committees, and/or possible individualized courses such as Directed Studies, Special Topics, or Special Problems.
3. Any variation in the standard teaching load as defined above is the result of a decision by or negotiation with and approval by the Department Head and the Dean. Variations may result, e.g., from a faculty buying out time with external grant funds, or a course release for responsibilities as a program coordinator or graduate program officer.
4. The College of Human Sciences does not provide additional compensation for teaching overloads.
5. Some summer teaching appointments are available for some faculty members, depending on departmental need. Eligibility for summer teaching appointments is determined by the Department Head. The CADS standard full-time teaching load (1 FTE) in the summer semester is 9 credit hours. Variations from this standard must be approved by the Department Head in consultation with the Dean. Classes taught should meet the University’s minimum class size standards. No faculty load credit is typically given in the summer for individualized instruction (e.g., special problems, graduate student advising) over the summer term.
6. Teaching loads are further addressed in the *AU Faculty Handbook*.

Chapter 4 of the Faculty Handbook profiles expectations for teaching faculty and evaluations of teaching. As a part of their instructional assignment, all faculty are expected to carry out basic expectations in terms of the contents of course syllabi, provision office hours, and return of graded materials. CADS faculty are also asked to participate in recruiting as needed engage in periodic curriculum review. and, after gaining experience, participate in peer reviews as per the guidance of the CADS Peer Review Policy and Procedures document.

The Department values excellent teaching. Effectiveness is demonstrated through the University’s mandated course evaluations every semester as per University policies. Teaching may also be evaluated via peer evaluations, and a faculty member’s development of a teaching portfolio. Other possible documentation of excellence in teaching is identified in this document under Promotion and Tenure, section A.I.a.

1. Research and creative scholarship (25% assignment)

Auburn University is a Carnegie R1-ranked research university; therefore, research and scholarly activities are expected of tenure-track and tenured faculty as part of the normal distribution of effort within the Department of Consumer and Design Sciences. A tenure-track or tenured faculty member’s research and/or creative scholarship activities as a component of assigned responsibilities is normally 25%.

Research and creative scholarship is demonstrated in various forums including, but not limited to, regular peer-reviewed/juried publications or exhibitions related to one’s discipline area; grantsmanship activity including grants written and grants funded; presentations and exhibitions at annual and professional meetings; and assignment of intellectual property rights such as copyrights and patents,

For faculty on a 25% research and creative scholarship assignment, to **meet expectations** across annual reviews and in the promotion and tenure review process, departmental expectations include the following:

For tenure-track faculty working towards promotion from Assistant to Associate Professor and tenure:

1. Establishment of a research/creative scholarship agenda of demonstrated merit to the university, college, and department’s mission,
2. An average of 1.5 peer reviewed publications and/or juried/peer-reviewed exhibitions per year – examples of what will be considered are provided in 2a and 2b and include invited pieces when these reflect recognition of the emerging national reputation of the faculty member.
   1. Peer-reviewed publications include articles in refereed journals, invited articles, book chapters, and full-length papers in proceedings.
   2. Exhibitions may be juried or invited at the regional, national, or international level; they display creative scholarship in apparel or interior design. Items may be single garments or similar items, a collection of these, images of a design or collection of designs, or a model of an item.
   3. The quality of output may be indicated by acceptance rates, impact factors, rankings, or other similar measures.
3. A consistent record of peer-reviewed conference presentations focused on output in research, creative scholarship, and/or teaching scholarship; these may or may not have abstracts published in proceedings. Editor-reviewed trade publications are also considered in this category.
4. Evidence of regular internal and external grant writing activity with successful receipt of funding from at least one internal or external funding source.

For tenured and tenure-track faculty working towards promotion from Associate to Professor (and tenure for the latter):

1. maintenance of a sustained research/creative scholarship agenda of demonstrated merit to the university, college, and department’s mission and that reflects a respected national/international reputation in the individual’s field.
2. An average of 1.5 peer reviewed publications and/or exhibitions per year, with at least a portion of these being in high quality venues – examples of what will be considered are provided in 2a and 2b and include invited pieces when these recognize the strong reputation of the faculty member.
   1. Peer-reviewed publications include articles in refereed journals, invited articles, book chapters, and full-length papers in proceedings.
   2. Exhibitions may be juried or invited at the regional, national, or international level; they display creative scholarship in apparel or interior design. Items may be single garments or similar items, a collection of these, images of a design or collection of designs, or a model of an item.
   3. The quality of output may be indicated by acceptance rates, impact factors, rankings, or other similar measures.
3. A continuing record of
   1. Peer-reviewed conference research presentations,
   2. Participation on peer-reviewed scholarship panels at conferences,
   3. Keynote presentations, and/or
   4. Editor-reviewed trade publications
4. Evidence of continuing successful external grant writing activity demonstrated by funding and very positive reviews or scores from highly competitive sources.

Publications and presentations may address investigative or pedagogical research. At either promotion level, interdisciplinary and/or collaborative research resulting in grants, publications, and presentations is encouraged. Being the lead scholar (i.e., author or designer) in at least some of the output of collaborative work is expected. Notation of the percent of contribution is expected for all involved.

Faculty seeking promotion and/or tenure are encouraged to aim higher than meeting expectations to help ensure that they ultimately will achieve the “meet expectations” overall assessment. Greater recognition may be given to peer-reviewed publications or juried exhibitions that are perceived to be more selective or are known to have a higher impact, and for sustained grant writing activity that results in receipt of funding and very positive reviews or review scores from highly competitive funding sources.

A change in annual distribution of assigned effort for research and creative scholarship may be negotiated during the normal annual review process based upon the individual faculty member’s annual research and/or creative scholarship achievements and plans. The most common rationale for an increase in research/creative scholarship load is receipt of significant external funding. A change must be discussed with and approved by the Department Head and the Dean. Progress will be monitored annually as part of the normal annual review to determine whether proposed accomplishments justify continuing the adjusted distribution of effort.

1. Service (5% assignment)

Service activities are expected of all faculty. Assignment of specific responsibilities can be negotiated with the Department Head in consultation with the Dean. Normal service-related activities should be proportionate to a faculty members’ rank. Normal departmental service expectations include the following: regular service on departmental, college and/or university committees; mentoring of graduate students and junior faculty; and service to one’s profession and academic community. The 5% service assignment is seldom adjusted; temporary elevation only occurs for faculty taking on significant, highly time intensive roles such as being a Faculty Senate officer or leading a university committee, such as Promotion and Tenure, that has a high workload. A change may be negotiated as part of the annual review.

1. Collegiality

The role of collegiality in tenure and promotion recommendations and decisions is described at the end of this document on p. 13.

Tenure-Track and Tenured Extension Faculty

1. Outreach (95% assignment)

For tenure-track faculty working towards promotion from Assistant to Associate Professor and tenure, evidence of the following should be observed on an annual basis.

1. Plan, develop, implement, and evaluate evidence-based Extension and applied research.
2. An ongoing program of evidence-based Extension and applied research designed to benefit client groups, stakeholders, and communities.
3. Dissemination of research results and programmatic output through interaction with the wider community of outreach scholars.
4. Development and delivery of research-based educational resources (e.g., curricula, guide sheets, presentations, publications, videos, websites, and internet-based educational technologies)
5. Creation of training materials and instructional support for, as well as professional development of, Regional Extension Agents (REAs) to enable and facilitate their work with individuals, families, and communities
6. Evidence of regular internal and external grant writing activity to support Extension and applied research goals with successful receipt of funding from at least one internal or external funding source
7. Complete annual plans of work and federal reporting in the required time frame

For tenured and tenure-track faculty working towards promotion from Associate Professor to Professor (and tenure for the latter), evidence of the following should be observed on an annual basis.

1. Plan, develop, implement, and evaluate evidence-based programs and applied research
2. An ongoing program of evidence-based Extension and applied research designed to benefit client groups, stakeholders, and communities
3. Dissemination of research results and programmatic output through interaction with the wider community of outreach scholars
4. Development and delivery of research-based educational resources (e.g., curricula, guide sheets, presentations, publications, videos, websites, and internet-based educational technologies)
5. Creation of training materials and instructional support for, as well as professional development of, Regional Extension Agents (REAs) to enable and facilitate their work with individuals, families, and communities
6. Continuous effort to seek funding from internal and external sources and receipt of funding from at least one external source is expected.
7. Complete annual plans of work and federal reporting in the required time frame

Evidence should demonstrate that the faculty member has established a reputation for high quality, impactful work that has been disseminated to the community of outreach scholars, from local to national arenas, and is recognized for excellence. Evidence includes collected data that demonstrate outreach program effectiveness and/or achievement of short and/or long-term program goals.

1. Service (5% assignment)

Service activities are expected of all faculty. Assignment of specific responsibilities can be negotiated with the Department Head in consultation with the Dean. Normal service-related activities should be proportionate to a faculty members’ rank. Normal service expectations include the following: regular service on departmental and/or college committees and to ACES, and professional service to the broader Extension community. The 5% service assignment is seldom adjusted but can be discussed as part of the annual review.

1. Collegiality

The role of collegiality in tenure and promotion recommendations and decisions is described at the end of this document on p. 13.

Non-Tenure-Track Faculty: Lecturer Series

Lecturer and Senior Lecturer appointments are described in Section 3.5 of the Faculty Handbook. Instruction is the usual primary focus of lecturers and senior lecturers. In CADS, these appointments are normally 95% instruction and 5% service, and the 95% instructional appointment typically means a 9-12 credit hour teaching load for each of fall and spring semesters. The number of credit hours per semester is influenced by course type and size variations, e.g., differences between large lecture classes and two or more studio sections for a single course. The other 5% is assigned to departmental service. Appointments are contractual, initially and typically with one-year annually renewable appointments via letters of renewal. Contracts may be for up to three years.

There are two ranks in the lecturer title series, lecturer and senior lecturer. Both are nontenure-track positions. The normal entry level position is lecturer. A faculty appointment as a senior lecturer is directed at an individual who has shown outstanding teaching and service at the lecturer level. Such experience can be documented from a previous institution as well as at Auburn University. The Faculty Handbook notes that this is normally not anticipated with less than five years of experience.

CADS faculty anticipate that new faculty to be hired as a senior lecturer must present at least five years of documented outstanding teaching and service from Auburn University and/or a previous institution. A faculty appointed as a CADS lecturer may normally be considered for promotion to senior lecturer after five years of outstanding teaching and service, including that at a previous institution and then Auburn.

“Outstanding” teaching may be demonstrated through student evaluations, particularly student comments, peer evaluations, in-class assessments by Biggio Center personnel, teaching awards, and annual faculty review summaries. A lecturer seeking promotion to senior lecturer should make the request to the department head in the annual review conducted in spring semesters. The calendar for submitting promotion request documents is in the fall in conjunction with the promotion and tenure application calendar.

In CADS, promotion to senior lecturer is based on documentation of consistently outstanding teaching and service contributions to CADS, and collegiality as defined for faculty in tenure-track positions (see Promotion and Tenure section A. I.d., p. 11). A lecturer seeking promotion and/or the department head contribute to compiling a dossier consisting of the following materials: (1) standard biographical cover sheet and CV that includes a teaching philosophy statement; (2) three peer reviews of teaching at Auburn over at least two years; (3) student evaluations from at least one class per year for the preceding three years; (3) grade distributions for those courses; and (4) at least two recommendation letters from former students. This dossier is shared with the tenured faculty in a Fall Semester meeting, and a vote is taken on the request to promote to senior lecturer.

Lecturers or senior lecturers may apply for tenure-track positions via normal, faculty, dean, and provost-approved searches. The number of years in a lecturer’s position does not impact on hiring or the tenure clock.

**Annual Faculty Review**

Contributions made in teaching, scholarship, collegiality, and service as a productive and collegial member of the Department are addressed in the annual (actual rather than academic year) assessment of faculty and for tenure and/or promotion applications. The annual assessment process takes into account annual faculty activity and productivity and considers the annual contribution in the larger context of the faculty member’s body of work. Specific teaching and scholarship goals are reviewed and revised every year for each faculty member.

1. **General Guidelines**

According to the *AU Faculty Handbook,* each faculty member should undergo a formal performance review each year. In the annual review process, each component of the faculty member’s assigned distribution of effort is described according to the following prescribed evaluation levels: (1) “exemplary”, (2) “exceeds expectations”, (3) “meets expectations”, (4) “marginal”, or (5) “unacceptable.”

During each Spring Semester, the Department Head will review the work for the previous (calendar) year of each faculty member with that faculty member and prepare a Faculty Annual Review Report, usually before April 30, that will provide the basis for recommendations related to salary, promotion, tenure, re-allocation of assigned effort, reappointment, and dismissal. The period includes the spring semester of one academic year, the summer semester of that academic year (if applicable), and the fall semester of the next academic year.

The CADS Department Head conducts the annual review of each faculty member in accordance with the policies and procedures regarding the submission of materials, Annual Faculty Review Conference, and Written Faculty Annual Review Report as stated in the *AU Faculty Handbook.* Each faculty member is asked to submit an updated CV, summary of goals, accomplishments, and next year’s goals using a CHS standard form, and related materials. The Department Head has access to student evaluations and should have any peer evaluations or related teaching evaluation materials. The Department Head will take extra care with lecturers who may be eligible for promotion to senior lecturer and with tenure-track faculty who have not yet achieved tenure or promotion to associate or professor in discussing the faculty member’s job performance in relation to promotion and tenure criteria.

1. **Submission of Review Materials**

Each year tenure-track faculty and those seeking promotion are asked to submit review materials to the Department Head by early February. Tenured faculty are asked to submit the same by mid-March. Required materials include the following:

1. A current Auburn University promotion and tenure formatted dossier of accomplishments. The *AU Faculty Handbook* provides guidance as to the format.
2. The College of Human Sciences Faculty Annual Evaluation Form (see pp. 14-15), which includes the following:
   1. Specified distribution of time and effort categorized as administrative (if applicable), instructional, outreach (if applicable), research/creative scholarship, and service
   2. For the assigned work effort, summarized lists of last year’s goals and accomplishments for each of the categories for the assessment period
   3. For the assigned work effort, plans for the next assessment period
3. Digital or hard copies of published articles, images of presented juried/peer-reviewed creative scholarship, and abstracts of accepted presentations

Peer Evaluation Meetings for Tenure-Track and Tenured Faculty

Each year, tenured faculty review updated CVs of tenure-track faculty. Associate and Professors meet as a group with each Assistant Professor to review their materials; Full Professors meet with and review each Associate Professor wanting to be considered at some point for promotion. The tenured faculty’s comments for each tenure-track faculty member focus on the latter’s performance in relation to CADS promotion and tenure criteria, indicating whether the tenured faculty perceive that the tenure-track individual appears to be on track to earn promotion and tenure, as well as to provide guidance on where more or less effort should or could be placed. In the second, fourth, and fifth years, a summative evaluation reflecting the tenured faculty’s comments is prepared by the Department Head and shared with each tenure-track faculty as to whether they are perceived to be on track towards promotion and tenure. In the third year, separate anonymous votes are required by the University as to whether the tenure-track faculty is making progress such that he/she is expected to (1) be recommended for promotion and (2) be recommended for indefinite tenure after the fifth year. A written follow-up is shared by the DH with the individual. The third-year vote is submitted with the candidate’s dossier at the time it is submitted to the University.

Annual Review – Written Evaluation and Meeting with Department Head

The Department Head reviews the current and cumulative contributions and progress of each faculty member in the areas of teaching, research and/or creative scholarship, outreach, and service according to each faculty member’s assignment. The Department Head prepares a written evaluation covering the major points of his/her evaluation over the assessment period and addressing each aspect of the individual’s work assignment. This written evaluation may include reference to faculty feedback from tenured/tenure-track faculty meetings. As per the *AU Faculty Handbook*, for each assignment type, the evaluation categories are exemplary, exceeds expectations, meets expectations, marginal, or unacceptable.

The Department Head shares the written evaluation with the faculty member prior to a one-on-one meeting scheduled to discuss the assessment of performance for the review period and the faculty member’s assignment for the coming year. The discussion may include faculty feedback from the peer review meeting. In the third year, it will include results of the third-year review.

The written report is signed by the Department Head, and the faculty member is asked to sign to indicate that he/she received it. If the faculty member disagrees with the written evaluation, she/he may write a response that will be appended to the report. The signed written evaluation and response (if submitted) are due to the Dean’s Office by May 25 of each year. These are retained in the faculty member’s departmental file and the Dean’s Office personnel files.

**Promotion and Tenure**

1. **General Criteria and Considerations**

The AU *Faculty Handbook* is the final guide to the review process for promotion and tenure. The Handbook is an evolving, changing document, so faculty should refer to the latest version of the Handbook whenever preparing materials for promotion and tenure review. According to the *AU Faculty Handbook*, faculty scholarly contribution is evaluated in the areas of (A) teaching; (B) research/creative work; (C) outreach; and (D) service. The following offers guidance on the criteria for understanding performance in each of these key areas within the Department of Consumer and Design Sciences. Guidelines pertaining to due process for promotion and tenure and the documentation to be offered in support of a candidate’s application are provided in the *AU Faculty Handbook*.

1. Promotion

According to the Faculty Handbook, “Promotion is based on merit.” (Sec. 3.6.1) CADS candidates for promotion should have acceptable achievements in teaching and research/creative work, or in outreach. “A sustained period of distinctive achievement” in one of the aforementioned areas, or achievement in both teaching and research/creative work that is comparable to successful candidates in the previous five years is expected.

* 1. Teaching:

An individual should be an accomplished teacher who is well prepared, demonstrates a mastery of the fundamentals of subject matter, and shows efforts towards continued growth as a teacher. The peer reviews of colleagues, student feedback, and quality of graduate student mentoring will be important in evaluation for promotion.

Evidence of teaching effectiveness includes peer evaluations, student comments, letters from former students addressing teaching effectiveness, feedback from Biggio Center personnel evaluations, teaching awards, mentored student scholarship, innovations or products related teaching, grants related to teaching, and the faculty member’s teaching philosophy.

* 1. Research and/or Creative Scholarship:

Research or Creative Scholarship accomplishments should reflect individualized programmatic scholarly activity appropriate to the candidate’s field and area of specialization. Evidence should show a sustained record, and for collaborative efforts, at least some of output should show a leadership role. Refer to Annual Assignment of Responsibilities, B.II, for an expanded description of departmental expectations for research and/or creative scholarship.

For creative scholarship, evidence includes individual artifacts or collections juried into regional, national, or international exhibits associated with scholarly meetings or other events. Invited exhibitions that demonstrate recognition of the individual’s valued reputation also provide evidence. Whereas research output, shown, e.g., in published articles or presentation proceedings, is readily available, evidence of creative scholarship exhibitions may need to be shown in faculty portfolios of work.

* 1. An outreach program should have a clearly identifiable focus that is based on relevant basic and applied research and is established in partnership or consultation with regional and state professionals working in related areas of focus. Evidence should show a sustained record, and for collaborative efforts demonstrate an appropriate leadership role relative to defined responsibilities. Refer to the Annual Assignment of Responsibilities for Extension faculty (pp. 6-7).
  2. Service

Each faculty should have some service responsibility within the academic setting and may also have some with professional organizations. Department, college, and/or professional service is typically expected more than University service for new assistant professors. Evidence of service includes department, college, and university committees; involvement with professional organizations that are consistent with the CADS mission; service as a reviewer of scholarly presentations, manuscripts, and grants, or as a juror of creative scholarship; serving as an advisor for a student organization; and participation in student recruitment as needed.

Departmental citizenship, including cooperation with and participation in departmental initiatives, active participation in supporting departmental goals and promoting the Department’s reputation on and away from campus, will be important for tenure and promotion. These are one aspect of collegiality that is the determinant of a tenure decision.

Candidates for ***associate professor*** or promotion from ***assistant*** *to* ***associate professor*** within CADS are expected to have developed a body of work that demonstrates sustained growth and progress and that at a minimum consistently (1) meets or exceeds expectations for teaching (or outreach) and research/creative scholarship and (2) exceeds expectations in one of those roles or has achievement in both areas that is comparable to successful candidates in the previous five years. The candidate’s record must also demonstrate evidence of an emerging national reputation in their discipline. An appropriate level of service to the Department, College, and/or the University is expected.

Candidates for ***professor*** or promotion from ***associate*** *to* ***professor*** within CADS must demonstrate a respected national/international reputation in their discipline as evidenced by a sustained body of scholarly activities that continuously “exceeds departmental expectations” for scholarship. This level of accomplishment must be substantiated through internal and external peer review and recognition. Additionally, these candidates are expected to demonstrate a sustained record of successful teaching shown through exemplary or exceeds expectations ratings, teaching awards, and/or letters of support from current or former students. Also, candidates for promotion from associate to full professor rank must demonstrate active involvement and leadership in departmental, college, and university affairs. Academic Ranks and promotion are addressed in the *AU Faculty Handbook*.

1. Tenure

Academic tenure is a principle that affords the individual faculty member academic freedom in the university environment. Criteria for awarding tenure are found in the *AU Faculty Handbook.*

Collegiality

Collegiality is defined in the *AU Faculty Handbook.* Collegiality is one of the primary appraisal factors in tenure decisions and is judged at the departmental level by tenured departmental faculty. Within CADS collegiality is understood to include participation in shared governance of the unit and professional interaction with faculty, staff, and students. Examples include but are not limited to: regular and constructive participation in faculty meetings and committees and/or task forces, participation in activities related to peer review and faculty recruitment, and professional interaction with external constituencies.

1. **Review Processes—Third Year Review, Tenure and Promotion**
2. Third Year Review

In addition to the annual assessment process as described in the *AU Faculty Handbook,* candidates on tenure track appointments must be reviewed by their tenured faculty peers in the third year of their fulltime appointment. The focus of the review is progress towards promotion and tenure. A secret vote is taken by all tenured faculty present at the meeting, and the Department Head meets with the candidate and provides a summary of the assessment. See *AU Faculty Handbook* for guidelines for the third-year review.

1. Tenure and Promotion

Both an internal peer review at the department level and an external peer review for all candidates petitioning for tenure and/or promotion to either Associate or Full Professor rank. See *AU Faculty Handbook* for guidelines regarding the process, procedures, materials and format to be used when preparing promotion and tenure dossiers. The *AU Faculty Handbook* describes the timeline, procedures, and components of the external and internal peer review processes required for promotion and tenure review. The *AU Faculty Handbook* also describes the process for notification of the candidate regarding the decisions for promotion and/or tenure, the opportunities for rebuttal by the candidate, and the due process for appealing a tenure and/or promotion decision.

**FACULTY SUMMARY FOR ANNUAL REVIEW**

**INSTRUCTION**

Question 1

Enter percent of Instructional assignment during the last year.

Question 2

Indicate the courses you taught during the past year. Include semester, name of course, credit hours, enrollment, and average evaluation.

Question 3

Indicate the graduate students on whose committee you served last year. List committees you chair first followed by committees on which you served as a member. Include student name, MS or Ph.D. status, chair name, proposal date, expected defense date.

Question 4

What were your Instructional goals for the past year? (copy from the preceding year’s worksheet)

Question 5

Of the goals listed in #4, which goals did you achieve, and what were your major accomplishments?

Question 6

Of the goals listed in #4, which were not achieved?

Question 7

What support would have helped you to reach your goals?

Question 8

What are your goals for the next year?

Question 9

Comments and/or additional information

**RESEARCH**

Question 1

Enter percent of Research assignment during the last year.

Question 2  
What were your Research goals for the past year? (copy from the preceding year’s worksheet)

Question 3

Of the goals listed in #2 which goals did you achieve, what were your major accomplishments? Please give full listing for all publications you produced in the previous year (e.g., refereed journal articles, abstracts, book chapters) and/or exhibitions of creative scholarship. Publication and exhibition dates must be within the last calendar year. List any new grants received in the past year. Indicate the dollar amount of the grant and whether you were the PI or Co-PI.

Question 4

Of the goals listen in #2, which were not achieved?

Question 5

What support would have helped you to reach your goals?

Question 6

What are your goals for next year?

Question 7

Comments and/or additional information.

**SERVICE**

Question 1

Enter percent of Service assignment during the last year.

Question 2

What were your Service goals for the past year? (copy from preceding year’s worksheet)

Question 3

Of the goals listed in #2, which goals did you achieve and what were your major accomplishments (e.g., Dept., College, University and local, state, national service)?

Question 4

Of the goals listed in #2, which were not achieved?

Question 5

What support would have helped you to reach your goals?

Question 6

What are your goals for next year?

Question 7

Comments and/or additional information (includes participation in workshops, institutes, courses, internships and/or consulting to upgrade professional skills).