

Guidelines on Allocation of Effort, Annual Review, Promotion and Tenure for Tenure Track Faculty

Department of Consumer Affairs

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College of Human Sciences

Department of Consumer Affairs (CAHS)

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Introduction

A. Background

The Department of Consumer Affairs (CAHS) values and supports the creation and dissemination of knowledge through the activities of its academic faculty including research, instruction, outreach and service. In its continuing pursuit of excellence in each of these key activities the Department has deemed it necessary to identify and establish guidelines for the establishment of equitable allocation of faculty effort, annual assessment, and promotion and tenure. The CAHS Guidelines are supplemental to the *Auburn University Faculty Handbook and AU policies*, and accordingly may be reviewed, revised and updated periodically in response to changes in the *Auburn University Faculty Handbook, AU policies*, or to relevant CAHS criteria.

B. Purpose

The purpose of these guidelines is threefold:

- I. To ensure an equitable allocation of faculty assigned effort across the different disciplines within the department;
- II. To ensure faculty and departmental accountability in relation to agreed upon annual allocation of faculty assigned effort; and
- III. 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.

C. Key Stakeholders

Key stakeholders with an interest in this document include CAHS 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 CAHS 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.

D. Intent

It is intended that these guidelines will serve as a guide for CAHS tenure track faculty discussions on the issues of allocation of assigned faculty effort, the annual review process, and promotion and tenure. The document is not designed to lead discussions on any such matter; rather it is to be viewed as a catalyst to discussion in the development of a fair, equitable and totally transparent set of departmental guidelines.

Annual Assignment of Responsibilities

A. Description of Assigned Responsibilities

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

B. Composition of Assigned Faculty Responsibilities

Normal distribution of effort or assignment of faculty responsibilities is comprised of the broad areas of research, instruction (including student advising and recruiting), outreach 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 in consultation with the Dean’s office. Appointments and assignment of responsibilities are reevaluated each year during the faculty annual review. 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 related activity, and 5% for service. Service includes departmental, college, and university service, as well as professional service responsibilities. Where faculty have an outreach assignment, their % time allocation will be reflective of the salary component (%) awarded for this type of activity. 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 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.

I. Research and creative scholarship (25% assignment)

Auburn University is a research university, therefore research and scholarly activities are expected of all tenure-track and tenured faculty as part of the normal distribution of effort within the Department of Consumer Affairs. A tenure-track or tenured faculty member’s research and creative scholarship activities as a component of assigned responsibilities will be negotiated annually with the Department Head in consultation with the Dean as part of the normal annual review process. The normal faculty research /creative scholarship assignment equates to 25% of the total assignment. Research and creative scholarship is demonstrated in various forums including, but not limited to, regular peer-reviewed publication/exhibition in one’s discipline area, grantsmanship activity including grants written and grants funded, presentations and exhibitions at annual and professional meetings, assignment of intellectual property rights such as copyrights and patents,

and professional recognitions or positions/offices. Greater weight shall be given to peer-reviewed publications or exhibitions in highly selective venues and successful grant writing activity during the annual review process. Interdisciplinary research resulting in grants, publications and presentations is encouraged and should be documented. Reasonable departmental expectations of faculty on a 25% research and creative scholarship assignment include:

- a) Tenure track faculty – the establishment of a research/creative scholarship agenda of demonstrated merit to the university, college and department’s mission, an average of 1.5 peer reviewed publications or exhibitions per year; presentations and exhibitions at national and international professional meetings, and evidence of internal and external grant writing activity.
- b) Tenured faculty – an average of 1.5 peer reviewed publications or exhibitions per year, at least one of which is “high impact” (define terms), presentation and exhibition at national or international professional meetings, and evidence of continuing successful external grant writing activity.

Distribution of assigned effort may be renegotiated annually during the normal annual review process for research and creative scholarship activity based upon the individual faculty member’s annual research/creative scholarship plan. This must be discussed and approved by the Department Head and by the Dean of the College before any change in distribution of effort is granted. Progress will be monitored annually as part of the normal annual review to determine whether proposed accomplishments justify continuing the assigned distribution of effort.

II. Instruction (70% assignment)

Teaching is expected of all departmental faculty. An individual faculty member’s teaching activity as a component of assigned responsibility will be negotiated with the Department Head in consultation with the Dean during the normal annual review. Participation in international teaching-related activities is encouraged and should be negotiated with the Department Head and documented in the dossier. Normal CAHS departmental expectations in relation to the area of instruction include the following:

- a) The standard course is delivered within a classroom, bears 3-4 credit hours and is taught by one faculty member.
- b) The normal full-time (100%) teaching load is 24 semester credit hours for each academic year (fall and spring) – in other words 12 credit hours per semester.
- c) A typical appointment for a 9 month tenure-track or tenured CAHS faculty member is 60% teaching or 6-8 credit hours per semester for a total of 12-16 credit hours per academic year.
- d) Where a faculty member is responsible for delivering a laboratory/studio type class, equated teaching load credit will be assigned on a 2 contact hours equals 1 hour teaching load credit basis.
- e) Faculty teaching load credit is not given for individualized instruction (e.g., directed readings, special problems, graduate student direction).
- f) Any variation in the standard teaching load and/or standard course (i.e., 2-1, or 1-1) reflects conditions of the original hire, or is the result of negotiations with the Department Head in consultation with the Dean of the College.

- g) Department Heads in consultation with the Dean of the College are responsible for determining the need for, and negotiating the terms of, teaching overloads. The College of Human Sciences does not provide additional compensation for teaching overloads.
- h) Summer teaching appointments are available for some faculty members. Eligibility for summer teaching appointments is determined by the Department Head. The CAHS 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 at least break even when comparing student enrollment with faculty salary. No faculty load credit will be given for individualized instruction (e.g., special problems, graduate student advising) over the summer term.
- i) Teaching loads are further addressed in *AU Faculty Handbook*.

As a part of their instructional assignment all faculty are expected to give approximately 10% of their time to student advisement and recruiting. Advisement relates to both classroom based activity, program advisement, and graduate student advising. Normal departmental expectations in relation to student advising relate to the following:

- a) Faculty members shall post and keep normal office hours.
- b) Faculty members will set aside at least 3 hours per week for student advisement activities .
- c) Faculty members will ensure that an appropriate plan of study is prepared in consultation with each student assigned to help ensure timely graduation.
- d) Faculty members will monitor student advisee progress towards on-track graduation.
- e) Faculty members will work with the Office of Academic Affairs within the College of Human Sciences to overcome exceptional student circumstances.

III. University Service (5% assignment)

Service activities are expected of all faculty and specific service activities as a component of assigned responsibilities will be negotiated with the Department Head in consultation with the Dean. Normal service related activities must be proportionate to a faculty members' rank. Normal departmental service expectations include: regular service on a variety of departmental, college and university committees, mentoring and service to one's profession and academic community. Adjustments in assignment of effort may be negotiated as part of the annual review for major service roles such as Chairing Faculty Senate, University Promotion and Tenure Committee etc.

Annual Faculty Review

Teaching, scholarship, collegiality, and service are addressed as part of the annual assessment of faculty and for tenure and/or promotion applications. The annual assessment process takes into account yearly faculty activity and productivity and considers the yearly 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 and assigned distribution of effort may be renegotiated based upon achieved goals in the preceding year.

A. General Guidelines

According to the *AU Faculty Handbook*, each faculty member should undergo a formal performance review each year. The Department Head will conduct the review and prepare the subsequent Faculty Annual Review Report which will provide the basis for recommendations related to salary, promotion, tenure, re-allocation of assigned effort, reappointment and dismissal. The annual assessment cycle is based on the calendar year. This period includes the spring semester of one academic year, the summer semester of that academic year if applicable, and the next fall semester of the following academic year. The CAHS Department Head will conduct 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*.

Promotion and Tenure

A. 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 scholarship in each of these key areas within the Department of Consumer Affairs. 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*.

I. Promotion

Promotion is based on meritorious performance and scholarly activity in the areas of research/creative work and teaching and/or outreach. Each component of the faculty member's assigned distribution of effort is evaluated on the basis of the CAHS scholarship evaluation levels of (1) "exemplary," (2) "exceeds expectations," (3) "meets expectations," (4) "marginal," or (5) "unacceptable." Candidates for promotion from **assistant to associate professor** within CAHS are expected to develop a body of work that demonstrates consistent growth and progress that consistently "meets or exceeds department expectations" for scholarship related to one or more areas of a candidate's appointment (teaching, research or outreach) along with an appropriate level of service to the Department, College, and/or the University. The candidate must also demonstrate evidence of an emerging national/international reputation in their discipline and of the potential to ultimately advance to full professor rank. This level of accomplishment must be substantiated through internal and external peer review and recognition.

Candidates for promotion from **associate to full professor** within CAHS 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. In addition, candidates for promotion from associate to full professor rank must demonstrate active involvement and leadership in departmental, school or college, and university affairs. Academic Ranks and promotion are addressed in the *AU Faculty Handbook*.

II. 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 CAHS 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, participation in activities related to peer review and faculty recruitment, and professional interaction with external constituencies.

B. Review Processes—Third Year Review , Tenure and Promotion

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 and again when the candidate initiates the process of application for tenure and promotion. See *AU Faculty Handbook* for guidelines for the third year review.

CAHS requires 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.