# College of Human Sciences

# Guidelines on Faculty Assignment, Annual Review and Promotion and Tenure

# (For Tenure Track Faculty Only)

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*Department of Human Development and Family Studies (HDFS)*

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Guidelines on Allocation of Faculty Assignments, Annual Assessment and Promotion and Tenure

*Introduction*

**A. Background**

The Department of Human Development and Family Studies (HDFS) values and supports the creation and dissemination of knowledge through the activities of its academic faculty including research, instruction, outreach and service. In its continuing pursuit of excellence in each of these key activities, the Department has developed guidelines to facilitate the establishment of equitable faculty assignments, annual assessment, and promotion and tenure. The HDFS Guidelines are supplemental to the Auburn University *Faculty Handbook and relevant policies*, and may be reviewed, revised and updated periodically in response to changes in the Auburn University *Faculty Handbook and relevant policies* or to relevant HDFS criteria.

**B. Purpose**

The purpose of these guidelines is threefold:

    I.    To establish a framework that facilitates the equitable distribution of faculty assignments across the Department;

    II.    To promote faculty and departmental accountability in relation to agreed upon annual assignments; and

    III.    To provide a mechanism for recognizing and rewarding excellence in faculty achievement.

**C. Key Stakeholders**

Key stakeholders with an interest in this document include HDFS faculty, College of Human Sciences Administrators, internal and external peer reviewers in the Auburn University promotion and tenure review process, members of the Auburn University Promotion and Tenure Committee and Central Administration. A copy of the HDFS Guidelines will be provided to external peer reviewers with each candidate dossier. The Dean, Department Heads, and faculty may reference these guidelines in the support letters they include in the candidate's dossier that is submitted to the University Promotion and Tenure Committee.

## College of Human Sciences Faculty Assignment Policy

**A.  Faculty Assignment Description**

Assignment of responsibilites, often referred to as "faculty load," is the combined total of work undertaken by a faculty member over the course of an academic year.

**B.  Distribution of Effort**

A faculty member's assignment (also called distribution of effort) includes teaching and/or outreach, research, service, and possibly administration. A full-time teaching load is 12 credits per semester. The standard teaching load in the College is 6 credits per semester, 12 credits per academic year. This teaching load represents 50% of a faculty member's total effort. Each individual course is 12.5% of the 100% distribution. Faculty do not receive credit toward their 100% distribution for individualized instruction (e.g., directed readings, special problems). Any variation in the standard teaching load (i.e., 2-1, or 1-1) reflects conditions of the original hire, or is the result of negotiations with the Department Head. In cases where faculty do not meet performance expectations, appropriate adjustments will be made to their faculty assignments following a thorough review by the Department Head and Dean. All faculty receive a copy of their distribution of effort for the upcoming academic year at the time of their annual performance evaluation.

Faculty receive one undergraduate course reduction for the completion of theses or dissertations at the following rate: (a) three dissertations = one course reduction; (b) five theses = one course reduction; (c) two dissertations and two theses = one course reduction; (d) one dissertation and four theses = one course reduction. Thesis/dissertation co-chairs receive ½ credit for thesis/dissertation completion. The course reduction is given at a time that is agreeable to the faculty and the Department Head. In consultation with the Department Head, faculty may buy out of an undergraduate course with external grant funds. For each buyout, the teaching workload is reduced by 12.5% and the research workload is increased by 12.5%.

Research assignments will vary depending on percent time teaching and/or outreach, and administration. Faculty with administrative responsibilities (e.g., graduate program officers, program coordinators) receive a one course reduction (undergraduate) per academic year. All faculty members are assigned a total of 5% of their total distribution of effort for service. Service includes departmental, college, and university service, as well as professional service responsibilities.

**C.  Compensation**

The College of Human Sciences does not provide additional compensation for teaching overloads.

## *Annual Faculty Review*

Research, teaching, outreach, service, and contributions in each of these areas made as a productive and collegial member of the department are addressed as part of the annual assessment of faculty and for tenure and/or promotion applications. The annual assessment process takes into account yearly faculty activity and productivity and considers the yearly contribution in the larger context of the faculty member's body of work. Specific goals are reviewed and revised every year for each faculty member and faculty load may be renegotiated based upon achieved goals in the preceding year.

## A. General Guidelines

According to the Auburn University *Faculty Handbook,* every faculty member should undergo a formal performance review each year. The Department Head will conduct the review which will provide the basis for recommendations related to salary, promotion, tenure, work re-allocation, reappointment, and dismissal. The annual assessment cycle is based on the calendar year. This period includes the spring semester of one academic year, the summer semester of that academic year (if applicable), and the fall semester of the following academic year. Teaching is reviewed on the basis of the academic year, which includes spring semester and summer semester (if applicable) of the calendar year and Fall semester of the preceding calendar year. The use of the academic year allows both fall and spring teaching evaluations to be reported in the annual review materials. Review guidelines are offered as follows:

### I. Annual Assessment and Faculty Assignment Procedure

The Department Head will conduct the annual review of each faculty member, usually before April 30. As recommended by the *Faculty Handbook* the Department Head will take extra care with faculty who have not yet achieved tenure or promotion to associate professor or professor in discussing the faculty member's job performance in relation to promotion and tenure criteria.

### a) Submission of Review Materials

Each year faculty members will submit review materials to the Head by January 15. Required materials include:
  i. A current Auburn University promotion and tenure formatted dossier of accomplishments. The format is described in the Auburn University *Faculty Handbook*.
  ii. The College of Human Sciences Faculty Annual Evaluation Form (Appendix A):
    a. distribution of time and effort is specified.
    b. a summarized list of administrative, instructional, outreach, and research goals and accomplishments for the assessment period.
    c. an annual planning record for the next assessment period indicating workload and goals.
    d. The Annual Evaluation Form aligns with the *Faculty Handbook* and is located at http://www.humsci.auburn.edu/HDFS/eval/faculty05.php

**b) Peer Evaluation Meeting**

While annual evaluations are underway, all HDFS faculty members will have access to the completed HDFS Annual Evaluation Forms of all other faculty for the current review year. All tenured faculty will meet and review untenured faculty. Additional stratification of faculty by rank for these review meetings will be done at the discretion of the Department Head. The Head will convene each meeting and record faculty feedback. In the case of faculty members who have not achieved tenure or promotion to associate professor or professor, feedback will focus specifically on performance in light of the promotion and tenure criteria set forth in this document. This feedback will be summarized by the Head and distributed for review by the tenured faculty before being incorporated into the written performance evaluation. In the case of promotion to full, the feedback will be reviewed only by full professors prior to being included in the written evaluation.

For faculty members with extension appointments, feedback will be solicited, via e-mail, from members of the relevant ACES Priority Planning Teams (e.g., Family and Child Development, 4-H).

**c) Annual Review Meeting with Department Head**

The Head will review the current and cumulative contributions and progress of each faculty member in the areas of research, teaching, outreach, service, and administration. The Head and faculty member will meet to discuss the faculty performance over the review period and to discuss the faculty member's assignment for the coming year. Faculty feedback will be included in the discussion, as will Extension feedback for faculty with extension appointments. Each faculty member will receive a copy of his/her distribution of effort assignment for the coming year.

**d) Annual Review Written Evaluation**

The Head will prepare a written evaluation covering the major points of his/her evaluation over the assessment period. This report will be discussed at the annual review meeting. A summary of faculty feedback will be included in the report, as will Extension feedback for faculty with extension appointments. The report also will include the Department Head's assessment of performance on each assignment (teaching, extension, research, service) as well as the overall performance level. The evaluation categories include: exemplary, exceeds expectations, meets expectations, marginal, or unacceptable.

**e) Report Receipt Confirmation by Signature**

The faculty member will receive a copy of the report, which must be signed by both the Head and the faculty member and returned to the Dean's Office by May 25. Each faculty member is responsible for signing a copy of the report in order to indicate that it was received. If the faculty member disagrees with information in the report, she or he may write a response to be appended to the report. One copy of the signed report and

response, if applicable, will be placed in the faculty member's departmental personnel file.

*Promotion and Tenure*

A.  **General Criteria and Considerations**

Because the Auburn University *Faculty Handbook* is a living, and thus, changing document, but also the final guide to procedure pertaining to the review process, faculty should refer to the *Faculty Handbook* for all matters concerning that process. Below, the criteria by which scholarly contribution is evaluated in the Department of Human Development and Family Studies in the areas of (a) research; (b) teaching; (c) outreach; and (d) service are outlined.  Guidelines regarding due process for promotion and tenure and documentation in support of a candidate's application are found in the *Faculty Handbook*.

I.  **Appointment as Associate Professor or Promotion to Associate Professor**

a)  **Research**

Appointment as associate professor or promotion from assistant to associate professor is based on research accomplishments that reflect independent and programmatic scholarly activity appropriate to the candidate's field and area of specialization. A reputation for excellence should be emerging among peers in the Department and should be attracting the attention and respect of professional peers.

Evidence of independent and programmatic applied and/or basic research includes: a sustained record of research publications in respected, carefully reviewed scholarly journals or book chapters and books, at least some of which are senior-authored and some of which are independent of graduate school mentors; evidence of efforts to obtain external funding; presentations at the national level; and invited participation in post-graduate programs, national meetings and symposia, patents and copyrights.

For faculty with extension appointments, publications may emphasize papers published in peer reviewed journals that focus on informing practice or social policy. Extramural funding may support curriculum/program evaluation, development/testing of best practices, testing of the effectiveness of new resources (e.g., videos, web sites), and other applied research projects. Research-based curricula and/or training guides with substantial impact on the field provide evidence of the integrated nature of the candidate's scholarly work.

Given the diversity of appointments individuals have, research activity will be evaluated in the context of the position description and the candidate's faculty assignment. Research productivity will be considered a function of both quality and quantity. Judgments of quality will be made by departmental faculty members after reviewing the candidate's scholarly work. The esteem and publishing practices of the journals and publishing houses with which the candidate publishes contribute to a judgment of quality. Journal rankings within discipline sub-specialties, impact factors, and citations by others in journal articles or books also inform the assessment of quality. Additional indicators of quality include reviews in scholarly journals, reviews conducted for journals, and reviews of grant applications. Each candidate will be expected to make the case for his/her research activities; the more quantifiable evidence a candidate can

provide, the more substantial the evidence in support of promotion and tenure. High quality interdisciplinary work is also valued.

b) **Teaching**

An individual should be an accomplished teacher, well prepared, with a mastery of the fundamentals of subject matter. The views of colleagues, summaries of student evaluations, and quality of graduate student mentoring will be important in this evaluation. The individual should demonstrate efforts towards continued growth as a teacher.

Evidence of effective teaching includes: peer evaluations of teaching, student evaluations of teaching, letters from former students commenting on the applicant's teaching effectiveness, quality of dissertations and theses directed, publications with students, advising activities, and the faculty member's teaching philosophy. Innovations in instruction, products related to teaching, and teaching grants also provide evidence of effective teaching.

An individual with a substantial Extension appointment may have a small teaching load, yet may provide instruction through venues other than University teaching (e.g., community-based education, online webinars). Recommendations regarding criteria for evaluating these activities can be found in the Outreach section of this document.

c) **Outreach**

For faculty with extension appointments, promotion from assistant to associate professor or appointment as associate professor is based on accomplishments that demonstrate an integrated program of outreach scholarship showing evidence of quality, impact, and dissemination of resulting programmatic products and expertise. Interaction with the wider community of outreach scholars should be visible, and a reputation for excellence among peers at Auburn and other institutions     should be emerging.

An outreach program should have a clearly identifiable focus that is based on relevant basic and applied research, and is established in partnership or consultation with regional and state professionals working in related areas of focus. An *integrated* outreach program involves some combination of the following outreach activities; the development of multiple educational resources (e.g., curricula, professional development materials, guide sheets, videos, websites or other internet-based educational technologies); trainings for professional and/or lay audiences to support program implementation; internal and/or external grant submissions; evaluation studies; and presentations and publications related to the outreach program.

Evidence of quality is seen in the achievement of some combination of the following visible, documented outcomes: publication of articles related to the outreach program in appropriate, peer-reviewed outlets; the development of innovative program materials or delivery methods (e.g., original web- or print-based resources, webinar

trainings, digital resources); funding for the development and/or delivery of outreach program innovations when such grants and contracts are competitive and subject to peer review; the adoption or adaptation by outside individuals of curricular or other program materials, processes, and resources developed for the outreach program.

Evidence of impact is seen in two or more of the following ways: documentation of data collected to assess the efficacy of the program implementation; documentation of data collected to assess achievement of short-term and/or long-term program goals; cost-benefit analyses of program impacts. Evidence of impact of a program or curriculum also can be shown through studies conducted by other scholars; this evidence demonstrates both impact and breadth of outreach.

Evidence of dissemination is seen in activities such as the provision of training to lay and professional audiences within and outside the State; outreach publications; lectures, presentations, and workshops on program-related processes, products, results, etc; and publication in other scholarly, peer-reviewed outlets of new and/or improved outreach education methods, new understandings of current knowledge, or new applications of knowledge in specific settings.

d) **University/Professional Service**

An individual should have some committee responsibility in the Department, the College and/or Auburn University. The candidate for appointment as associate professor or promotion from assistant to associate professor also should be participating in local, regional, or national committees of professional organizations and/or providing service to the local community as appropriate. Departmental citizenship, including cooperation with and participation in departmental initiatives, active participation in supporting departmental goals and promoting the Department's reputation on and away from campus, will be important for promotion and tenure.

Evidence of professional service includes: student recruitment (of both graduate and undergraduate students, but especially of the former); involvement with professional organizations that are consistent with the HDFS mission, service on Department and College committees, and/or University committees; service on editorial boards for journals, manuscript reviews, and grant reviews.

II.   **Appointment as Full Professor or Promotion to Full Professor**

a) **Research**

Appointment to full professor or promotion from associate to full professor is based on research accomplishments that reflect independent and programmatic scholarly activity appropriate to the candidate's field and area of specialization. The candidate should have a record of continuing research productivity and evidence that the research has had a significant impact on the field.

Evidence of applied and/or basic research productivity includes a sustained record of research publications in respected, carefully reviewed scholarly journals or book chapters and books; publications as senior author; extramural support or evidence of efforts to obtain extramural support; appointment to editorial boards; appointment to study sections; election to a national office in a professional society; invitations to speak at national and international meetings; and patents and copyrights.

For faculty with extension appointments, publications may emphasize papers published in journals focusing on informing practice or social policy. Extramural funding may support curriculum/program evaluation, development/testing of best practices, testing of the effectiveness of new resources (e.g. videos, websites), and other applied research projects. Research reports published by extension faculty also may be located in peer-reviewed publications designed for applied audiences.

The esteem and publishing practices of the journals and publishing houses with which the candidate publishes, reviews in scholarly journals, citations by others in journal articles or books, impact factors, journal rankings, reviews conducted for journals, and reviews of grant applications all add weight to a judgment of quality. Judgments of quality will be made by departmental faculty members after reviewing the candidate's scholarly work. Evidence of impact on the field includes recognition by the national and international scientific community that the candidate has made substantial contributions to their field. Each candidate will be expected to make the case for his/her research activities; the more quantifiable evidence a candidate can provide, the more substantial the evidence in support of promotion to full professor.

**b) Teaching**

An individual should be an accomplished teacher, well prepared, with a mastery of the fundamentals of subject matter. The views of colleagues, summaries of student evaluations, and quality of graduate student mentoring will be important in this evaluation. The individual should demonstrate efforts towards continued growth as a teacher.

Evidence of effective teaching includes: peer evaluations of teaching, student evaluations of teaching, letters from former students commenting on the applicant's teaching effectiveness, quality of dissertations and theses directed, publications with students, advising activities, and the faculty member's teaching philosophy. When relevant, innovations in instruction, products related to teaching, and teaching grants also reflect effective teaching.

An individual with a substantial Extension appointment may have a small teaching load, yet may provide instruction through venues other than University teaching (e.g., community-based education, online webinars). Recommendations regarding criteria for evaluating these activities can be found in the Outreach section of this document.

**c) Outreach**

For faculty with extension appointments, promotion from associate to full professor or appointment as full professor is based on accomplishments that demonstrate an integrated program of outreach scholarship with an established reputation showing strong evidence of quality, impact, and dissemination of resulting programmatic products and expertise. Interaction with the wider community of outreach scholars should be visible, and a reputation for excellence among peers locally, regionally, and nationally should be well-established.

An outreach program is characterized by a clearly identifiable focus, based on relevant basic and applied research, and established in partnership or consultation with regional and state professionals working in related areas of focus. An *integrated* outreach program involves some combination of the following outreach activities; the development of multiple educational resources (e.g., curricula, professional development materials, guide sheets, videos, websites or other internet-based educational technologies); training for professional and/or lay audiences to support program implementation; internal and/or external grant submissions; evaluation studies; and presentations and publications related to the outreach program.

Evidence of quality is seen in the achievement of some combination of the following visible, documented outcomes: publication of articles related to the outreach program in appropriate, peer-reviewed outlets; the development of innovative program materials or delivery methods (e.g., original web- or print-based resources, webinar trainings, digital resources); funding for the development and/or delivery of outreach program innovations when such grants and contracts are competitive and subject to peer review (preferably some funding at the federal level if available for a candidate's outreach programming); the adoption or adaptation by outside individuals of curricular or other program materials, processes, and resources developed for the outreach program. Recognition by groups at the state and national level of the candidate's leadership and contributions to the field as evidenced by awards, invited presentations, and invitations to serve as a reviewer of programs, portfolios, and other extension products.

Evidence of impact is seen in two or more of the following ways: documentation of data collected to assess the efficacy of the program implementation; documentation of data collected to assess achievement of short-term and/or long-term program goals; cost-benefit analyses of program impacts. Evidence of impact of a program or curriculum also can be shown through studies conducted by other scholars; this evidence demonstrates both impact and breadth of outreach.

Evidence of dissemination is seen in activities such as the provision of training to lay and professional audiences within and outside the State; outreach publications; lectures, presentations, and workshops on program-related processes, products, results, etc; and publication in other scholarly, peer-reviewed outlets of new and/or improved outreach education methods, new understandings of current knowledge, or new applications of knowledge in specific settings.

d) **University/Professional Service**

An individual should have some committee responsibility in the Department, the College, and/or Auburn University. The candidate also should be participating in local, regional, and national committees of professional organizations and provide service to the local community as appropriate. Departmental citizenship, including cooperation with, and participation in, departmental initiatives, active participation in supporting departmental goals and promoting the Department's reputation on and away from campus, will be important for promotion to full professor.

Evidence of professional service includes: student recruitment (of both graduate and undergraduate students but especially of the former); involvement with professional organizations that are consistent with the HDFS mission; service on Department, College and/or University committees; service on editorial boards for journals; manuscript reviews and grant reviews.

III.   **Tenure**

Academic tenure is a principle that affords the individual faculty member academic freedom in the university environment. A candidate's collegiality and productivity are the primary factors in achieving tenure.

IV.   **Collegiality**

The Auburn University *Faculty Handbook* defines collegiality in terms of whether a member's contributions are in line with the mission and goals of the department and whether the member demonstrates a willingness to participate in the shared academic and administrative tasks of the unit. Collegiality is one of the two primary appraisal factors in tenure decisions and is judged at the departmental level by tenured departmental faculty. Within HDFS, collegiality is understood to include active participation in shared governance of the unit and professional interaction with faculty, staff, and students. Examples include, but are not limited to: regular and constructive participation in faculty meetings, contribution of time and effort to departmental initiatives and events, participation in activities related to peer review and faculty recruitment, and professional interaction with external constituencies.

**B. Review Process**

For an explanation of the review process surrounding tenure and promotion see the Auburn University *Faculty Handbook.*

I.   The Handbook covers the following elements of the review: **Third Year Review**
II.  **Review for Tenure and Promotion, and for Promotion**
   a) **Promotion and Tenure Dossier and Supporting Materials**
   b) **Peer Review by Outside Reviewers**

   > Although Auburn University requires peer review by outside reviewers only for promotion to full professor, HDFS considers outside review of accomplishments and scholarship an integral part of the assessment of a candidate's record of achievement at the time of promotion to associate professor as well. See the Faculty Handbook for relevant policies.

   c) **Internal Peer Review by Departmental Faculty**
   d) **Department Head Recommendation**
   e) **Dean's Recommendation**

   f) **Communication to Candidate**
   g) **Faculty Support Letters**
   h) **Submission to the Office of the Provost**
   i) **Dossier Format**
   j) **Information Supplied by the Department Head**
   k) **Promotion and Tenure Schedule**