**Supplemental Promotion and Tenure Guidelines**
**Department of Horticulture**
**Auburn University**

These guidelines are intended to supplement those outlined in the Auburn University *Faculty Handbook*, Chapter 3: "Promotion Criteria and Consideration". These guidelines shall be used by the Department of Horticulture for evaluation of faculty promotions from Assistant Professor to Associate Professor and Associate Professor to Professor, and for granting tenure within the department. A departmental Tenure and Promotion committee composed of faculty holding the rank of Professor will ensure that these guidelines are followed as a supplement to those outlined in the *Faculty Handbook*. Guidelines set forth in the *Faculty Handbook* shall take precedence over those in this document.

Scholarly activity appropriate to the discipline and assigned responsibilities is expected of all faculty, tenured or untenured, and will be used to assess contributions made by an individual. Scholarly activity is defined broadly when considering efforts at institutions of higher learning and is most often captured in the concept of creating new knowledge and transferring knowledge to others. Each of the areas; research, instruction, extension/outreach, and service is addressed below.

## Initial Appointment Letter

The appointment letter defines broad expectations of the position, including percentages of the assignment allocated to teaching, research, extension/outreach, and service.

## Annual Faculty Evaluation

Annual evaluation will be conducted by the Department Head in accordance with the *Faculty Handbook*. During the annual review process each faculty member will be responsible for reporting progress made toward goals established by faculty and agreed upon by the Head the previous year; contributions they have made to the mission of the department/unit and to the vision and priority areas of the College; and indicators of quality and quantity of their accomplishments. The department will use the annual faculty reporting form adopted by the College for this annual evaluation.

## Tenure

To earn tenure the candidate must demonstrate willingness and aptitude to participate in at least two of the three missions of the university (research, teaching and extension or outreach). The candidate must show that his/her continuing service at the university, college, and department is consistent with, and will further the long range goals of the institution by being scholarly active and productive. The individual will also continue to develop distinguished academic achievement that will serve as a basis of regional, national and international reputation.

The individual must show collegiality which means that the individual is able to promote in a professional and cordial manner the goals of the university, college, and department and collaborate with others in research, teaching, and/or extension/outreach activities.

The awarding of tenure presupposes that the candidate's record demonstrates strong promise of his or her ultimately achieving promotion to professor.

**Mentoring Junior Faculty**

During the first year of the probationary period, each junior faculty member will be assigned a mentor who has a well established, nationally recognized program in research, teaching, and/or extension. The junior faculty member can choose a different mentor over time. The faculty mentor will be responsible for informing the junior faculty of expectations, success strategies and potentially collaborative work. The mentor will be accessible to provide advice on program content and to review publications to assess the quality and appropriateness for the given constituent (research community, students, clientele or other appropriate groups). Mentoring by senior faculty will count as part of the mentor's service appointment.

**Third Year Review**

The *Faculty Handbook* requires a third year tenure review. In the Department of Horticulture this review shall take place, 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/mentor 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 and the *Faculty Handbook*. To be of maximum use to the candidate and the department, the review shall involve the entire tenured faculty. In order for it to accurately reveal the judgement of tenured faculty, it shall include a vote whether or not, in the opinion of the tenured faculty, the candidate is making acceptable 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. However, failure to demonstrate clear progress in teaching, research, Extension/outreach, and service by the time of the third year review may lead to a letter of non-continuation at that time.

The Department Head shall prepare a written report documenting the findings of the review, and characterizing the nature of the vote. 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.

**Promotion Criteria: Research**

Research evaluation should be based on productivity, measured in terms of outputs. The general expectation is that a candidate for Associate Professor would demonstrate quality of research by publishing at least one article (as principal author among departmental faculty) in a leading journal (such as Journal of the American Society for Horticultural Science, HortScience, HortTechnology, Journal of Environmental Horticulture, International Journal of Fruit Science, or other comparable journals based on the nature of appointment) while a candidate for Professor would have a total of at least two publications of the above stated quality. For individuals with assigned research responsibility, the departmental expectation for rate of publication is generally considered to be three published articles per FTE research appointment per year.

General expectation is that in addition to publication(s) in leading journals, candidates for promotion and tenure would regularly publish in other peer reviewed journals and contribute to the scholarly literature through books, book chapters, and other peer reviewed publications such as posters, conference proceedings and published abstracts. Research productivity should be commensurate with a candidate's research appointment.

Each faculty member is expected to be highly engaged in innovative program efforts to address important state, regional, national, and/or international issues within the broad field of horticultural science. Work related to international projects such as field studies, collaborative research and grant proposals with faculty located overseas, presentations at major international professional conferences, joint publications are also valuable parts of a faculty's research portfolio, as are interdisciplinary and multidisciplinary research efforts.

Based on appointment, research faculty are expected to be actively involved in serving on graduate committees, including service as Chair or co-Chair at the M.S., M.Ag., and/or Ph.D. levels. Faculty members, without research appointments, are encouraged to serve on graduate committees in support of the research efforts of the department. Other contributions to science as described by the *Faculty Handbook* will also be considered in the evaluation.

Funded research proposals written by faculty are considered an important element of the scholarly portfolio with higher weight placed on external competitive grants. As in the case of refereed publications, faculty are credited with principal authorship if they are the first departmental faculty author listed. The dollar value and their source will also be considered. The success rate of grant seeking should be similar to that of similarly ranked faculty in the department.

Other research activities, such as the creation of intellectual property, copyrights, or patents, will also be considered as part of the candidate's research portfolio or scholarly works.

Promotion to Associate Professor

To be promoted from Assistant to Associate Professor the candidate must demonstrate he/she has potential to advance to the full professor range and that he/she has an emerging stature as regional authority in his/her field unless the assignments are specifically at the local level. Overall research portfolio of candidates for Associate Professor should be comparable to that of previous successfully promoted candidates of the Department of Horticulture and must demonstrate an emerging regional reputation.

Promotion to Professor

The dossier of the candidate for Professor should be comparable to previously successful departmental candidates and must demonstrate a national/international reputation. The individual's work should demonstrate creativity, innovation, and impact as measured by such indicators as citations, levels of adoption of results or methods, and other measures of scholarly contribution. Scholarly contributions also include competitive extramural or internal funding, industry sponsored projects, invited national and international conferences, books and book chapters published.

## Promotion Criteria: Instruction

Teaching effectiveness will be measured by peer assessment of relevance and appropriateness of course materials; student course evaluations; and feedback or letters from former students.

Peer evaluation of teaching will follow *College of Agriculture Guidelines for Peer Review of Teaching* (http://www.ag.auburn.edu/business/documents/guidelines_spring06_revised.pdf).

Faculty members are required to administer a standardized Instructional Assessment System course evaluation in every course that they teach each term.

Feedback from a sample of former students is solicited by the department head.

In addition to level of teaching effectiveness, candidate contributions through undergraduate student advising; new course and curriculum development; innovation and scholarship as demonstrated by published articles, presentations, and grants related to teaching are highly valued. Expectations for additional contributions to teaching are based on teaching appointment.

Promotion to Associate Professor

The candidate for promotion from Assistant to Associate Professor must demonstrate (1) an effective teaching program, (2) a commitment to student learning; and (3) effective advising to students and/or student organizations and to students' career development. These may be evidenced by course evaluations and other documents which support teaching effectiveness as noted above. Advising advanced undergraduate research projects (e.g., those of Undergraduate Research Fellows) also would represent meritorious contributions to the department's teaching mission.

Promotion to Professor

To be promoted to Professor the individual must demonstrate teaching effectiveness in and beyond the classroom, such as advising students, and developing innovative teaching methods and materials. Candidates to be promoted to the rank of Professor must also demonstrate teaching competence through activities such as advising, course and material development for teaching, refereed teaching publications, and must be up to date with methods included in course syllabi. Teaching effectiveness and competence may be measured by criteria such as direction and guidance of graduate and undergraduate students, mentoring young faculty, graduate students, and post doctoral personnel.

**Promotion Criteria: Extension/Outreach**

Extension faculty members are responsible for providing the disciplinary expertise and statewide leadership for educational outreach programs conducted through the Alabama Cooperative Extension System. Horticulture faculty with Extension responsibilities have direct contact with clientele through group teaching or individual consultation to address specific needs or problems. However, they are expected to develop and implement creative, innovative educational programs and educational products for a broad audience. Extension faculty are responsible for producing educational curricula, publications and teaching materials; and working collaboratively with colleagues in other states, community agencies, and government agencies to address problems or needs of the region and nation. Faculty with Extension appointments are expected to proactively engage in outreach work through a planned Extension programs in a manner consistent with the percentage of their appointment. Faculty members are expected to reach appropriate, diverse audiences and leverage the research and knowledge bases to address issues, needs and opportunities across the state and beyond. Promotion is based on program accomplishments, disciplinary competence, professional development, and leadership achievements.

Expectations for faculty with Extension responsibilities are characterized by, but not limited to the following activities and outputs:

1. Extension/Outreach Program Development – An Extension program should be developed through departmental consultation and multidisciplinary collaboration with peers.
   - Level of the development and delivery of effective Extension/Outreach programming.
   - Estimated impact of program delivery to stakeholders
   - Solicitation of input from stakeholders for the delivery of programs

2. Program Implementation and Professional Activities

– Dissemination of Knowledge – Creative methods should be used to effectively provide training and technical assistance. Peers and stakeholders should indicate demand for the Extension specialist as a competent resource person.

> Serve as resource person at informal and formal meetings, workshops and seminars with individuals and groups seeking information
> Serve as resource person in print and electronic media in subject matter area
> Effectively communicate information and knowledge
> Demonstrate sensitivity of needs of learners
> Number of contacts from stakeholders requesting and number receiving information/advice/counsel.
> Presentations targeted toward stakeholders or stakeholder groups.
> Estimated impact of program implementation by stakeholders.
> Creative use of technology to effectively reach clientele.

– Learning activities – A wide range of learning activities should be employed to reach the target audience. These include workshops, seminars, result and method demonstrations, group discussions that are facilitated by the extension specialist.

> Learning activities are well organized and materials well communicated
> Activities are organized to facilitate learning
> Learner participation is encouraged
> Technical material is discussed in context of stakeholder activities
> Timely and meaningful feedback is provided to participants' questions
> Enable participants to satisfy objectives in a timely manner

– Professional Presentations – The Extension faculty member should participate in a number of professional activities to remain current, improve professional competence and develop a reputation for a high quality program. He/she should be consistently invited to participate in workshops, seminars, conferences and other professional activities. Examples include presentations at state, regional, national, and international meetings, conferences, and symposia.

3. <u>Extension/Outreach Products</u>

– Publications – A wide range of publication types should be developed by an extension specialist. The overall quality is evaluated by the demand from the targeted audience.

> Books/Book chapters/Reviews
> Refereed manuscripts directed toward Extension/Outreach indicating candidate's contribution and impact.

> Abstracts presented at state, regional and national, and international meetings related to Extension/Outreach
> Alabama Cooperative Extension System publications (i.e. fact sheets, timely news articles, bulletins) published for dissemination of knowledge to stakeholders.
> Popular press articles published with level of estimated impact.
> Electronic media, other technologies and resources utilized to disseminate information to stakeholders with associated impact level.

– Teaching material – High quality teaching material should be developed with clear goals and objectives. The material should be current, professionally credible, and reach a large percentage of the target audience.

> Develop teaching materials that are appropriate to learner and setting
> Provide new information that is relevant to current stakeholder situation
> Promote change that is easily diffused

4. <u>Grants and Extramural Funding</u> – Extramural and internal funding should be sought as a method of supporting and enhancing the overall extension program.

– Grants received and funded as well as grants applied for but not funded in support of Extension/Outreach program efforts
– Proposal partnerships where the candidate is clearly the proposal PI and team leader.
– Develop and initiate Extension grants
– Pursue innovative ways of seeking grants

5. <u>Professional Competence</u> – Extension specialists should be recognized by both peers and stakeholders as professionally competent.

– Demonstrate mastery of subject matter
– Show competence in program planning
– Demonstrate creativity and innovation in preparation and packaging of educational materials
– Subject matter content is relevant and timely

6. <u>Awards and Honors in Extension/Outreach</u> – Demonstrated through college, university, state, national, and international awards

<u>Promotion to Associate Professor</u>

The candidate for promotion to Associate Professor must demonstrate: (1) a productive program as measured primarily by departmental and Extension publications, electronic media, and presentations in professional meetings (applied research publications in peer-reviewed journals are also encouraged as a means of establishing a regionally, nationally, or internationally recognized program); (2) an effective Extension program that includes program development, delivery, and relevance, as measured by peer and client evaluation of programs, publications, and presentations; (3) documented expertise in candidate's specialty areas that meets the needs of constituents; (4) pursuit and acquisition of extramural and internal funds necessary to support the candidate's Extension efforts. The candidate for Associate Professor should demonstrate competence in the areas above comparable to others of the same rank with similar. The individual should acquire a regional Extension reputation.

Promotion to Professor

The candidate must demonstrate: (1) sustained productivity of high quality and an effective Extension program, which includes program development, delivery, and impact, as measured by peer and client evaluation of programs, publications, and presentations; (2) a regional, national, or international reputation in candidate's specialty area (3) leadership in Extension or service on a regional or national level; (4) documented expertise in candidate's specialty areas that complements research of the department and meet the needs of constituents.

**Service**

All faculty members are expected to participate in the operation of the department, college, and university by serving in various capacities (for example, on committees, boards, panels, task forces, and commissions). This activity is broadly known as service. Faculty members are expected to further their discipline by providing service to their professional societies by serving as officers or members on committees, serving as editors and reviewers for professional journals or other professional publication outlets. Although there is a reasonable limit to the extent of involvement (to be managed by the Department Head), it is not unreasonable for service activities to occupy an average of five to 10 percent of a faculty member's time.

**Schedule of Events for the Promotion and/or Tenure Process**

The following schedule of events will be implemented for the development, evaluation, and submission of Promotion and Tenure dossiers as allowed by the Provost's published schedule within the Department of Horticulture on or before:

March 15 - Consultation meeting between faculty member to be considered for promotion and/or tenure and Department Head to initiate the process. This meeting may be initiated by either the faculty member or Department Head. Following the meeting the Department Head shall begin the development of the material identified in the *Faculty Handbook*, Chapter 3, Section 11, Part C3 “Information to be Supplied by the Department Head”.

June 1 - Faculty member presents Department Head with completed dossier as per guidelines set forth in the *Faculty Handbook*, Chapter 3, Section 11, Part C2, “Information to be Supplied by the Candidate”.

July 1 - Department Head solicits external reviewers for evaluation of the candidate as set forth in the *Faculty Handbook*, Chapter 3, Section 11, Part C3 “Information to be Supplied by the Department Head”.

August 15 - Receipt of letters by external reviewers by the Department Head.

September 1 - Candidate’s dossier is made available to the voting faculty of the Department of Horticulture for review.

September 15 - Departmental meeting of all eligible faculty to confidentially discuss candidate and vote by secret ballot. Immediately following the faculty meeting, the designated lead mentor of the candidate’s mentoring team shall write a consensus report incorporating the discussion from the faculty meeting into the report. The consensus report shall include the secret ballot faculty vote as outlined by the *Faculty Handbook.*

October 1 - Candidate dossier finalized, copied, and submitted to the Dean of the College of Agriculture for subsequent action.

**General Process Considerations**

These guidelines are meant to provide a process through which a consistent, clear, and fair judgement of a faculty member’s qualifications can be made. It is not meant to be a decision tool, but rather a starting point from which to frame the promotion and/or tenure discussion. From the department’s standpoint, the only deciding factor in granting promotion or tenure is by vote of the faculty. These guidelines are meant to ensure that the vote is taken after careful, thoughtful, fair, and, to the extent possible, quantitative consideration of the merits of the candidate.

**Criteria for Dossier Evaluation By Voting Faculty**

Faculty evaluation of a candidate will be based upon the candidate’s specific percentage responsibilities as assigned by the Department Head that have been discussed with the candidate during previous annual performance evaluations. Responsibility areas will be comprised of appropriate combinations from among research, instruction, extension/outreach, service, and departmental and/or Extension administrative assignments made by the Department Head and/or Directors of Alabama Cooperative Extension System or Alabama Agricultural Experiment Station.

Discussion of a candidate's qualifications by the faculty is of a highly sensitive nature and must be held in the strictest confidence to assure that the opinions expressed are honest. The opinions, rankings, or measures discussed as evidence are all meant to inform voting faculty in making their final judgement on promotion and tenure. The vote and an accompanying letter summarizing the deliberations are the only record of the proceedings.

**Faculty Worksheet:**

The following worksheet will be supplied with the candidate's dossier by the Department Head to each voting faculty member (ie above the rank of the candidate) to evaluate the candidate for promotion and/or tenure. The total number of evaluation points cannot exceed 100. The percentage for each category is based on the average assigned responsibilities of the candidate for the preceding probationary period. The evaluating faculty member will base his/her score in each category on the examination and evaluation of the candidate's dossier. Each participating faculty member will bring these worksheets to the called meeting to serve as a basis of discussion.

**Candidate Name: ______________________________________**

Percentage of allocation in each area:

Research _______ %

Instruction _______ %

Extension/Outreach _______ %

Service _______ %

Total 100 %

(For example, if a faculty member has assigned responsibility allocated as 30 % instruction, 65 % research, and 5 % service, then the total point distribution would be 30 points for instruction, 65 points for research, and 5 points for service, for a total of 100 points.)

**Evaluation Data:**

| **Category** | **Available Total Points** | **Faculty Member Score** |
|---|---|---|
| **Research** | | |
| | | ________ |
| | | ________ |

**Instruction**

**Extension/Outreach**

**Service**

**Total**

**100**