



AUBURN UNIVERSITY

COLLEGE OF LIBERAL ARTS

GUIDELINES

Communication Disorders Department

Workload
Faculty Annual Review
Third-Year Review
Promotion and Tenure

09/01/16

POLICIES for Provost

FACULTY DEVELOPMENT, ANNUAL REVIEW, AND PROMOTION AND TENURE GUIDELINES

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The Department of Communication Disorders Faculty Development and Evaluation Manual supplements and complements the Auburn University Faculty Handbook and College of Liberal Arts guidelines. Since the basic and fundamental review of faculty takes place within the department, the purpose of these guidelines is to describe and elaborate upon the criteria and guidelines for faculty assignments, faculty evaluation, and promotion and tenure at the departmental level. Department guidelines are intended to conform to those of the Auburn University Faculty Handbook (revised 6/17/11) and the College of Liberal Arts. Therefore, it is important for faculty to study carefully the criteria, requirements, and procedures outlined in these guidelines and in the University and College documents. In event of conflict among documents, their precedence is University, College, Department. Any reference to the Faculty Handbook in this document refers to the current version.

The Department of Communication Disorders faculty evaluation process is intended to guide faculty toward enhanced success; clarify faculty goals; inform annual assignments that reflect the short and long-term vision of the department; include faculty in discussions and decisions; and provide consistent and clear criteria for promotion and tenure recommendations, as applicable.

The faculty evaluation process in the College of Liberal Arts includes several components, among them the letter of appointment, annual workload assignment, and annual performance reviews and feedback. Tenure track and Clinical track positions include provision for promotion review. Tenure track faculty are subject to a third-year review to determine the extent to which the individual is making clear progress toward tenure. Failure to demonstrate clear progress in teaching, research, outreach, and service (as applicable to the faculty member's assignment) may lead to the issuance of a letter of non-continuance at any time before tenure. The focus of the third-year review for clinical track faculty is the faculty member's progress toward achieving promotion to associate clinical professor, yet still recognizing that clinical faculty are on continuing appointments that necessitate annual contract renewal. Failure to demonstrate clear progress in assigned areas of performance (such as clinical teaching, clinical outreach, service, scholarship, professional development) may lead to the issuance of a letter of non-continuance, effective at the conclusion of the annual contract in force.

Reference to "Tenure track" faculty in this document includes tenured faculty, unless otherwise noted. The

Appointment Letter

The appointment letter defines broad expectations of the position, including percentages of the assignment allocated to teaching, research, outreach, and service. Examples of appointment letters may be found at the following URL: https://sites.auburn.edu/academic/COLA/CLA_Dean/cladeptguidelines/SitePages/Home.aspx

Annual Workload Assignment

Annual faculty assignments reflect that faculty members working in various disciplines contribute in different ways. Annual assignment plans reflect collaborative discussion between faculty and department chair. They provide opportunity to review progress, set goals, guide faculty toward success, and clarify metrics of evaluation. All Tenure track faculty, Clinical track faculty, Non-Tenure track faculty, Instructors, and Lecturers should participate in formalized annual assignment planning and feedback.

The College of Liberal Arts Workload Guidelines state:

Initial workload assignments for tenure-track faculty (TTF) are negotiated upon hire, and are distributed across all areas of responsibility; teaching, research/creative scholarly works, outreach, extension and service. Occasionally, administrative duties may also be included as a percent of a faculty member's workload if it is part of their normal assignment. Workload assignments may be adjusted on an annual basis during the annual review process to reflect any changes in a faculty member's assignment for the following year. The department head/chair meets with each faculty member during the faculty annual review process to discuss and negotiate anticipated workload changes. The faculty member signs the annual review which includes the stated workload assignment for the following year to assure that every faculty member is aware of his/her responsibilities. The original signed annual review is to be kept in the departmental personnel file. Three copies are to be submitted to the Office of the Dean (one copy will be kept on file in the Dean's Office, one

copy will be placed in the CLA's faculty personnel file and one copy will be delivered to the Office of the Provost).

Description of Types of Faculty Positions

Tenure Track Faculty (TTF)

The "typical" annual teaching assignment for "research active" TTF is 5 courses¹ (or department FTE equivalent) equaling 62.5% per year. Consistent with university guidelines, all research active TTF are assigned a minimum 25% research/creative/scholarly outreach² workload for promotion and tenure purposes. The annual teaching assignment for "highly productive" research TTF is 4 courses³ (or department FTE equivalent) equaling 50% per year. The status of highly productive research TTF requires the approval of the Dean. In situations where a tenured associate professor or professor is not fulfilling a 25% requirement for scholarly activity, the department chair will provide a memorandum of understanding (MOU) to ensure that a tenured faculty member has a 100% workload. In this case, the faculty member would be assigned a differential workload with a minimum of 10% research, in order to stay current in the field for teaching purposes. It is expected that the faculty member will receive an increase in the teaching load, with the understanding that he/she cannot be promoted just on teaching. Research productivity will be considered over a 3 year period. If a faculty member is not research productive for 3 years, then there will be an increase in the teaching load proportionally. During that 3-year period, if he/she does become productive and demonstrates that he/she can be productive for 3 years in research, then there will be a reduction in the teaching load to acknowledge the increase in research.

Clinical Track Faculty (CTF)

CTF are generally assigned teaching loads ranging from 5-8 courses a year (or department FTE equivalent). There is not a minimum research workload requirement. According to AU guidelines⁴ the clinician title series is a professional series for appointment of appropriately qualified individuals who contribute to the university's academic mission by participation in activities which (1) predominantly involve clinical practice, (2) are of contractually specified duration, and (3) operate under contracts, grants, generated income, or other designated funds. Note, however, that CTF are expected to teach in the clinical setting.

Instructors/Lecturers

Instructors and Lecturers will be assigned 100% teaching loads of 8 courses per year. Any exceptions will need approval by the Dean. In addition to the definition of teaching stated in the faculty handbook, teaching in CLA includes: holding regular office hours, mentoring and advising students, keeping current in the field, attendance of departmental meetings relevant to teaching, participating in departmental life and the engagement of students.

Non-Tenure-Track Faculty (NTTF – as designated by HR)

NTTF may be assigned some teaching; but it cannot exceed one course per semester and three courses per year.

Appendix 1 outlines the university's expectations for teaching, research, outreach, and service.

¹ A course is defined as a 3 contact hour course.

² "In terms of your questions, it is my understanding that the former Provost said that a tenure track faculty member on hire must have a minimum of 25% research, scholarship of pedagogy or outreach, or creative activity. Therefore, I will continue that tradition."
- Email from Dr. Mazey sent to Paula Bobrowski 5/10/2009.

³ Ibid.

⁴ http://www.auburn.edu/academic/provost/clinician_positions.html#appointment

Workload adjustment for sabbaticals and leaves. Faculty on sabbatical or professional development leave related to teaching would normally be evaluated as a temporary 100% teaching appointment for leave extending across the evaluation period. Faculty on sabbatical or professional development leave related to research would normally be evaluated as a temporary 100% research appointment for leave extending across the evaluation period. A similar allocation may apply for other types of leave. In any case, the evaluation metrics must add up to 100% and factor in the faculty member's regular appointment during the portion of the review period not on leave.

See Appendices 2-A and 2-B for Departmental Workplace Plans. Annual

Performance Reviews and Feedback

The annual review serves as a tool for faculty development at all ranks, regardless of tenure status.

All faculty receive annual evaluations. All Tenure Track faculty, Clinical Track faculty, and Non-Tenure Track faculty should participate in a formalized annual review process. Instructors and Lecturers will normally participate in this process.

Performance Descriptors. The annual review of performance in each area to which one is assigned will be assessed a performance score of 4 - Exemplary (characterizing performance of high merit), 3 - Exceeds Expectations (characterizing performance of merit), 2 - Meets Expectations (characterizing performance sufficient to justify continuation but, for areas of expected significant contribution, not sufficient to justify promotion or tenure), 1 - Marginal (characterizing performance that may not be sufficient to justify continuation) or 0 - Unacceptable (characterizing performance not sufficient to justify continuation).

See Appendix 3 for Workload Distribution and Performance Review Chart.

The annual review normally covers performance for the preceding calendar year. Research productivity will be considered over a 3-year period. Evaluative statements from previous years will be consulted to determine response to previous suggestions for improvement and to determine the extent to which the individual is making progress toward promotion and tenure, if applicable, to their appointment.

See Appendices 4-A and 4-B for Departmental Annual Review Guidelines.

Written evaluation report

The AU Faculty Handbook states:

The unit head shall prepare a written report summarizing the major points of the conference. A copy of the report shall be provided to the faculty member within a month of the conference. If there are no objections, the faculty member shall be asked to sign it as confirmation of having seen it. If the faculty member does not agree with the material in the report, he or she may write a response to be appended to the report. A copy of the signed report and response, if there is one, is to be retained for the faculty member's departmental personnel file; another copy is to be given to the faculty member; a third copy is sent to the Office of the Provost. To the extent permitted by law, the report is to remain confidential, available only for the use of the concerned faculty member and any University officials who have supervisory power over the faculty member.

Third-Year Review

The AU Faculty Handbook states:

Each department shall conduct a third year review of all its probationary faculty members. This shall take place no later than 32 months after initial appointment, normally before April 30 of the faculty member's third year. The head shall request a current vita and any supporting material the head or the faculty member deems appropriate prior to the review. The particular focus of this review is the faculty member's progress toward achieving tenure. The review therefore must address the criteria for tenure set forth in this document. To be maximally useful to the candidate and the department, the review shall involve the entire tenured faculty. In order for it to accurately reveal the judgment of tenured faculty, it shall conclude with a vote on whether or not, in the judgment of the tenured faculty, the candidate is making appropriate progress toward tenure. The result of the vote shall be announced at the meeting. Faculty should understand that this vote is not a commitment to grant or deny tenure in the future.

The head shall prepare a written report covering the findings of the review, and characterizing the nature of the vote. The procedure described above for the report on the yearly conference shall be followed, with the difference that this report may be consulted by the tenured faculty when the faculty member is a candidate for tenure; otherwise, the report is to remain confidential [to the extent allowable by law].

See Appendix 5 for Departmental Pre-Tenure (Third-Year) Review Guidelines.

Promotion and Tenure Review

The AU Faculty Handbook states:

Promotion is based on merit. A candidate for promotion should have acceptable achievements in the areas of 1) teaching and/or outreach and 2) research/creative work. He or she is further expected to demonstrate over a sustained period distinctive achievement in one of these areas or achievement in both areas comparable to that of successful candidates in the discipline in the past five years. In addition, he or she is expected to have contributed some service to the University. Candidates covered by Provost approved departmental promotion and tenure guidelines will be evaluated accordingly. For candidates not covered by Provost approved departmental promotion and tenure guidelines, the criteria for teaching, research/creative work, and outreach described below [see Appendix 1] shall be considered by the faculty in the evaluation of a candidate's performance and achievement. The candidate's employment conditions and academic assignments shall determine which criteria are most emphasized, and standards for promotion are based on the weights of each performance area as described in the letter of offer and subsequent annual evaluations. Credit shall also be given for contributions above and beyond specifically assigned duties.

Appendix 1 outlines the university's expectations for teaching, research, outreach, and service. Regarding tenure, the AU Faculty Handbook states:

Auburn University nurtures and defends the concept of academic tenure which assures each faculty member freedom, without jeopardy at the department, college or school, or University level, to criticize and advocate changes in existing theories, beliefs, programs, policies, and institutions and guarantees faculty members the right to support, without jeopardy, any colleague whose academic freedom is threatened. Tenure establishes an environment in which truth can be sought and expressed in one's teaching, research/creative work, outreach work, and service. In addition to demonstrating quality in the areas of 1) teaching, 2) research/creative work, 3) outreach and 4) service as described above under Promotion Criteria and, where applicable, in approved departmental guidelines, the candidate for tenure must also demonstrate potential to contribute as a productive and collegial member of the academic unit in all relevant areas.

Candidates for promotion and tenure should carefully read the Promotion and Tenure policies found in the AU Faculty Handbook. A timeline for the candidate's submission of materials for evaluation for promotion and tenure will be established each year by the Office of the Provost.

See Appendices 6-A and 6-B for Departmental Promotion and Tenure Policies.

Post-Tenure Review

Tenured faculty at Auburn are subject to post-tenure review as outlined on the Provost's website at the following URL: http://www.auburn.edu/academic/provost/policies/2009-11_post-tenured-review-policy.pdf

Appendix 1

Auburn University's Expectations for Teaching, Research, Outreach, and Service

Teaching

The AU Faculty Handbook states:

Since a primary activity of the University is the instruction of students, careful evaluation of teaching is essential. Because of the difficulty of evaluating teaching effectiveness, faculty members are urged to consider as many relevant measures as possible in appraising the candidate. These include consideration of the candidate's knowledge of the subject and his or her professional growth in the field of specialization; the candidate's own statement of his or her teaching philosophy; the quality of the candidate's teaching as indicated by peer and student evaluations and teaching awards; performance of the candidate's students on standardized tests or in subsequent classes; the candidate's contributions to the academic advising of students; the candidate's development of new courses and curricula; the quality of the candidate's direction of dissertations, theses, independent study projects, etc.; and the quality of pedagogical material published by the candidate.

Research/Creative Work

The AU Faculty Handbook states:

A faculty member engaged in research/creative work has an obligation to contribute to his or her discipline through applied and/or basic research, through creative endeavors, or through interpretive scholarship. To a large extent, each discipline and each department must determine how much and what quality of research/creative work is appropriate for promotion (and/or tenure) and judge its candidates accordingly. In appraising the candidate's work, faculty members should consider the quality and significance of the work, the quality of the outlet for publication or exhibition, and, in cases of collaborative work, the role of the candidate.

Research and creative work ordinarily can be documented by a candidate's publications or performances/exhibitions. Publication subjected to critical review by other scholars as a condition of publication should carry more weight than publication that is not refereed. Nevertheless, all forms of publication, including articles intended for a non-academic audience, should be considered provided they are of high quality in relation to the purpose intended. Scholarly papers subjected to peer review and delivered at a regional or national conference and creative work subjected to peer review and performed or exhibited on a regional or national level should carry more weight than work done only on a local level. Successful efforts in obtaining extramural support for research/creative work (as well as for teaching and outreach programs) should also be positively considered in evaluation of the candidate.

Outreach

The AU Faculty Handbook states:

Outreach refers to the function of applying academic expertise to the direct benefit of external audiences in support of university and unit missions. A faculty endeavor may be regarded as outreach scholarship for purposes of tenure and promotion if all the following conditions are met: 1) there is a substantive link with significant human needs and societal problems, issues, or concerns; 2) there is a direct application of knowledge to significant human needs and societal problems, issues, or concerns; 3) there is utilization of the faculty member's academic and professional expertise; 4) the ultimate purpose is for the public or common good; 5) new knowledge is generated for the discipline and/or the audience or clientele; and 6) there is a clear link/relationship between the program/activities and an appropriate academic unit's mission. Outreach is not expected of all faculty. Participation in this function varies from major, continuing commitments, as is the case with the Alabama Cooperative Extension System, through intermittent engagement for individual faculty as needs and opportunities for a particular expertise arise, to no involvement at all.

The commitment of faculty time to outreach is a decision to be made by the faculty member with the approval of the department in which the faculty member will seek tenure and/or promotion. It may be accomplished in the initial appointment, as is typically the case for Extension faculty, in annual work plans, or during the year in response to unexpected needs. In any case, this decision should be made

with due consideration to the professional development of the faculty member, the expected public benefits of the outreach activities, and mission of the department and/or other supporting units. Departmental approval carries a commitment to assess and appropriately weigh outreach contributions in salary, tenure, and promotion recommendations.

Demands for quality in outreach are the same as in teaching and research/creative work; however, outreach activities are different in nature from other activities and must be evaluated accordingly. See Appendix 1 of Faculty Participation in Outreach Scholarship: An Assessment Model, which is available along with other publications on the assessment of outreach under "Outreach Publications" on the University web site. Department heads should request any material necessary from the candidate to facilitate faculty assessment of the type, quality, and effectiveness of the candidate's involvement in extension activities and evaluation of any resulting publications.

Service

The AU Faculty Handbook states:

University service includes participating in departmental, college or school, and University governance and committee work, assisting in the recruitment of new faculty, and developing and assisting in the implementation of new academic programs. Faculty should note particularly distinctive contributions to University life on the part of the candidate, including service to the candidate's profession, such as offices held and committee assignments performed for professional associations and learned societies; and editorships and the refereeing of manuscripts.

Appendix 2 A and B

Departmental Workload Guidelines

Appendix 2-A

Workload Guidelines: For Tenure Track Faculty

Full Teaching Load Definition April 2, 2007 Communication Disorders

The Department of Communication Disorders currently operates under the following system for determining teaching loads for its academic faculty. This statement does not apply to 12-month clinical faculty.

Premise: Courses are worth 3 credits each.

A faculty member with a 100% teaching assignment would be expected to teach 8 courses (or 24 credits) each academic year. This could be expressed as a 4 – 4 load with 4 courses during the fall and 4 courses during the spring. Summer instruction is unrelated. Such a load however is hypothetical as the *Faculty Handbook* stipulates that tenured/tenure track faculty participate to some extent in each of the three areas of Instruction, Research, and Service with Outreach as a fourth option.

An instructional assignment of 100% should not be made for a tenured/tenure track faculty member.

The department does not hire full-time (100%) instructors but if it did, a full time instructor would be expected to carry a 4 – 4 teaching load. Often, however, the department bases partial loads and salaries for part-time instructors using this rubric.

Since the *Faculty Handbook* expects tenured/tenure track faculty to be engaged in Research and Service (and possibly Outreach), the hypothetical teaching load of 8 courses per academic year is adjusted downward to reflect the level of effort devoted to these other endeavors.

The typical teaching load for “research active” faculty in the Department of Communication Disorders is set at 15 credit hours per academic year. This often is distributed as either a 2 – 3 load or a 3 – 2 load but other distributions may be considered. Five courses (or course equivalents such as clinic) is equal to (12.5% x 5) 62.5% and an additional 7.5% load is allocated for advising a section of majors and student projects (capstone, thesis, directed study). The typical Instructional load, then, is 70%.

According to the Provost, faculty should reflect a research engagement of at least 25%. It is incumbent upon the department chair to insure that this 25% research assignment results in *research productivity* (such as publications and presentations). Tenure track faculty must be productive at this minimal level. Tenured faculty who cease to be productive at this level will be reduced in research release to no lower than 10% research assignment. When faculty are not “research active,” as determined at an annual evaluation if not apparent sooner, **the department chair is expected to increase either the course teaching load, the service requirements, or both to offset the degree of scholarship inactivity.**

The teaching load for the upcoming year is to be discussed and negotiated at each annual evaluative conference. The resulting percent distribution of effort is then codified in writing as required by the

Faculty Handbook.

Faculty members may negotiate adjustments in their distribution of effort within the areas of Instruction, Research, Service and possibly Outreach. In particular, the teaching load may be adjusted downward for events such as gaining a significant grant or by taking on a key national post within a professional organization. **In summary, the typical tenure track faculty (not clinical faculty) load is 70% Instruction, 25% Research, and 5% Service. This can be adjusted and Outreach is an option, in keeping with the *Faculty Handbook*. Workload assignments are reviewed annually and set for the upcoming year.**

Appendix 2-B

Workload Guidelines: For Clinical, Non-Tenure Track, Faculty

(In use since 2007; modified/ratified by faculty December, 2009)

Auburn University’s clinical career ladder shapes the basis of the workload guidelines for full- time audiologists and speech-language pathologists within the Department of Communication Disorders’ Clinic. The clinical career track recognizes the importance of clinical faculty supervising students’ work with patients and in generating income from these patient services. Clinic income is necessary to the operation and maintenance budget of the department. Clinical teaching therefore is front and center in the job description of clinical faculty.

Clinical job assignments, totaling 100%, are as follows.

| | |
|--------------------------|--------------------------------|
| Teaching | 80% (32 hours/week) |
| Service | 10% (4 hours/week) |
| Clinic Outreach | 5% (2 hours/week, on average) |
| Scholarship | 2.5% (1 hour/week, on average) |
| Professional Development | 2.5% (1 hour/week, on average) |
| TOTAL | 100% (40-hour work week) |

(Note: Refer to Annual Review Guidelines for explanations per category.)

Appendices 4 A & B

Departmental Annual Review Guidelines

Appendix 4-A

Annual Faculty Assessment (Condensed): For Tenure Track Faculty

The Department of Communication Disorders has on file the 1995 (with scoring modifications) Process for Annual Evaluation with the Chair. This process for tenure track faculty (not clinical faculty) follows regulations specified in the *Faculty Handbook* yet also provides particulars regarding the department's execution of that process using a scoring rubric that sets a basal and then assigns points for performance. The detailed form is available in the department for inspection and faculty have a copy. A summary follows.

Instruction:

Set the Instruction basal based on average teaching performance ratings from the university's IAS student course evaluations:

| | |
|-----------------------|--|
| Exemplary Performance | scores at least 3.25 in top IAS categories |
| Exceeds Expectations | scores 2.25 – 3.24 |
| Meets Expectations | scores 1.75 – 2.24 |
| Marginal | scores 0.75 – 1.74 |
| Unacceptable | scores 0 - .74 |

Add .1 to basal for instructional activities such as: direction of theses, capstone, independent study; award of teaching grant, teaching award, peer evaluation at or above 4.5, documented innovative teaching, and other. Total basal plus points and multiply by weighting factor (usually 70%) for final Instruction rating.

Research:

Set the Research basal based on detailed rubric per departmental instructions. The basal establishes the category of:

| | |
|------------------------|---------------|
| Exemplary Performances | score of 3.25 |
| Exceeds Expectations | scores 2.25 |
| Meets Expectations | scores 1.75 |
| Marginal | scores 0.75 |
| Unacceptable | scores 0 |

Add .1 to basal for research activities (e.g. publications, presentations, published/in press versus submitted, etc.) Total basal plus points and multiply by weighting factor (usually 25%) for final Research rating.

Set the Service basal based on detailed rubric per departmental instructions. The basal establishes the category of:

| | |
|------------------------|---------------|
| Exemplary Performances | score of 3.25 |
| Exceeds Expectations | scores 2.25 |
| Meets Expectations | scores 1.75 |
| Marginal | scores 0.75 |
| Unacceptable | scores 0 |

Add .1 to basal for service activities beyond the basal (e.g. internal or external committees, editorial reviews, professional offices). Total basal plus points and multiply by weighting factor (usually 5%) for final Service rating.

Outreach:

If this option is used, follow similar procedures as described above.

For overall performance rating, total the final weighted values from Teaching, Research, Service, and Outreach (if any). Apply the closest performance value as:

| | |
|------------------------|---|
| Exemplary Performances | 4 |
| Exceeds Expectations | 3 |
| Meets Expectations | 2 |
| Marginal | 1 |
| Unacceptable | 0 |

(Note: These annual ratings are instrumental in the allocation of any Merit Pay.)

A tenure-track faculty member may be issued a letter of non-continuation at any time prior to tenure, in accordance with the *Faculty Handbook*.

Appendix 4-B Annual Faculty Assessment (Condensed): For Clinical Faculty

The Department of Communication Disorders has on file the 1995/**Revised 2016** Process for Annual Evaluation of Clinical Track Faculty with the Chair. This process follows regulations specified in the *Clinical Title Series* attached to the *Faculty Handbook*. It also delineates specific performance activities expected of clinical faculty per rank. This condensed document is a multi-purpose template for annual performance reviews, and an assessment for promotion readiness. The job responsibilities assigned to Clinical Faculty and how performance is rated across all aspects of the clinical faculty member's job: **Approved 9/1/16; use begins calendar year 2017.**

CMDS CLINICAL FACULTY ANNUAL PERFORMANCE ASSESSMENT by Department Chair

FACULTY _____ YEAR _____

I. CLINICAL TEACHING [90% or 36 hours] Includes Clinical Teaching (supervision of clinical practicum, NSSLHA screening, screening activities at AUSHC, student meetings, related documentation); Service Learning (student supervision during off-campus clinical activities; for example, Children's Rehabilitation Service, Head Start, AU Outreach in Guatemala, City of Auburn Senior programs, Day Care centers, AU Child Study Center); Direct Service Delivery (includes provision of clinical services independently during the semester and/or semester break, on as needed basis, when student clinicians are not available and/or to continue patient continuity of care; include evaluation, therapy sessions, hearing aid walk-in clinic); Outreach (as described in the Faculty Handbook, "outreach refers to the function of applying academic expertise to the direct of external audiences in support of university and unit missions")

- A. Client caseload, clinical teaching, service learning, direct service delivery, and outreach
 - a. 4 = exemplary (40 + hours) 3.3 basal
 - b. 3 = exceeds expectations (37 – 39.5 hours) 2.3 basal
 - c. 2 = meets expectations (34 -36.5 hours) 1.3 basal
 - d. 1 = marginal (31 - 33 hours) 0.75 basal
 - e. 0 = unacceptable (<30 hours) 0 basal

- B. Student ratings (clinical supervision)
 - a. 0.3 = exemplary (>66% strongly agree)
 - b. 0.2 = exceeds expectations (40-65% strongly agree)
 - c. 0.1 = meets expectations (50% agree)
 - d. 0.0 = marginal or below (<50% agree)

- C. Classroom teaching student ratings (eValuate; CMDS 4580, 4510, 8230, 8320, 8430, 8510)
 - a. Exemplary (>66% strongly agree)
 - b. Exceeds expectations (40-65% strongly agree)
 - c. Meets expectations (50% agree)
 - d. Marginal or below (<50% agree)

- D. Peer evaluation
 - a. 0.1 = 4.5 or above

- E. Other contributions to teaching (assisting other clinical faculty, teaching course overload)
 - a. 0.1 = each variable deemed appropriate/sufficient by Chair

TOTAL CLINICAL TEACHING BASAL + POINTS = _____ x 90% = _____

- II. **SERVICE** [5% or 2hours] (type of service reflects rank (see promotion guidelines; i.e. NSSLHA or SAA faculty advisor; committees; advisory board; editorial board; reviewer)
 - A. Department
 - B. College
 - C. University
 - D. Profession (state, national, international professional organizations)

| A, B, C, and D | Assistant → Associate | Associate → Full | Full |
|--------------------------|---------------------------|--|---------------------------|
| 4 = exemplary | 6 (at least 1 department) | 6 (at least 1 department and 1 professional) | 3 (at least 1 department) |
| 3 = exceeds expectations | 4 (at least 1 department) | 4 (at least 1 department and 1 professional) | 2 (at least 1 department) |
| 2 = meets expectations | 2 (at least 1 department) | 2 (at least 1 department and 1 professional) | 1 (at least 1 department) |
| 1 = marginal | 1 | 1 | 0 |
| 0 = unacceptable | 0 | 0 | 0 |

TOTAL SERVICE = _____ x 10% = _____

III. RESEARCH/CREATIVE WORK [2.5% or 1 hour]

Scholarship (e.g. basic and/or applied research, books, book chapters, article length publications, manual, posters, presentations/lectures at professional workshops/meetings, invited presentations/lectures to outside agencies)

| | Assistant → Associate | Associate → Full | Full |
|--------------------------|-----------------------|--|----------------------|
| 4 = exemplary | 6 (at least 4 local) | 12 (at least 6 local + 6 state/national) | 3 (at least 1 local) |
| 3 = exceeds expectations | 5 (at least 3 local) | 8 (at least 4 local + 4 state/national) | 2 (at least 1 local) |
| 2 = meets expectations | 4 (at least 3 local) | 6 (at least 3 local + 3 state/national) | 1 (at least 1 local) |
| 1 = marginal | 2 local | 2 local | 0 |
| 0 = unacceptable | 1 local | 1 local | 0 |

TOTAL RESEARCH/CREATIVE WORK = _____ x 2.5% = _____

IV. PROFESSIONAL ENRICHMENT [2.5% or 1 hour] Professional enrichment for knowledge, skills, and professional growth, beyond required 12 CEUs for licensure (may include CEU and non-CEU activities, such as courses, workshops, online training, conferences, books; specify activity, one-time or on-going activity, time spent on each activity)

| | Assistant and Associate | Full |
|--------------------------|----------------------------|----------------------------|
| 4 = exemplary | 8 or more additional hours | 6 or more additional hours |
| 3 = exceeds expectations | 5 -7 additional hours | 3 -5 additional hours |
| 2 = meets expectations | 12 hours | 12 hours |
| 1 = marginal | n/a | n/a |
| 0 = unacceptable | | |

- I. **CLINICAL TEACHING** _____
- II. **SERVICE** _____
- III. **RESEARCH/CREATIVE WORK** _____
- IV. **PROFESSIONAL ENRICHMENT** _____

TOTAL _____

CLOSEST PROVOST MODIFIER _____

INITIALS OF RATER _____

NOTE: An unfavorable annual review for a clinical track faculty member may result in non-renewal of the clinical faculty member's contract.

Appendix 5

Departmental Third-Year Review Guidelines

Probationary faculty are provided mentoring (see attached). The department follows regulations set forth in the *Faculty Handbook* regarding the formal review process. Candidates should prepare the dossier in the P&T format from the *Faculty Handbook*. Unacceptable performance may lead to the issuance of a letter of non-continuation (however, a letter of non-continuation may be issued at anytime prior to tenure).

The department chair shall conduct a third year review of all its assistant clinical professors according to college/school guidelines. This shall take place no later than 32 months after initial appointment, normally before May 31 of the clinical faculty member's third year. As with the annual review, the department chair shall request a current vita and any supporting material the department chair or the clinical faculty member deems appropriate prior to the third year review. The particular focus of this review is the clinical faculty member's progress toward achieving promotion to associate clinical professor, yet still recognizing that clinical faculty are on continuing appointments that necessitate annual contract renewal. The review, therefore, must address the specific department/college/school criteria for promotion. The department chair shall prepare a written report covering the findings of the review. Failure of the faculty member to demonstrate clear progress in assigned areas of performance (such as clinical teaching, clinical outreach, service, scholarship, professional development) may lead to the issuance of a letter of non-continuance, effective at the conclusion of the annual contract in force.

Mentoring Faculty in the Department of Communication Disorders

Rebekah Pindzola (circa 2006)

The mentoring of tenure track junior faculty in the Department of Communication Disorders is a combination of formal chair guidance and informal peer assistance.

From the Chair:

1. The departmental chair begins the mentoring process with clear and detailed explanations of the promotion and tenure process during the interview and recruitment stage. The conversation is a thorough presentation of P&T criteria as set forth in Chapter 3 of the Faculty Handbook.
2. The new faculty member is supplied with a research start-up package that is cost-shared by the department, the dean, and the vice president for research
3. The new faculty member is provided a reduced teaching load for the first year (e.g. 3-4 courses rather than 5 courses in the academic year) with the expressed purpose of encouraging initial research efforts
4. The new faculty member is required to attend the university's new faculty orientation session in the fall
5. The new faculty member is encouraged to attend an IRB training session
6. The faculty member is provided with a departmental stipend of \$1,500 annual travel funding to support their professional development, based on funding availability.
7. The faculty member is provided with a departmentally-funded graduate research assistant for 10 hour/week annually during the tenure-track years
8. At some point during the first mid-semester, the chair and the new faculty member talk about progress made setting in motion their research program:
 - (1) progress in setting up equipment gained in the start-up package and how operational this research program is
 - (2) progress in submitting the dissertation for journal publication
 - (3) what the department can do to help along these two fronts
9. The first (and each) annual review between chair and the new faculty member discusses both the

performance made during the year and their professional goals for the next year; specifically:

- (1) progress in dissertation publication
- (2) progress in running new subjects with start-up equipment
- (3) what the new faculty member needs by way of department support to be successful
- (4) this is also an opportunity to review promotion and tenure expectations espoused in the Faculty Handbook

10. The chair emphasizes the importance of collegiality in all aspects of teaching, research, outreach, and service. The candidate should work collaboratively and cooperatively with other faculty in the areas of teaching, research, outreach, and service to advance the mission of the department, college, and university.

11. The new faculty member is encouraged to attend the spring P&T workshop put on by the provost.

From Faculty Peers:

Rather than assigning one faculty mentor to a new faculty member, the size and collegial nature of the department is such that all departmental colleagues are available at all times to assist. Forms of assistance include the following.

1. Informal conversations about teaching
2. Informal conversations about research/research expectations
3. Availability to review journal articles and grant proposals for feedback before submission
4. Availability to collaborate on research projects

Appendices 6-A & 6-B Departmental Promotion and Tenure Guidelines

Appendix 6-A

Guidelines for Tenure-Track Faculty Promotions in the Department of Communication Disorders

(Ratified by Tenure-Track Faculty December 7, 2009)

Background:

Auburn University's strategic goal #28 for FY 2010 is to improve the current promotion and tenure process. In the fall of 2009, as part of this goal, Provost Mazey charged departments with developing clear P & T guidelines that establish:

Clear criteria for promotion and tenure
Clear evaluation standards of the criteria
Consistent evaluation procedures so that probationary faculty members receive direct and helpful feedback in the annual reviews, third year review, and during the departmental evaluation phase of the promotion and tenure process.

It is recognized, since all guidelines must conform to the Auburn University *Faculty Handbook*, those guidelines are not repeated here. Also, the Department of Communication Disorders has had much of this in place and in writing since the 1990s. These documents are available in the *CMDS Policies and Procedures Manual* (a manual required by the accrediting organization) and include:

Annual review

Worksheet for Annual Evaluation of Tenure-Track Faculty Peer Review

Peer Teaching Evaluation Report (protocol form) Third year review

Departmental Profile:

The reader is reminded that the Department of Communication Disorders represents clinically-applied disciplines. It operates the fully-functioning AU Speech and Hearing Clinic as an educational laboratory for students. Faculty members are expected to teach, interface with clinical instruction, research, and provide service. The department offers the undergraduate and master's degrees in Communication Disorders as well as a Doctor of Audiology clinical degree. These graduate programs are nationally accredited and have been so for 40 years. The department does not offer the research degree of Ph.D. and does not require faculty to receive large national grants. The mission of this department is to train the next generation of speech-language pathologists and audiologists eligible for national certification. A full mission statement is available from the department. This present document elucidates, in summary form, performance indicators as a guide for success in annual reviews, at the third year point, and at evaluation for promotion and tenure.

Performance Indicators:

Consistent with the *Faculty Handbook*, the assigned level of effort (expressed as a percentage and determined annually) guides all assessments. Typical assignments in the Department of Communication Disorders reflect 70% instruction, 25% research, and 5% service. Some faculty may carry alternate assignments, such as clinical instruction (supervision of students in the AU Speech and Hearing Clinic as distinct from classroom teaching), clinical outreach (efforts beyond the campus Clinic), or national/international service to the profession equivalent to one or more courses. Performance indicators described in each section below reflect the typical distribution. Also, consistent with the *Faculty Handbook*, all reviewers are to evaluate a candidate based on these assigned percentages and in the context of the discipline and departmental mission. Often external reviews of a candidate are sought from Ph.D. granting, peer or aspirational institutions to gain an outside perspective on the candidate's professional contributions. However, care must be exercised in interpreting letters when teaching loads and research expectations at the other institutions differ from the candidate's job assignment at Auburn.

Instruction consideration includes the following (adjusted as necessary per assignment) at all ranks. The typical 70% assignment for instruction reflects 15 credit hours or 5 fully-enrolled courses (or course equivalent in the clinic) per academic year (this excludes low enrolled courses such as independent study, readings, graduate research project, and thesis). Following the College of Liberal Arts guidelines, each 3-hour course contributes 12.5% to the faculty member's load (5 courses = 62.5%). In that all faculty in the department advise a section of student majors and that faculty routinely participate in off-load student events (e.g., clinical case presentations, grand rounds, student scholarly presentations) each faculty member also is allocated 7.5% effort. In this manner, instruction typically represents a 70% instructional assignment. The candidate should work collaboratively and cooperatively with other faculty in the areas of teaching to advance the mission of the department, college, and university. Other guidelines include:

Evidence of teaching quality, or growth over the years, on student course evaluations. The departmental annual evaluation form provides a rubric for interpreting the *IAL* course ratings. Annual and merit ratings that show 66% or better of combined "excellent" and "very good" are rewarded at the top level; standard is a preponderance of "good" ratings; acceptable is a preponderance of "fair" ratings; ratings of "poor" or "very poor" suggests need to utilize services of the Biggio Center and demonstrate growth over time.

Evidence of course rigor as displayed through grade distributions and student anonymous comments (from the *IAL*).

Evidence of teaching quality from peers using the departmental protocol which yields qualitative comments from the reviewer as well as a 1 - 5 rating. Standard or acceptable scores are 3 or higher, with 5 being exceptional and this is rewarded on the annual worksheet.

When clinical teaching is part of the assignment, evidence of quality may include: (1) student clinician supervisee satisfaction using data from the *IAL* teaching evaluation form, (2) number of cases evaluated or seen for on-going treatment during the semester or year, (3) weekly average number of clinical clock hours supervised, and (4) financial impact (e.g., amount of patients fees brought into the clinic, or equivalent if fee was waived).

Evidence on the annual evaluation that the faculty member is collegial in contributing to the development of the overall department as well as to specific programs within it.

Rubrics for counting and rewarding other instructional activities are contained in the department's annual evaluation document.

Research issues cited in the *Faculty Handbook* must be followed by all candidates and reviewers; while these are not repeated in this document, noteworthy elements address authorship, sustained productivity, and growth from

a regional to a national scholar. Helpful departmental clarifications and consideration includes the following (adjusted as necessary per assignment). Also the candidate should work collaboratively and cooperatively with other faculty in the area of research to advance the mission of the department, college, and university.

An interplay of quality and quantity must be taken into account at each rank. Some forms of scholarship are more elaborate and time-consuming than other forms. *All evaluators must resist the notion of “bean counting” and so any numbers cited are merely for guidance and are not hard and fast requirements. The complete dossier and candidate’s total performance must be taken into account.* In light of these caveats, candidates seeking promotion at all levels should strive for:

Publication productivity, when balanced with a comprehensively strong dossier, averaging 1 – 1.5 refereed publications, or equivalent*, per year is a guideline for candidates. Said another way, approximately 6 refereed publications (or equivalent*) may be acceptable for a candidate bidding for promotion to associate professor and for tenure but a stronger dossier - or the dossier of a candidate bidding for promotion and tenure *early* - will contain at least 8 referred publications (or equivalent*). For further advancement, a candidate’s maturation is enhanced by time in rank, additional publications, and evidence of an expanded national/international reputation in the field or subfields. For candidates bidding for promotion to professor a case may be made for readiness with at least 18 refereed publications (or equivalent*). However, a stronger case for readiness may be made with evidence of 20-22 publications (or equivalent).

Nationally/internationally refereed journal publications, especially those that are experimentally-based applied or pure research is the gold standard in the discipline. Faculty members should populate their dossier with publications of such quality. Avoid dependence on “think piece” publications. A balance of types is acceptable. Author citation is generally listed in order of contribution to the project, with this exception. Departmental faculty members typically allow thesis or capstone research students to be cited first. In the dossier, the candidate must indicate percentage of his/her contribution, as indicated in the *Faculty Handbook*. Internal and external research collaboration is encouraged. However, there is a departmental expectation that the candidate show evidence of independent thinking and ability to lead research projects.

*Equivalent publication activity is considered as follows in the department so long as the product is peer-reviewed: 1 book with a national publisher is equivalent to 3 refereed journal articles; 1 book chapter with a national publisher is equivalent to 1 refereed journal article.

*Invited journal articles and invited book chapters reflecting the candidate’s stature may count as equivalent to 1 peer-reviewed publication each.

*Books published by regional presses may equate with 1 or 2 journal articles, depending on the justification made by the candidate.

A dossier can be strengthened in the minds of reviewers when articles are published in the most reputable journals within the discipline or subfield.

Journal impact factor information is recommended

A candidate’s scholarly reputation can be demonstrated and his/her dossier strengthened in the minds of reviewers when the professional utility of articles can be demonstrated. Citation index data are recommended. It is recognized that candidates may develop several lines of research in the discipline. In keeping with issues of academic freedom, reviewers of a candidate’s work shall not require a single focused line of research but refer to the candidate’s explanation of and breadth in their scholarly program. Regardless of the area or areas of specialization, there must be evidence of expertise and quality of contribution. External review letters remain important in this regard.

Professional refereed presentations at regional and national meetings further enhance the candidate’s reputation. Presentations contribute evidence toward the candidate’s reputation and total scholarly output. However, presentations and poster sessions shall not substitute for a record of publication suitable for each rank. Professional presentations are recognized and rewarded in annual performance reviews. Rubrics for counting and rewarding research and scholarly activities are contained in the department’s annual faculty evaluation document.

Service consideration includes the following (adjusted as necessary per assignment). Also, the candidate should work collaboratively and cooperatively with other faculty in the area of service to advance the mission of the department, college, and university.

Involvement in service to the department is expected of all faculty members. Evidence of faculty participation in the life of the department on an ongoing basis, as well as committee leadership is vital to document annually and at the time of promotion and tenure.

Evidence, at a minimal level, of involvement in the life of the college and/or university
Service, in the form of faculty governance, is expected of all departmental members (whether at the department, college, or university level).

However, the department endeavors to assign untenured faculty to committees with only modest work demands.
Faculty holding tenure may carry heavier time demands.

Evidence, at an appropriate level for the candidate's rank, of service to the profession. Professional involvement is not required at the lowest rank but does strengthen a candidate's dossier. Professional service is expected as one rises through the associate and full professor levels. Regional then developing into national/international leadership positions are especially prized as one grows in rank.
Rubric for assessing and rewarding service activities is contained in the department's annual faculty evaluation.

Outreach and/or Clinical Outreach are optional assignments. As specified in the *Faculty Handbook*, the faculty member is charged with describing their program of outreach and providing outcome data such that it can be assessed annually and at promotion and tenure review. Clinical outreach, which takes the faculty member away from the campus, may take many forms. In the example of a clinical public relations assignment to strengthen the clinic' branding, consideration may include dimensions such as the following. Whatever the form of outreach, the candidate should work collaboratively and cooperatively with other faculty in the area of outreach advance the mission of the department, college, and university.

Evidence of activities (e.g., log of visits to physicians, talks to community clubs)

Evidence of financial impact (e.g., referral increases)

Evidence of media products (e.g., samples and numbers of newspaper releases, radio/television spots)

Summary:

Departmental annual evaluation procedures already in existence contain rubrics for counting and rewarding Instruction, Research, Service, and optional Outreach. These values are transposed to conform to the provost's mandated five categories of performance.

Appendix 6-B Guidelines for Clinical (Non-Tenure) Faculty Promotions in the Department of Communication Disorders

Clinical Faculty Promotion Guidelines approved September 2016.

POLICY FOR PROMOTION OF CLINICAL (NON-TENURE) FACULTY TO RANK OF ASSOCIATE CLINICAL PROFESSOR IN THE DEPARTMENT OF COMMUNICATION DISORDERS

In light of the Auburn University 2013-2018 Strategic Plan, the faculty in the Department of Communication Disorders (CMDS) have reviewed and revised the guidelines and policies related to retention and promotion of clinical faculty. The AU Strategic Plan, Priority 2, includes:

- Improve support for non-tenure track faculty
 - Review the non-tenure track faculty compensation, benefits, and employment conditions to ensure they are appropriate and competitive
 - Develop academically sound performance incentives for non-tenure track faculty, including rewards and recognition

The CMDS policies and guidelines are consistent with the Auburn University Clinical Title Series Promotion Criteria, provided by the Office of the Provost. According to these guidelines, allocation of time and effort (expressed in percentages), which can be specific to her/his contract and are determined annually, include:

- Clinical Teaching
- Clinical Outreach
- Research/creative work
- Service

The Auburn University Speech and Hearing Clinic (AUSHC), which was founded in 1947, functions as a non-profit clinic, providing services, treatment, and products to the public and AU faculty, staff, and students. In addition, the AUSHC functions as an educational and training laboratory for undergraduate and graduate (Master's in Speech-Language Pathology and Clinical Doctorate in Audiology) students in CMDS.

Although generation of clinical income is an important aspect in the viability of the AUSHC, it must be noted that all clients can be served, regardless of income level. While financial impact data should be provided by each clinical faculty member on an annual basis, and can be considered as part of the promotion documentation, this information may represent theoretical dollar amounts, considering the purpose, mission, function, and outreach services, provided by the AUSHC.

The clinical faculty serve a unique and vital role in the daily operation, maintenance, and improvement of the clinic, and in clinical education and supervision of undergraduate and graduate students during practicum experiences in the AU Speech & Hearing Clinic and at off-campus locations. In addition, clinical faculty can also be responsible for teaching more traditional, lecture-based classes, depending upon the needs of the department. Typical assignments for clinical faculty include: Clinical Teaching and Clinical Outreach 90%, Scholarly Achievement 5% (Research/creative work 2.5% and Professional Enrichment 2.5%), and Service 5%. Clinical faculty members are full-time 12-month salaried employees. Although clinic hours from 8:00 AM to 5:00 PM are posted, clinical faculty often serve clients before 8:00 AM or later than 5:00 PM, depending upon the needs of the clients.

This document reflects the CMDS department's perspectives and application of the Provost's Guidelines for Clinical Title Series Promotion Criteria for:

PROMOTION TO ASSOCIATE CLINICAL PROFESSOR

The primary focus for candidates seeking promotion to Associate Clinical Professor is supporting activities and growth of the AUSHC through clinical teaching and clinical outreach, and developing a local reputation and emerging regional/state reputation related to the fields of audiology and/or speech-language pathology.

Years of service at rank of Assistant Clinical Professor: 6 years (minimum)

1. **CLINICAL TEACHING and CLINICAL OUTREACH** [90%, average 36 hours per week]
 - A. **CLINICAL TEACHING** (includes clinical teaching, supervision of clinical practicum, NSSLHA/SAA screening, screening activities at AUSHC, classroom teaching, Global Perspectives in Speech- Language Pathology, student meetings, related documentation)
 - B. **SERVICE LEARNING** (student supervision during off-campus clinical activities; for example, Children's Rehabilitation Service, HeadStart, Auburn University Outreach in Guatemala, City of Auburn Senior programs, Day Care centers, AU Child Study Center)
 - C. **DIRECT SERVICE DELIVERY** (includes provision of clinical services independently during the semester and/or semester break, on as needed basis, when student clinicians are not available and/or to continue patient continuity of care; includes evaluations, therapy sessions, hearing aid walk-in clinics)
 - D. **OUTREACH** (as described in the Faculty Handbook, "outreach refers to the function of applying academic expertise to the direct benefit of external audiences in support of university and unit missions")
 - i. Outreach includes but is not limited to the following activities which utilize scholarly expertise: technical assistance, consulting, continuing and distance instruction, community and civic engagement)
 - ii. Outreach encompasses three forms of activity:
 - a. Outreach instructional activities promote learning over lifetime
 - b. Expert assistance provides information and services to external constituents
 - c. Community engagement encourages collaboration between the University and larger community
1. For A, B and C, candidate must spend an average of 36 hours per week in clinical teaching, service learning, and/or direct service delivery to **meet expectations**.
2. For promotion, candidate should strive to **exceed expectations** (average 38 hours per week) or achieve **exemplary** rating (average 40 hours per week)
- E. **STUDENT EVALUATIONS OF CLINICAL SUPERVISION**
 - i. To **meet expectations**, 50% of students should rate clinical supervision as "very good" and/or "excellent"
 - ii. For promotion, candidate should strive to **exceed expectations** (50-65% of students should rate supervision as "very good" and/or "excellent") or achieve **exemplary** rating (more than 65% of students rate supervision as "very good" and/or "excellent")
- F. **STUDENT EVALUATIONS OF CLASSROOM TEACHING**
 - i. To **meet expectations**, 50% of students should rate classroom teaching as "very good" and/or "excellent"
 - ii. For promotion, candidate should strive to **exceed expectations** (50-65% of students should rate teaching as "very good" and/or "excellent") or achieve **exemplary** rating (more than 65% of students rate teaching as "very good" and/or "excellent")
- G. **PEER EVALUATION**
 - i. 4.0 or above

H. OTHER CONTRIBUTIONS TO CLINICAL RESPONSIBILITIES, beyond **meet expectations** for Client Caseload (for example, teaching course overload); rating at discretion of department chair

2. **SCHOLARY ACHIEVEMENT** (5%, average 2 hours per week) (The candidate will demonstrate a minimum of **20** activities, during the time frame considered for promotion from Assistant Clinical Professor to Associate Clinical Professor, at the combined local (average 15 activities), regional/state (average 2-4 activities), and national levels (average 1-2 activities), with the primary focus of scholarly activities on local presentations to promote services of the AUSHC)

A. RESEARCH/CREATIVE WORK (2.5%, average 1 hour per week) (for example, invited presentations/lectures to outside agencies; OLLI classes; posters, presentations, lectures at professional meetings/workshops; article length publications; manuals; book chapters; and books; activities at the state and national levels must be peer reviewed and/or for purpose of professional CEUs; differential ratings of these activities are at the discretion of the department chair

i. To **meet expectations**, candidate must have at least **3** activities per year

ii. For promotion, candidate should strive to **exceed expectations** (at least **5** activities per year) or achieve **exemplary** rating (at least **7** activities per year)

B. PROFESSIONAL ENRICHMENT (2.5%, average 1 hour per week) (Activities pursued to enhance and enrich patient interactions, provision of services, and personal and professional growth, which may include non-CEU activities, such as workshop conferences, on-line courses, books)

i. To **meet expectations**, candidate must achieve minimum **12** CEUs per year required for licensure

ii. For promotion, candidate should strive to **exceed expectations** (**5-7** additional hours) or achieve **exemplary** rating (**8 or more** additional hours)

3. **SERVICE** (5%, minimum 2 hours per week) (Emphasis should be on service to the Department] (for example, NSSLHA or SAA faculty advisor; materials/equipment officer; infection control officer; safety officer; department, college and/or university committees; search committee; websites; workshops/presentations/lectures to on-campus classes; advisory board for professional organization; editorial board for professional publication; external reviewer) [type of service reflects rank]

A. Department (minimum **1** primary assignment/responsibility)

B. College/University (participation not mandatory; committee work should not significantly interfere with clinical teaching/outreach responsibilities)

i. Describe committee responsibilities and activities

ii. Estimate time commitment (number of meetings per year, length of meeting time)

C. Profession

For A, B and C:

i. To **meet expectations**, candidate should have an average of at least **2** service activities per year (**1** at department level and **1** could be at college/university/and/or professional level)

ii. For promotion, candidate should strive to **exceed expectations** (at least **4** activities per year) or achieve **exemplary** rating (at least **6** activities per year) with combination of activities at Auburn level (department, college, university) and professional level (local, state, regional, national, international)

REVISED JULY 2016

POLICY FOR PROMOTION OF CLINICAL (NON-TENURE) FACULTY TO RANK OF FULL CLINICAL PROFESSOR IN THE DEPARTMENT OF COMMUNICATION DISORDERS

In light of the Auburn University 2013-2018 Strategic Plan, the faculty in the Department of Communication Disorders (CMDS) have reviewed and revised the guidelines and policies related to retention and promotion of clinical faculty. The AU Strategic Plan, Priority 2, includes:

- Improve support for non-tenure track faculty
 - Review the non-tenure track faculty compensation, benefits, and employment conditions to ensure they are appropriate and competitive
 - Develop academically sound performance incentives for non-tenure track faculty, including rewards and recognition

The CMDS policies and guidelines are consistent with the Auburn University Clinical Title Series Promotion Criteria, provided by the Office of the Provost.

According to these guidelines, allocation of time and effort (expressed in percentages), which can be specific to her/his contract and are determined annually, include:

- Clinical Teaching
- Clinical Outreach
- Research/creative work
- Service

The Auburn University Speech and Hearing Clinic (AUSHC), which was founded in 1947, functions as a non-profit clinic, providing services, treatment, and products to the public and AU faculty, staff, and students. In addition, the AUSHC functions as an educational and training laboratory for undergraduate and graduate (Master's in Speech-Language Pathology and Clinical Doctorate in Audiology) students in CMDS.

Although generation of clinical income is an important aspect in the viability of the AUSHC, it must be noted that all clients can be served, regardless of income level. While financial impact data should be provided by each clinical faculty member on an annual basis, and can be considered as part of the promotion documentation, this information may represent theoretical dollar amounts, considering the purpose, mission, function, and outreach services, provided by the AUSHC.

The clinical faculty serve a unique and vital role in the daily operation, maintenance, and improvement of the clinic, and in clinical education and supervision of undergraduate and graduate students during practicum experiences in the AU Speech & Hearing Clinic and at off-campus locations. In addition, clinical faculty can also be responsible for teaching more traditional, lecture-based classes, depending upon the needs of the department. Typical assignments for clinical faculty include: Clinical Teaching and Clinical Outreach 90%, Scholarly Achievement 5% (Research/creative work 2.5% and Professional Enrichment 2.5%), and Service 5%. Clinical faculty members are full-time 12-month salaried employees. Although clinic hours from 8:00 AM to 5:00 PM are posted, clinical faculty often serve clients before 8:00 AM or later than 5:00 PM, depending upon the needs of the clients.

This document reflects the CMDS department's perspectives and application of the Provost's Guidelines for Clinical Title Series Promotion Criteria for

PROMOTION TO CLINICAL PROFESSOR

The primary focus for candidates seeking promotion to Full Clinical Professor is supporting activities and growth of the AUSHC with an established local/regional reputation and developing a national reputation related to the fields of audiology and/or speech-language pathology.

Years of service at rank of Associate Clinical Professor: 6 years (minimum)

1. CLINICAL TEACHING AND CLINICAL OUTREACH (90%, average 36 hours per week)

- A. CLINICAL TEACHING (Includes clinical teaching, supervision of clinical practicum, NSSLHA/SAA screening activities, screening activities at AUSHC, classroom teaching, student meetings, related documentation)
- B. SERVICE LEARNING (student supervision during off-campus clinical activities; for example, Children's Rehabilitation Service, HeadStart, OLLI class, daycare centers, AU Child Study Center)
- C. DIRECT SERVICE DELIVERY (includes provision of clinical services independently during the semester and/or semester break, on as needed basis, when student clinicians are not available and/or to continue patient continuity of care; includes evaluations, therapy sessions, hearing aid walk-in clinics)
- D. OUTREACH (as described in the Faculty Handbook, "outreach refers to the function of applying academic expertise to the direct benefit of external audiences in support of university and unit missions")
 - i. Outreach includes but is not limited to the following activities which utilize scholarly expertise: technical assistance, consulting, continuing and distance instruction, community and civic engagement)
 - ii. Outreach encompasses three forms of activity:
 - a) Outreach instructional activities promote learning over lifetime
 - b) Expert assistance provides information and services to external constituents
 - c) Community engagement encourages collaboration between the University and larger community

- 1. For A, B, C, and D, candidate must spend an average of 36 hours per week in clinical teaching, service learning, direct service delivery and/or clinical outreach to **meet expectations**
- 2. For promotion, candidate should strive to **exceed expectations** (average 38 hours per week) or achieve **exemplary** rating (average 40 hours per week)

E. STUDENT EVALUATIONS OF CLINICAL SUPERVISION

- i. To **meet expectations**, 50% of students should rate clinical supervision as "very good" and/or "excellent"
- ii. For promotion, candidate should strive to **exceed expectations** (50-65% of students should rate supervision as "very good" and/or "excellent") or achieve **exemplary** rating (more than 65% of students rate supervision as "very good" and/or "excellent")

F. STUDENT EVALUATIONS OF CLASSROOM TEACHING

- i. To **meet expectations**, 50% of students should rate classroom teaching as "very good" and/or "excellent"
- ii. For promotion, candidate should strive to **exceed expectations** (50-65% of students should rate teaching as "very good" and/or "excellent") or achieve **exemplary** rating (more than 65% of students rate teaching as "very good" and/or "excellent")

G. PEER QUALITY ASSESSMENT

- i. 4.0 or above

H. OTHER CONTRIBUTIONS TO CLINICAL RESPONSIBILITIES, beyond **meet expectations** for Clinical Teaching and Clinical Outreach (for example, Clinic/Study Abroad, Auburn University Outreach in Guatemala, teaching course overload); rating at discretion of department chair

- 2. SCHOLARLY ACHIEVEMENT** (5%, average 2 hours per week) (The candidate will demonstrate a minimum of **48** activities, during the time frame considered for promotion from Associate Clinical Professor to Full Clinical Professor (minimum **68** total). The candidate will demonstrate activities at the combined local, regional/state, and national levels, with the primary focus of scholarly activities on peer reviewed, refereed, and CEU regional and national activities)
- A. RESEARCH/CREATIVE WORK (2.5%, average 1 hour per week) (for example, invited presentations/lectures to outside agencies; posters, presentations, lectures at professional meetings/workshops; article length publications; manuals; book chapters; and books); activities at the state/regional and national levels must be peer reviewed and/or for purpose of professional CEUs; differential ratings of these activities are at the discretion of the department chair
 - i. To **meet expectations**, candidate must have at least **3** activities per year
 - ii. For promotion, candidate should strive to **exceed expectations** (at least **6** activities per year) or achieve **exemplary** rating (at least **8** activities per year)
 - B. PROFESSIONAL ENRICHMENT (2.5%, average 1 hour per week) (Activities pursued to enhance and enrich patient interactions, provision of services, and personal and professional growth, which may include non-CEU activities, such as workshops, conferences, on-line courses, books)
 - i. To **meet expectations**, candidate must achieve minimum **12** CEUs per year, required for licensure
 - ii. For promotion, candidate should strive to **exceed expectations** (**5-7 additional** hours) or achieve **exemplary** rating (**8 or more additional** hours)
- 3. SERVICE** (5%, minimum 2 hours per week) (Although service to the Department [for example, committees, NSSLHA or SAA faculty advisor, websites, materials/equipment officer, infection control officer, safety officer], the College, and the University are expected, emphasis should be on service to state and/or national professional organizations (for example, committee member, committee chair, advisory board, editorial board for professional publication, external reviewer)
- A. Department (minimum **1** primary assignment/responsibility)
 - B. College/University (participation not mandatory; committee work should not significantly interfere with clinical teaching/outreach responsibilities)
 - i. Describe committee responsibilities and activities
 - ii. Estimate time commitment (number of meetings per year, length of meeting time)
 - C. Profession (minimum **1** activity at state and/or national level) For A, B, and C:
 - i. To **meet expectations**, candidate must have at least **2** service activities per year (**1** at department level and **1** at professional level)
 - ii. For promotion, candidate should strive to **exceed expectations** (at least **4** activities per year) or achieve **exemplary** rating (at least **6** activities per year) with combination of activities at Auburn University level (department, college, university) and professional level (local, state, regional, national, international)

REVISED JULY 2016

POLICY FOR FULL CLINICAL PROFESSOR (NON-TENURE FACULTY) FOR MENTORSHIP IN THE DEPARTMENT OF COMMUNICATION DISORDERS

In light of the Auburn University 2013-2018 Strategic Plan, the faculty in the Department of Communication Disorders (CMDs) have reviewed and revised the guidelines and policies related to retention and promotion of clinical faculty. The AU Strategic Plan, Priority 2, includes:

- Improve support for non-tenure track faculty
 - Review the non-tenure track faculty compensation, benefits, and employment conditions to ensure they are appropriate and competitive
 - Develop academically sound performance incentives for non-tenure track faculty, including rewards and recognition

The CMDs policies and guidelines are consistent with the Auburn University Clinical Title Series Promotion Criteria, provided by the Office of the Provost. According to these guidelines, allocation of time and effort (expressed in percentages), which can be specific to her/his contract and are determined annually, include:

- Clinical Teaching/Clinical Outreach
- Scholarly Achievement
 - Research/Creative Work
 - Professional Enrichment
- Service

The Auburn University Speech and Hearing Clinic (AUSHC), which was founded in 1947, functions as a non-profit clinic, providing services, treatment, and products to the public and AU faculty, staff, and students. In addition, the AUSHC functions as an educational and training laboratory for undergraduate and graduate (Master's in Speech-Language Pathology and Clinical Doctorate in Audiology) students in CMDs.

Although generation of clinical income is an important aspect in the viability of the AUSHC, it must be noted that all clients can be served, regardless of income level. While financial impact data should be provided by each clinical faculty member on an annual basis, and can be considered as part of the promotion documentation, this information may represent theoretical dollar amounts, considering the purpose, mission, function, and outreach services, provided by the AUSHC.

The clinical faculty serve a unique and vital role in the daily operation, maintenance, and improvement of the clinic, and in clinical education and supervision of undergraduate and graduate students during practicum experiences in the AU Speech & Hearing Clinic and at off-campus locations. In addition, clinical faculty can also be responsible for teaching more traditional, lecture-based classes, depending upon the needs of the department. Typical assignments for clinical faculty include: Clinical Teaching and Clinical Outreach 90%, Scholarly Achievement 5% (Research/creative work 2.5% and Professional Enrichment 2.5%), and Service 5%. Clinical faculty members are full-time 12-month salaried employees. Although clinic hours from 8:00 AM to 5:00 PM are posted, clinical faculty often serve clients before 8:00 AM or later than 5:00 PM, depending upon the needs of the clients.

1. CLINICAL TEACHING AND CLINICAL OUTREACH (90%, average 36 hours per week)

- A. CLINICAL TEACHING (Includes clinical teaching, supervision of clinical practicum, NSSLHA/SAA screening activities, screening activities at AUSHC, classroom teaching, student meetings, related documentation)
- B. SERVICE LEARNING (student supervision during off-campus clinical activities; for example, Children's Rehabilitation Service, HeadStart, OLLI class, daycare centers, AU Child Study Center)
- C. DIRECT SERVICE DELIVERY (includes provision of clinical services independently during the semester and/or semester break, on as needed basis, when student clinicians are not available and/or to continue patient continuity of care; includes evaluations, therapy sessions, hearing aid walk-in clinics)
- D. OUTREACH (as described in the Faculty Handbook, "outreach refers to the function of applying academic expertise to the direct benefit of external audiences in support of university and unit missions")

- i. Outreach includes but is not limited to the following activities which utilize scholarly expertise: technical assistance, consulting, continuing and distance instruction, community and civic engagement)
 - ii. Outreach encompasses three forms of activity:
 - a. Outreach instructional activities promote learning over lifetime
 - b. Expert assistance provides information and services to external constituents
 - c. Community engagement encourages collaboration between the University and larger community
1. For A, B,C, and D, faculty must spend an average of 36 hours per week in clinical teaching, service learning, direct service delivery, and/or outreach to **meet expectations**
 2. To **exceed expectations** (average 38 hours per week) or achieve **exemplary** rating (average 40 hours per week)

D. STUDENT EVALUATIONS OF CLINICAL SUPERVISION

- i. To **meet expectations**, 50% of students should rate clinical supervision as “very good” and/or “excellent”
- ii. To **exceed expectations**, 50-65% of students should rate supervision as “very good” and/or “excellent”
- iii. To achieve **exemplary** rating, more than 65% of students rate supervision as “very good” and/or “excellent”

E. STUDENT EVALUATIONS OF CLASSROOM TEACHING

- i. To **meet expectations**, 50% of students should rate classroom teaching as “very good” and/or “excellent”
- ii. To **exceed expectations**, 50-65% of students should rate teaching as “very good” and/or “excellent”
- iii. To achieve **exemplary** rating, more than 65% of students rate teaching as “very good” and/or “excellent”

F. PEER QUALITY ASSESSMENT

- i. 4.0 or above

- G. Other contributions to clinical responsibilities, beyond **meet expectations** for Clinical Teaching and Clinical Outreach (for example, Clinic/Study Abroad, Auburn University Outreach in Guatemala, teaching course overload); rating at discretion of department chair

2. **SCHOLARLY ACHIEVEMENT** (5%, average 2 hours per week)

- A. RESEARCH/CREATIVE WORK (2.5%, average 1 hour per week) (for example, invited presentations/lectures to outside agencies; posters, presentations, lectures at professional meetings/workshops; article length publications; manuals; book chapters; and books); activities at the state/regional and national levels must be peer reviewed and/or for purpose of professional CEUs; differential ratings of these activities are at the discretion of the department chair

- i. To **meet expectations**, faculty must have at least **1** activity per year
- ii. To **exceed expectations**, faculty should have at least **2** activities per year; or **1** activity and promote, guide, and mentor at least **1** activity for another faculty member
- iii. To achieve **exemplary** rating, faculty should have at least **3** activities per year; or demonstrate mentoring of other faculty (see above)

- B. PROFESSIONAL ENRICHMENT (2.5%, average 1 hour per week) (Activities pursued to enhance and enrich patient interactions, provision of services, and personal and professional growth, which may include non-CEU activities, such as workshops, conferences, on-line courses, books)

- i. To **meet expectations**, faculty must achieve minimum **12**

CEUs per year, required for licensure

- ii. To **exceed expectations**, **3-5 additional** hours
- iii. To achieve **exemplary** rating, **6 or more additional** hours

3. SERVICE (5%, minimum 2 hours per week) (includes service to the Department, [for example, committees, NSSLHA or SAA faculty advisor, websites, materials/equipment officer, infection control officer, safety officer]; the College [committees]; and the University; and service to state and/or national professional organizations (for example, committee member, committee chair, advisory board, editorial board for professional publication, external reviewer); consideration should be given for evidence of guidance and mentoring of other faculty during service activities

- A. To **meet expectations**, faculty should have at least **1** service activities per year
- B. To **exceed expectations**, at least **2** activities per year
- C. To achieve **exemplary** rating, at least **3** activities per year

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