

Chapter 2.3

Promotion & Tenure (President): The Promotion and Tenure

Committee shall consist of the Provost as chair and ~~twelve~~ faculty members, at least one from each college/school and at least ten of which will be tenured faculty. The faculty members will be from the tenure-track faculty, the clinical faculty, or the research faculty. Non tenure-track clinical faculty members and non tenure-track research faculty members will not vote on tenure. Any academic year in which there is no clinical faculty member on the committee, a resource person for the clinical track will be appointed as a standby member of the committee. Any academic year, in which there is no research faculty member on the committee, a resource person for the research track will be appointed as a standby member of the committee. The resource person for the clinical track will be a faculty member holding the rank of professor who is in the clinical track, or in the event that no professor in the clinical track is available to serve on this committee, the resource person will be a tenured faculty member who works in a department or school that has clinical track faculty. The resource person for the research track will be a faculty member holding the rank of professor who is in the research track, or in the

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event that no professor in the research track is available to serve on this committee, the resource person will be a tenured faculty member who works in a department or school that has research track faculty.

The ~~four~~ new faculty members coming onto the committee each year shall be appointed by the President of the University from a list of ~~six~~

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nominees provided by the Senate Rules Committee. Each standby faculty member shall be appointed by the President of the University from a list of two nominees provided by the Senate Rules Committee.

In cases in which the President is unable to complete the staffing of the committee from the list of nominees provided by the Rules Committee, the President may require the Rules Committee to nominate additional faculty members. Faculty members cannot serve in any regular administrative position including that of department head/chair at the time of their service on the committee. Tenure-track faculty members must be tenured and should hold the rank of professor; clinical faculty members should hold the rank of clinical professor; and research faculty members should hold the rank of research professor. The committee shall review departmental and school or college recommendations on candidates for promotion and tenure and make recommendations to the President. The Associate

Provost and Vice President for Research and ~~the Assistant Vice~~
~~President for~~ University Outreach shall serve as non-voting members.
(~~15~~ members)

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Chapter 2.5

B. SELECTION OF DEANS AND DEPARTMENT HEADS/CHAIRS □

Deans: Deans are appointed by the President upon recommendation of the Provost and with the advice of search committees whose composition should reflect the primacy of faculty interest in the position. The faculty members on such search committees shall be selected so as to ensure broad representation of the programs in the school or college involved, as well as other interests within the University, and shall be selected in consultation with departmental faculty.

Department Heads/Chairs: Auburn University adheres to the "Joint Statement on Government of Colleges and Universities" adopted by the American Council on Education, the Association of Governing Boards of Universities and Colleges, and the American Association of University Professors regarding the selection of department heads/chairs: "The chair or head of a department. . .should be selected either by departmental election or by appointment following consultation with members of the department and of related departments; appointments should normally be in conformity with the department members' judgment." Appointment of department heads/chairs are made by the Dean.

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NO FURTHER CHANGES TO CHAPTER 2

Chapter 3

7. PERFORMANCE EVALUATION□

All department heads and unit heads shall conduct at least one yearly review before April 30 with each faculty member to evaluate his or her performance and to discuss his or her future development. In

order to review the faculty member fairly, the head shall request a current vita and any supporting material the head or the faculty member deems appropriate prior to the review. More frequent reviews may be conducted at the discretion of the faculty member or the department head.□□In the case of faculty members who have not achieved tenure or promotion to associate professor or professor, particular care shall be taken by the department head to relate the faculty member's job performance to the promotion and tenure criteria set forth in this document. Significant achievements or deficiencies which might enhance or impede the candidate's progress toward higher academic rank or tenure shall be noted.

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. The faculty member shall be required to sign it as confirmation of having seen it.

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If the faculty member does not agree with material in the report, he or she may write a response to be appended to the report. The addition of such a response will be noted on the signed copy of the report.

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One 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. This 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.

Each department shall conduct a review of all its probationary faculty members. This shall take place no later than Spring semester of the 4th probationary year. The head shall request a current vita and any

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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.

[Back to top](#)

8. PROMOTION CRITERIA AND CONSIDERATIONS

□ 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. The criteria for teaching, research/creative work, and

outreach described below 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. Credit shall also be given for contributions above and beyond specifically assigned duties.

A. TEACHING

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.

B. RESEARCH/CREATIVE WORK

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.

C. OUTREACH

As used in this chapter "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. (While outreach may be sponsored by a unit

other than the faculty member's department, both the faculty member and the sponsoring unit must recognize the activity as outreach.

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.

D. SERVICE

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.

[Back to top](#)

9. TENURE CRITERIA AND CONSIDERATIONS ☐

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. Decisions on tenure are different in kind from those on promotion. Tenure, in fact, is more exacting and, therefore, tenure is not possible if promotion to associate professor is not awarded. 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, the candidate for tenure must also demonstrate professional collegiality.

COLLEGIALITY

□ In appraising a candidate's collegiality, department members should keep in mind that the successful candidate for tenure will assume what may be an appointment of 30 years or more in the department.

Collegiality can be defined as the ability for an individual to work productively with faculty, students, colleagues, staff members and constituents in all environments impacted by the university.

Collegiality encompasses the basics of the professional ethics of the academic world: Respect for persons, integrity of intellectual inquiry, concern for the needs and rights of students and clientele, and awareness of workplace safety.

Collegiality should not be confused with sociability or likability, but rather as the professional criterion relating to the individual's performance of his or her duties within an academic unit that are compatible and consistent with the unit's mission and long-term goals. Collegiality is a basic expectation of all employees and is essential in maintaining or improving the academic quality of an institution. Each faculty member must interact with colleagues with civility and professional respect. All should exhibit an ability and willingness, when appropriate, to engage in shared academic and administrative tasks that a department group must often perform, and participate with some measure of reason and knowledge in discussions germane to department policies and programs.

Concerns respecting collegiality should be shared with the candidate as soon as they arise; they should certainly be addressed in the yearly review and the probationary review. Faculty members should

Deleted: . Collegiality is a professional, not personal, criterion relating to the performance of a faculty member's duties within a department. The requirement that a candidate demonstrate collegiality does not license tenured faculty to expect conformity to their views. Concerns relevant to collegiality include the following: Are the candidate's professional abilities and relationships with colleagues compatible with the departmental mission and with its long-term goals? Has the candidate exhibited an ability and willingness to engage in shared academic and administrative tasks that a departmental group must often perform and to participate with some measure of reason and knowledge in discussions germane to departmental policies and programs? Does the candidate maintain high standards of professional integrity?

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recognize that their judgment of a candidate's collegiality will carry weight with the Promotion and Tenure Committee.

[Back to top](#)

10. ELIGIBILITY FOR PROMOTION AND TENURE □

A candidate must be considered for tenure during his or her sixth year if he or she has not been considered earlier and has not waived consideration. There is no fixed requirement for years of service at a given rank before a faculty member can be promoted or tenured. Therefore, if a faculty member has had no prior service at another institution of higher education, he or she may be considered for tenure during his or her fifth year of full-time service. Under no

circumstances should the length of the probationary period exceed seven years of full-time service except where the faculty member has agreed in writing that a year in which the faculty member qualified for FMLA leave or took leave without pay will not count towards the probationary period. The written agreement must be received by the Provost within the probationary year in which the extension is

Deleted: There is no fixed requirement for years of service at a given rank before a faculty member can be promoted or tenured. However, the qualifications for tenure or for each professorial rank generally cannot be demonstrated fully in less than four complete years of service. Only in exceptional and well-documented cases, in which a faculty member has substantially exceeded requirements for promotion and/or tenure in a shorter time, should he or she be recommended for promotion and/or tenure before completing four years in rank. □ □

Deleted: If a faculty member has had no prior service at another institution of higher education, he or she normally should be considered for tenure during his or her fifth year of full-time service. A faculty member may request that tenure consideration be deferred from the fifth to the sixth year without prejudice. Consideration cannot be deferred beyond the sixth year however; a candidate must be considered for tenure during his or her sixth year if he or she has not been considered earlier and has not waived consideration.

requested.

If a faculty member begins employment between January 1 and May 15, the partial academic year shall not count as part of the probationary period.

Deleted: A candidate whose employment began in the period between December 1st and March 15th (roughly between the call for nominations for tenure and final action by the President) may be considered during his or her fourth year of full-time employment. This allows the candidate reconsideration during his or her fifth year without requiring the University to grant de facto tenure if the candidate is denied in the fifth year.

A faculty member who feels that he or she has not met the requirements for tenure by the sixth year can forever waive consideration by stating, in writing, that he or she does not wish to be considered by the department. In such a case, the unit head must send the faculty member a letter of noncontinuation stating that they will not be continued past the 7th year.

Deleted: A faculty member who feels that he or she has not met the requirements for tenure by the sixth year can waive consideration by stating, in writing, that he or she does not wish to be considered by the department. In such a case, the department head must send the faculty member a letter of noncontinuation.

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A faculty member on leave of absence without pay need not count his or her leave time toward tenure and/or promotion. However, if such a leave is professionally related, the faculty member may wish to count that time. A faculty member on leave without pay cannot be a candidate for promotion and/or tenure while on leave. A faculty member on leave with pay should count such time and may be a candidate. A faculty member who has qualified for FMLA leave while holding a tenure accruing appointment may request a one-year extension of the date on which the probationary period would end.

Only two such extensions are allowed. Any request may be made only during the first five probationary years of the tenure process. The faculty member will retain the position of full-time employee.

Except in highly unusual circumstances, a faculty member holding the rank of assistant professor or librarian II or archivist II recommended for tenure should be recommended for promotion to associate professor or librarian III or archivist III as well. However, recommendation for promotion at this level does not necessarily entail recommendation for tenure since the criteria for tenure, which include collegiality, are more exacting than the criteria for promotion. Recommendations for promotion and tenure must be voted separately.

There are no fixed quotas for tenured positions or for the various ranks established for colleges, schools, or departments.

DE FACTO TENURE

☐ A faculty member who provided more than seven years of full-time service in faculty rank on a temporary or probationary appointment

must be awarded tenure by the President, except in those cases described in the section on Prior Service of this Handbook in which a written agreement, approved by the Provost at the time of the new appointment, excludes some or all years of prior service at Auburn toward tenure eligibility. Any such exclusion would also apply to the awarding of de facto tenure.

Deleted: . A faculty member who contends that he or she has served in an academic rank for more than seven years may appeal through the normal administrative chain for consideration of the claim. However, tenure gained this way must be forfeited if it is established that the faculty member's not being recommended for tenure consideration was a deliberate attempt on the part of the faculty member and/or the department head to avoid the formal tenure process in order to acquire de facto tenure.

A full-time faculty member who has served more than seven years in a temporary or probationary appointment is entitled to the procedural protections associated with tenure in any action to terminate his or her services.

[Back to top](#)

11. PROCEDURE FOR PROMOTION AND TENURE

A. INITIATION OF THE PROCESS

□The promotion process can be initiated by the candidate's department head or by the candidate. In the case of tenure, it is the joint responsibility of the department head and the faculty member to see that the tenure process begins at the appropriate time. The steps delineated below apply to both the promotion and tenure process.

Candidates and department heads should supply information necessary for evaluation in the format outlined in this chapter. This information should be available first to eligible faculty members, then to the dean and, if applicable, the College Committee, then to the University-level Promotion and Tenure Committee. The information requested is sufficiently detailed so that faculty members can evaluate a candidate in terms of both potential and achievement. Department heads and candidates who have questions about material to be submitted should feel free to contact the Provost.

B. PARTICIPATING FACULTY

□Faculty members eligible to participate in evaluation of the candidate are those of higher rank than the candidate for promotion

and those with tenure in the case of a candidate for tenure.

C. INFORMATION ON THE CANDIDATE

☐ *The outline printed below indicates the kind of information each candidate for promotion and/or tenure and his or her department head should supply and describes the format to be followed in presenting that information.*

[Back to top](#)

1. GENERAL INSTRUCTIONS

☐ *All lists (of positions held, courses taught, publications, etc.) should be in reverse chronological order with dates clearly indicated.*

Supporting material such as publications, slides, course materials, evaluative material (book reviews, published critiques, adjudicated production reviews, etc.) should be made available for review by the

department and later by the dean and College Committee. The candidate and department head should agree on the selection of material to be made available. This material should not be forwarded to the Promotion and Tenure Committee.

2. INFORMATION TO BE SUPPLIED BY THE CANDIDATE

- ☐ 1. *A Standard Biographical Data sheet ([PDF Form](#)).*
- 2. *A percent breakdown of the allocation of time and effort for teaching, research/creative work, outreach, and service for the past three years.*
- 3. *A list of honors and awards. Include academic honors, teaching awards, fellowships (such as NEH, NEA), internal support (including professional improvement leave), election to professional societies, etc.*
- 4. *A list of scholarly contributions in accord with the following outline. A candidate should present his or her work as informatively and accurately as possible. A candidate should cross-reference work that falls in two areas (e.g.: See X.x.). Librarians and archivists should*

interpret teaching to apply to performing as a librarian or archivist and adapt the following outline accordingly.□

SCHOLARLY CONTRIBUTIONS BY THE CANDIDATE

□A. *Teaching*

1. *Actual courses taught for each semester of the past three years. Indicate lecture/lab hours per week and enrollment.*
2. *Graduate students whose work has been completed. Indicate degree awarded to the student, year, and, if known, position now held by the student; indicate whether the candidate was the major professor or a committee member.*
3. *Graduate students on whose committee the candidate is presently serving. Indicate whether the candidate is the major professor or a committee member. Indicate the degree the student is working for and the work that the candidate has done.*
4. *Courses and curricula developed.*
5. *Grants received related to teaching.*

6. *Publications pertaining to teaching. Include textbooks, manuals, articles on pedagogy.*

7. *Other contributions to teaching.*

8. *Statement of candidate's teaching philosophy and self-evaluation in terms of his or her stated values. This should be no longer than one page.*

B. Research/Creative Work

For publications: provide complete publication data. In cases of multiple authorship, list names of all authors in correct order. Inform the committee of the significance of author order on publications in the candidate's disciplines. Indicate percent of the candidate's contribution or describe the nature of the candidate's contribution; indicate, by means of an asterisk, student contributions. Provide, in an appendix, proof of acceptance of publications in press and proof of publications of which acceptance is conditional. Do not submit manuscripts that have not been accepted for publication. For exhibitions and performances, provide dates and locations.

1. *Books.*

2. *Article-length publications. Distinguish by type: book chapters, articles in refereed journals and invited articles, bulletins, proceedings, transactions, abstracts, book reviews, non-refereed articles, etc.*

3 *Papers or lectures. Distinguish by type: papers at professional meetings, invited lectures, etc.*

4 *Exhibitions. Distinguish between juried or invitational shows; identify work(s) and juror (juries); indicate regional, national, or international exhibitions.*

5 *Performances. Distinguish between local performances, out-of-town invitationals, concert series, etc. List musical compositions here.*

6. *Patents and inventions.*

7. *Other research/creative contributions.*

8. *Grants and contracts. Note all co-authors, identifying the principal investigator and the involvement of the candidate; indicate funding source and amount. Distinguish between grants received and grants applied for but not funded. (Note: internal support and NEH*

and NEA fellowships should be listed under Honors and Awards above.)

9 Description of candidate's scholarly program. Work in progress and work anticipated should be described in no more than one page.

C. Outreach

The purpose of this section is to document achievement in outreach scholarship. It is divided into two parts. Part 1 is a reflective commentary on the candidate's outreach program or programs. It is intended to highlight and explain the candidate's most significant contributions. Part 2 is a list of all of the candidate's outreach activities and products.

1. Commentary. The commentary should describe and explain the scholarship involved in one or more outreach programs that you consider the major achievements of your efforts. A program is a set of activities that share a common focus and depend upon a particular expertise. The entire commentary is limited to five pages, single spaced. Each program should include the following.

a. Description. Provide a brief overview of the needs

addressed, the objectives, methods, and target audience. Describe selected activities and/or products from Part B that are most illustrative of the candidate's contribution to this program. Include example in the portfolio.

b Mission. Indicate how the program was compatible with university and unit missions.

c. Scholarship. Describe the role of the candidate's professional expertise in the design and execution of the program. Describe how the activities applied the candidate's discipline to the needs of society, required integration with other disciplines, and/or generated new knowledge for the discipline and/or audience. Explain how this knowledge was communicated to broader audiences. Indicate how the program led to increased recognition of the candidate's professional expertise by external audiences. Indicators would include requests for information, invitations to make presentations, service on review panels, receipt of contracts, grants, and professional awards, etc.

d. Impact. Describe observed impacts and/or explain any unobserved impacts that are to be expected according to the

discipline(s) applied. Identify the direct and indirect beneficiaries.

Evidence of impact can include both quantitative results (e.g. changes in test scores, increased crop production, or widespread adoption of a product or technique) and qualitative results (e.g. testimonials from clients, reviews by knowledgeable scholars/critics).

2. Activities and Products. List activities and products using the categories outlined below. There is no page limit on Part B, but candidates are encouraged to be concise in order to focus reviewers' attention on the most important contributions. In particular, numerous activities or products of the same type should be summarized to the extent possible. Brief descriptions accompanied by examples and totals will suffice. See the example of Professor X in [Appendix A](#).

a. Instructional activities. List the title or subject of each distinct course or presentation, the type (curriculum, course, workshop, exhibit. etc.), the duration (usually in hours), the candidate's role in creating (developer, presenter), the target audience, the method of reaching the audience (conference presentation, telecommunications, site visit, etc.) and the number of presentations given.

b. Technical assistance. List each type of assistance (e.g. job

classification), the clientele, the contribution, and the number of times provided.

c. Outreach publications. Distinguish by type as indicated in paragraphs B1-B3 above: books (including published manuals and reports), article-length publications, papers and lectures. Provide complete publication data, including number of pages, names of all authors in correct order, and percentage of candidate's contributions. Indicate all refereed or peer-reviewed publications.

d. Electronic products: computer programs, web sites, etc.

e. Other outreach products: videos, job aids, etc.

f. Copyrights, patents, and inventions.

g. Contracts, grants, and gifts.

D. Service

1. University Service: Distinguish among service to the University, to the college/school, and to the department. University service as part of a previously held position may be listed here. Administrative work which reduces the candidate's teaching or

research assignment should be listed here.

2 *Professional Service: Service to professional associations and learned societies such as offices held, committees served on, etc.*

[Back to top](#)

3. INFORMATION TO BE SUPPLIED BY THE DEPARTMENT

HEAD ☐

Information should be supplied in each of the following areas:

A. Teaching

1. *Student evaluations. Include all student evaluations from one class per year for each of the three preceding years as follows: For each class include a copy of the questions asked, a summary indicating the spread of numerical responses to all questions, and all student comments in unedited form. If the University form is submitted, submit information on the required questions only and all student comments in unedited form. Indicate the grade distribution in each of these classes. If evaluations from more than three classes*

are available, the candidate should be consulted about which evaluations are to be included. The evaluations should reflect the candidate's teaching in the different kinds of courses he or she is assigned to teach. The evaluation results should be condensed into as few pages as possible.

2. Peer evaluations. Include peer evaluations for one class for each of the three preceding years. These should include assessment of syllabi, handouts, and exams, and assessment of the candidate's conduct of the class. Reports based on team teaching are an acceptable form of peer review.

3. Letters from thesis/dissertation students. Librarians and archivists may include letters from members of the academic community outside the library. Supporting letters in this category are optional. No more than three should be included.

B. Research/Creative Work

1. Statement as to how the level of support (dollars, personnel, space, reduced teaching loads, etc.) provided to the candidate compares to others engaged in similar work in the department.

2. *Based on faculty input, an assessment of the quality of journals in which the candidates have published.*

C. Outreach

1. *A statement of how the candidate's outreach program*

a. *serves the mission of an appropriate university unit (which information may be obtained from the sponsoring unit if it is not the candidate's own department), and*

b. *reflects scholarship (e.g. of application or integration) in the candidate's discipline. (See C1c above).*

2. *Participant, client, or peer evaluations from outreach activities. These letters may be solicited by the candidate or the department head.*

D. Service

1. *Confidential letters invited by the candidate addressing his or her work on college and University committees.*

The department head (or the dean) shall solicit information from

outside referees in the case of candidates nominated for promotion

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librarian IV or archivist IV*

and/or tenure; he or she may do so in other cases. In consultation with the candidate and the faculty voting on the candidate the unit head (s), shall compile a list of potential evaluators. He or she shall then seek responses from at least three of the potential evaluators.

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These evaluators shall be people outside of Auburn University who are nationally acknowledged experts in the candidate's field and can comment on the quality and reputation of the candidate's work. If the evaluator is from an academic institution, he or she shall be of equal

or higher academic rank than the candidate. Letters from the candidate's major professor for a graduate degree and from former graduate students, are unacceptable. Evaluators may be associated

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with industry, government agencies, foundations, etc. All letters shall be made available to the voting faculty. A summary of each evaluator's credentials will be included with the letters in the dossier.

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[Back to top](#)

D. CONSIDERATION OF THE CANDIDATE

☐ The candidate's dossier (consisting of the information supplied by

the candidate and the information supplied by the department head) and supporting material shall be available for review exclusively by faculty eligible to vote on the candidate. After the faculty has had time to review the dossier and supporting material, the department head shall convene a meeting of all eligible faculty to discuss nomination of the candidate.

Confidentiality and the right of faculty members to express their viewpoints openly without fear of retaliation shall be the hallmarks of the discussion. Departmental deliberations shall be confidential to the extent permitted by law, as shall all documents and testimonies involved at the various levels of the promotion and/or tenure process. If a recommendation is forwarded, all copies of a candidate's dossier shall be destroyed after the Promotion and Tenure Committee's deliberations are completed except for the copy filed permanently in the Office of the Provost. This copy is subject to legal review only under certain conditions.

[Back to top](#)

E. THE DEPARTMENT'S AND DEAN'S RECOMMENDATION

☐ After the candidate has made a presentation of his or her credentials if he or she so wishes, and after the faculty eligible to vote have had time to discuss the candidate's qualifications in a closed meeting, a secret ballot shall be taken at the meeting of eligible faculty to determine the final recommendation of the faculty. Faculty members may participate in the promotion and/or tenure recommendation in one of the following ways:

a. present and voting, ☐ b. present and abstaining, ☐ c. absent but submitting a written vote prior to the meeting, or ☐ d. absent and not voting (This response does not count as part of the total vote.).

The department head should not vote with the faculty because he/she provides a written evaluation of the candidate and a recommendation for or against promotion and/or tenure. Any other faculty member who has an official vote on the candidate at a higher level shall vote no more than once (e.g. departmental or University P&T Committee level). Immediate family members shall excuse themselves from discussion and voting.

Deleted: If of appropriate academic rank and status, the department head shall vote by secret ballot with the faculty. Any other faculty member serving as an administrator who has an official vote on the candidate at a higher administrative level shall excuse himself or herself at the departmental level. Faculty members who serve in an advisory capacity at the school, college, or University level may vote at the department level but at higher levels shall excuse themselves from decisions on candidates from their departments.

The department head shall announce the vote at the meeting. The vote shall be transmitted itemized as a, b, c, and d as listed above in writing, first to the dean of the candidate's college or school and the College Committee, then to the Promotion and Tenure Committee along with the other information requested in this document.

The department head and the dean shall communicate the department's and the dean's/College Committee's recommendation respectively to the candidate so that the candidate can make an informed decision about whether or not to continue with the process of seeking promotion and/or tenure. If the candidate wishes to continue the process despite a negative recommendation, the department head and dean shall honor the candidate's request.

The unit head(s) shall provide a written evaluation of the candidate and a recommendation for or against promotion and/or tenure. In addition, a summary letter written by the faculty members is required. The summary letter should explain why the faculty do or do not favor promotion and/or tenure. Letters should address the quality of research/creative work and the candidate's potential for continued work, teaching effectiveness, effectiveness in the area of extension,

Deleted: department head

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Deleted: Faculty members too should be encouraged to write letters explaining why they do or do not favor promotion and/or tenure. Where there are fewer than three faculty members in a department who are eligible to write letters of evaluation, the head may ask for letters from faculty members in other departments who have knowledge of the candidate's professional performance.

service contributions and, in tenure cases, the matter of collegiality.

In addition, faculty members may elect, but are not required, to write individual letters addressing the same issues and have those letters appended to the summary letter. In the case of candidates for tenure-on-hire, letters from the candidate's current colleagues as well as from Auburn faculty members are strongly encouraged and should address these same issues.

Faculty should bear in mind that the summary letters to the Promotion and Tenure Committee are an important source of information for the Committee. Letters can help the Committee to make an informed judgment about the candidate's collegiality by addressing the candidate's performance of his or her duties within a department. Letters can also help the Committee, whose members may not come from the candidate's field, understand the significance of the candidate's work and make a fair appraisal of it. □ □

Evaluative letters must be addressed to the department head.

Department heads and deans shall submit all letters of evaluation that are submitted to them.

[Back to top](#)

Deleted: Normally, evaluative letters should be addressed to the department head; however, such letters may be submitted directly to the dean/College Committee or to the Promotion and Tenure Committee. Department heads and deans shall submit all letters of evaluation that are submitted to them.

F. SUBMISSION OF THE CANDIDATE'S DOSSIER

□ *Colleges/schools will submit dossiers in PDF format to the Office of the Provost on a single data drive. Dossiers shall be evaluated by the candidate's dean/college committee before submission to the Promotion and Tenure Committee. Dossiers are to be collated as follows and separated with a title page for each section:*

1. Standard biographical data sheet.□ 2. Information supplied by the candidate.□ 3. Information supplied by the department head.□ 4. Evaluations and recommendations from: the dean, the department head, the director of any relevant funding source (e.g.: the Alabama Cooperative Extension System, the Alabama Agricultural Experiment Station, the Scott Ritchey Research Center, etc.), faculty members, and outside referees.

[Back to top](#)

G. Schedule□

Nominations for promotion and tenure shall be transmitted to the Promotion and Tenure Committee. The specific date shall be announced in the annual call for nominations from the Provost. The candidate's dean and/or College Committee shall request material early enough to make a recommendation to be forwarded with the candidate's dossier.

[Back to top](#)

H. UNIVERSITY LEVEL REVIEW AND RECOMMENDATION □ AND NOTIFICATION OF THE CANDIDATE □

The Promotion and Tenure Committee shall review each candidate's dossier. Should additional material be needed, the committee shall contact the candidate's department head or dean. The committee shall vote by secret ballot whether or not to recommend the candidate for promotion and/or tenure. Deliberations of the Committee and the Committee's vote shall remain confidential. The Committee shall send its recommendation along with the candidate's dossier to the President for final action. The President will meet with the Promotion

and Tenure Committee whenever the recommendation of the Committee on a promotion and/or tenure decision is not accepted. The meeting will take place before the President announces the decision.

When the President approves a recommendation for promotion and/or tenure, the candidate shall be notified in writing by the President, with copies of the notification to the department head, dean, and Provost. The candidate shall receive a copy of the Personnel Action Form authorizing the change in rank. When the President does not approve a candidate for tenure and/or promotion, the candidate shall be notified in writing by the Provost. Copies of the notification shall also go to the department head and dean. If the candidate so requests, he or she shall be informed of the numerical vote and provided with a written statement of reasons why the recommendation was not approved. If the President overrules a recommendation, he or she shall inform the Promotion and Tenure Committee in writing within a month's time of the overruling and the reasons for it. □□ Candidates considered for tenure and promotion on the schedule noted above shall be notified of the decision no later than the end of spring semester. Candidates for rank and tenure-on-

hire shall be notified in a timely manner. A list of newly promoted and tenured faculty shall be made public by the end of summer term.

The procedure for promotion shall differ from that outlined above in one case: when a faculty member is hired at the assistant professor level but has had to be appointed as an instructor because the

terminal degree was still in progress, he or she (if continued) will be promoted to assistant professor at the beginning of the following Academic Year after the terminal degree is completed.

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Deleted: once the terminal degree is completed. Such a promotion requires the recommendation of the department head, the concurrence of the dean and the Provost, and the approval of the President. It shall be effective at the beginning of the semester following completion of the terminal degree

If tenure is denied in the fifth year, the department head may give the candidate a letter of noncontinuation. Should tenure not be granted during the sixth year, the head shall give the candidate at least a twelve months' notice of noncontinuation. Such a candidate may be considered for tenure during the seventh year of full-time service, but this consideration does not invalidate the noncontinuation notice unless tenure is granted. In no case shall a candidate be considered for tenure by the Promotion and Tenure Committee more than two times.

A tenured faculty member who resigns and leaves the University and then is reemployed in a faculty position similar to the one previously

held may have his or her tenure reinstated on the recommendation of the tenured faculty of the affected department and on the approval of the department head, dean, Promotion and Tenure Committee, and the President. A tenured faculty member in a department at Auburn University at Montgomery who accepts a faculty appointment on the main campus may be awarded tenure at the time of appointment only through the normal tenure process.

[Back to top](#)

12. CONTINUATION OF APPOINTMENT

It has been the custom of the University for faculty appointments to be continued by mutual commitment and understanding rather than by formal annual contracts. The following principles outline the policy on continuation of appointment or reappointment of faculty members:

A faculty member who has been awarded tenure is considered to have an ongoing contract.

A faculty member who has a probationary appointment and who has not been given a notice of noncontinuation of appointment according to the schedule noted in Section 15 below is considered to have been reappointed.

A faculty member who holds an appointment for a specified period of time does not have a commitment for continuation of appointment or reappointment beyond that period unless such commitment is set forth in writing either by letter or by execution of a Personnel Action Form.

[Back to top](#)

13. RETIREMENT

A. RETIREMENT AGE ☐

There is no mandatory retirement age.

B. RETIREMENT PLANNING

☐ *A faculty member should early on give serious thought to preparations for retirement. A joint seminar on retirement and investment is given each fall by the three supplemental retirement systems (JSP, TIAA/CREF, and Valic); the Alabama Retirement System also offers a fall seminar. All systems will also provide individual advice through local representatives or telephone conferences. Two to three semesters before retirement, a faculty member should confer with his or her retirement system representatives about specific arrangements relevant to his or her situation. The retiring faculty member should also contact the local Social Security Office at least one semester before the final semester of employment.* ☐ ☐ *The retiring faculty member must return his or her Auburn identification card and all library books. However, he or she may obtain a new identification card and with this card avail himself or herself of faculty library and parking privileges and half-price season tickets to Auburn football and basketball games.*

If appropriate, a retired faculty member may be invited to serve on department and University committees. If need warrants, a retired faculty member may be invited to teach in a limited way in his or her former department; such an invitation is at the discretion of the department head with the amount of compensation governed by the retirement and Social Security system's guidelines.

A retired faculty member is invited to participate in the organizations listed elsewhere in this Handbook.

[Back to top](#)

C. RETIREMENT PROMOTION POLICY AND PROCEDURES□

A faculty member who has served well at least 15 years at the rank of assistant professor at Auburn may be granted a retirement promotion to the rank of associate professor after he or she has reached the age of 64.

The retirement promotion is approved administratively by the Provost and the President on the recommendation of the department head and dean; it does not require detailed justification or review by the

Promotion and Tenure Committee. The recommendation should be made only when the effective date will occur within the 12 month period immediately prior to the faculty member's known retirement date. A retirement promotion is for the purpose of allowing a faculty member to qualify for emeritus status; such a promotion does not bear a relationship to salary improvement or retirement income.

Any individual who receives a retirement promotion is eligible on retirement for emeritus status.

[Back to top](#)

D. EMERITUS STATUS POLICY AND PROCEDURES

□ ELIGIBILITY

Emeritus status may be awarded on retirement to faculty holding the rank of professor, associate professor, or their equivalents with ten years or more of sustained meritorious service to Auburn University. Faculty entering into retirement as the result of a disability must meet these eligibility standards, but may be exempt from the ten-year requirement. This honorary title may be awarded posthumously.

Faculty holding a titled professorship at the time of retirement may transfer the title to emeritus status. The president may award emeritus status to other university retirees not holding faculty rank, but meeting the qualification of ten years or more of sustained meritorious service to Auburn University.

PROCEDURES

The faculty member may request consideration through the unit head, The unit head(s) will provide information and a recommendation concerning the faculty member's eligibility to the Provost. This information and recommendation shall include the results of a vote on the awarding of emeritus status taken from all department faculty (or from an appropriate group of peers determined by the Dean in consideration of the faculty member's assignment). The Provost will then make a recommendation to the President, who will act upon the recommendation and advise the faculty member and Dean.

Deleted: At the time it is notified of a faculty member's intent to retire, the Office of Payroll and Benefits will provide notification of this policy to the faculty member and the faculty member's departmental head or chair.

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PRIVILEGES

Departments, colleges, and schools are encouraged to invite emeritus faculty to serve as lecturers, substitute instructors, and

consultants, providing such faculty an opportunity for continued visibility at the University as a reflection of their experience and past service to the University. To this end, emeritus faculty may be provided the following privileges and courtesies.

- The names of all emeritus faculty will be included in a special section of the University Bulletin.
- Emeritus faculty are encouraged to participate in university events and are provided access to such events and the social and recreational resources of the university.
- Emeritus faculty retain faculty access to the University Libraries, including all services normally provided active faculty.
- Emeritus faculty may audit any Auburn University instructional course offering at no charge when space is available and with the approval of the instructor of the course.
- Emeritus faculty are encouraged to participate in extramural contracts and grants through the University.
- Emeritus faculty retain the parking, university ID card, network, and e-mail privileges normally assigned to active faculty.

- At the discretion of department heads or chairs and college or school deans and based on the availability of these resources, emeritus faculty may be provided office space, office support, mailing privileges, laboratory space, and library carrels when used for professional purposes in support of the University's mission.
- The President may designate other privileges to emeritus faculty.

[Back to top](#)

14. APPEAL OF PROMOTION AND TENURE DECISIONS

☐ Grounds for appeal exist when, in the opinion of the candidate, one or more of the following occurred:

1. The denial of promotion or tenure resulted from the fact that all evidence in support of the candidate was not presented at the time of the original consideration.
2. The denial resulted from procedural irregularities concerning advisement and periodic review or a failure to follow promotion and tenure procedures of the department, college, school, or University.

3. The denial was based significantly on considerations violative of academic freedom.

4. The denial was based significantly on discrimination with respect to race, sex, religion, national origin, age, physical handicap, marital status, or sexual orientation. □□ A faculty member who contends unjust denial of promotion or tenure may choose to discuss the reasons for denial and the appeals process with the Provost. Appeals should be made in writing to the Provost through the department head and dean within 14 calendar days of the date of the faculty member's receipt of written notification of denial. The written request should include any relevant new material (not included in the original dossie) for the appeals committee consideration.

If the faculty member bases his or her appeal on alleged violation of academic freedom or improper discrimination, the appeal must include a statement of the grounds on which the allegation is based and evidence to support his or her case. If the faculty member succeeds in establishing a *prima facie* case, it is incumbent upon those who made the decision against continuation to come forward with evidence in support of their decision. Statistical evidence of

improper discrimination may be used in establishing a *prima facie* case.

The Provost shall respond promptly to the faculty member's request for an appeal by forming an Appeals Committee and setting the date, time, and place for the hearing of the appeal.

The Appeals Committee shall be comprised of the following:

1. Current members of the Promotion and Tenure Committee, and
2. Three additional faculty members who have recently served on the Promotion and Tenure Committee, none from the appellant's department. Each year the Provost will appoint these members and one alternate, who will substitute for one of the additional members if an appellant is from his or her department, from a list of six nominations provided by the Senate Rules Committee.

After the merit of the appeal has been judged, the recommendations of the Appeals Committee and all supporting documents shall be submitted to the President for final action.

In the appellate process, appeals must be taken and decisions rendered so as to prevent postponing a promotion or tenure decision

to the next year.

[Back to top](#)

15. NONCONTINUATION OF APPOINTMENT ☐

Notice of noncontinuation prior to a tenure decision shall be given in writing to full-time faculty members on probationary appointment. If a faculty member whose appointment is not to be continued so requests, he or she shall be provided with a written statement of reasons why the appointment is not to be continued. If he or she believes that the decision was based on inadequate consideration in terms of the relevant standards of the institution, appeal may be made to the Faculty Dismissal committee. This body shall review the faculty member's allegation to determine whether the decision was the result of adequate consideration in terms of the relevant standards of the institution. If the committee believes that adequate consideration was not given to the faculty member's qualifications, it will request reconsideration by the faculty body, indicating the

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respects in which it believes the consideration may have been inadequate. It will provide copies of its findings to the faculty member, the faculty body, and the President.

The provisions for notice of noncontinuation described in this section apply only to full-time faculty members on probationary appointment. All full-time service, whether in a tenure-track position or not, must be counted in determining the length of notice required. The provisions are not applicable to terminations for cause or where a termination is specified in the appointment instrument.

The following schedule applies to notice of noncontinuation:

A. For academic year (nine-month) appointments:

1. By February 15 of the first academic year of service.
2. By December 31 of the second academic year of service.
3. At least 12 months before the expiration of an appointment (May

15) for faculty members with two or more years of service, except that faculty members who are not to be reappointed due to failure to obtain tenure shall be given notice by August 15 that they will not be reappointed the following August.

B. For 12-month appointments:

1. Six months prior to noncontinuation date during first three years of service.

2. 12 months prior to noncontinuation after three years of service.

If shorter notice is necessary because of major enrollment shifts, program changes, or financial exigency, the affected faculty member shall be informed as soon as possible and every effort shall be made to find another appropriate position in the University. It is anticipated

that analyses of enrollment pressures can be made each fall in time for affected faculty members to be notified by November 15.

Non-tenure track faculty on continuing appointment are considered to have ongoing contracts until written notice of appointment termination is given. (The current policy concerning University Administrative and Professional employees, as set out in the 1983 Faculty Handbook will continue until changed by action of the Board of Trustees.)

[Back to top](#)

Chapter 8

1. COMPENSATION ☐

The large majority of faculty at Auburn University, especially those involved primarily in the instructional program, are employed on a nine-month basis, i.e., for the fall, spring, summer semesters of the academic year. Certain faculty, particularly those in some professional schools and colleges or those whose terms of employment may include a joint appointment of teaching and formal

research assignments, are employed on a 12-month basis.

Nine-month faculty are paid semimonthly. Salary checks are issued by the Office of Business and Finance on the fifteenth and last day of the month; if the 15th or last day falls on a Saturday or Sunday, checks are issued on the previous Friday.

Nine-month faculty may be employed during the summer. They may receive teaching appointments for the summer term depending on student enrollment and available resources, be funded through an extramural contract or grant, or do a combination of teaching and funded research. Faculty employed full time for the full three months will receive 33 1/3 percent of their academic year salary. Those receiving less than full-time appointments are compensated at a percent of the summer rate equal to percent of employment.

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Deleted: Summer compensation is also paid on a semimonthly basis.