

PROCEDURES FOR REAPPOINTMENT/PROMOTION OF FULL-TIME FACULTY FOR AY 2007-08

We would like to remind faculty members of the timeline for submitting files for reappointment and promotion and highlight new procedures for files that pass through the Committee on Faculty Relations (CFR).

A file for action is submitted by the faculty member and evaluated by the department chair/division director, rank and tenure committee, dean of the school/college, CFR, and dean of academic affairs. Each file should contain all the information that will help these evaluators understand the faculty members' development as teachers, scholars or creative artists, and members of the university community in order to present a strong and positive picture of their experience since joining the faculty.

PRIOR SERVICE

Tenure-track faculty members may choose to keep or waive up to two years of prior service at another institution. A faculty member has until the first file for reappointment is submitted to decide whether to keep or waive prior service. Typically, this means that the decision will be made at the beginning of the second year of teaching at AU since most initial contracts are for two years.

Faculty members moving from a full-time temporary appointment at AU to a tenure-track position may choose to keep or waive all or part of their prior AU service. The evaluation schedule for these faculty members will proceed according to the number of years of pre-tenure service they have chosen to keep.

Please note that faculty members must specify their decision to keep or to waive prior service *in writing* to the dean of the school/college and the dean of academic affairs.

TWO-YEAR APPOINTMENTS

The university continues the system of biennial reviews for tenure-track faculty members. These faculty members are normally reviewed only in their second, fourth and sixth years, as they seek reappointment to their third and fourth years, fifth and sixth years, and seventh year of service. The dean of the school/college, the CFR, and the dean of academic affairs do not evaluate untenured faculty members seeking reappointment to a fourth or sixth year of service except for faculty members undergoing a full evaluation in categories 5 or 6 below.

THE FOLLOWING CATEGORIES OF FACULTY MEMBERS WILL UNDERGO A FULL EVALUATION:

1. those without prior service seeking reappointment to the third and fourth years of service;
2. those in their third year of service with one year of prior service credited from another institution seeking reappointment to a fourth year of service;

3. those without prior service or with two years of prior service seeking reappointment to the fifth and sixth years of service;
 4. those seeking reappointment to a seventh (tenure) year;
 5. any faculty member requesting a full evaluation for any reason, or whose teaching unit head requests a full review with the possibility of a one-year contract; and
 6. any faculty member who has had a one-year delay of the tenure clock for any reason during the 4th or 5th year, such as parental delay or leave-without-pay. The evaluation will be for reappointment to the appropriate years of service.
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COMPONENTS OF A FILE FOR ACTION FOR REAPPOINTMENT, TENURE, OR PROMOTION

In order to assure continued growth in the excellence of the faculty, at all levels of review the evaluation of faculty personnel files is based on the highest professional criteria as established in the *Faculty Manual*. The goal of the CFR in particular is to ensure procedural and substantive equity both for the faculty members and for the university.

The emphasis in each file should be on the clear, concise presentation of material. Each section on teaching, scholarship, and service should begin with a narrative that provides an overview.

Each file must contain the following sections:

1. **INTRODUCTORY NARRATIVE**, introducing the entire file.

2. **CURRENT CURRICULUM VITAE**

When appropriate, refereed journal articles, book chapters, papers in proceedings, books, and monographs should be listed under separate headings with most recent work first and with a clear notation as to whether the scholarship is in press, accepted for publication, under review or contract, or in draft. If the scholarly work is in press or accepted for publication, the acceptance letter from the publisher or journal should also be included. Similar documentation should be provided for creative work in progress.

3. **TEACHING**

The narrative should provide a rich account of the faculty member's teaching philosophy, in particular, the approach to teaching large classes, small seminars, general education courses, and upper division and graduate courses where relevant.

- This section must include copies of the results of the student evaluation of teaching (forms ET200 and ET 250) for all courses taught at AU.

- If faculty members wish to include student narratives from a course evaluation, they **must include all the narratives** from that course.
- Faculty members must submit other materials in addition to the student evaluations as indicators of teaching success. Examples include syllabi, sample tests or assignments, descriptions of creative uses of technology for teaching, and letters from colleagues who have visited the class. The file should also describe student engagement outside the classroom, including joint research projects, mentoring of students for prestigious fellowships and awards, and support of student-centered activities related to the discipline. Supervision of independent studies, honors capstones, and graduate thesis and dissertation work should be documented.
- Documentation of work done in curriculum and program development should be included as appropriate.

4. **SCHOLARLY, CREATIVE, AND PROFESSIONAL ACTIVITIES**

The introductory narrative should summarize major areas of research, creative, or professional activities, and outline a faculty member's most important contributions, to set the context for the work described in this section of the file.

In the first file for reappointment, faculty members should provide a statement of their scholarly/creative objectives and goals. The statement should indicate where they place themselves in their field, with specifics about intentions for contributing to the advancement of knowledge or creative work, expectations regarding publication outlets, and the impact of their work on their field. **In subsequent reappointment files, faculty members are expected to refer back to this statement and track progress.**

All reappointment files should include a discussion of the status of the outlet of creative, scholarly, or professional work. For journal articles, the file must indicate whether the journal is refereed, and if so, data on acceptance rates and impact ratings should be provided when available. There must be an explanation for acceptance rates and impact ratings not included in the file. For books and book chapters, the file must include equivalent information, including publisher's acquisition, refereeing and acceptance policy. The file must include published reviews of the faculty member's books or other creative works as well as information about the quality of the journal in which the review appears and data on citations of the work.

5. **SERVICE**

This section reviews the steps taken as the faculty member becomes a member of the university community. A list and very brief discussion of service to the department, school/college and university as well as activities and service in the broader academic and professional community should be included.

6. **PREVIOUS EVALUATIONS**

This section should contain a copy of all recommendations from previous reappointments made by the department chair or division director, rank and tenure committee, and the school/college dean, as well as the letters of reappointment from the dean of academic

affairs, arranged from most recent to earliest. Responses to any negative points in any internal or external evaluation should also be included.

7. EXTERNAL LETTERS OF EVALUATION

These letters provide an external evaluation of a faculty member's overall development as a scholar or professional. They are solicited by the department chair, division director, or rank and tenure committee chair in consultation with the school/college dean, using the template developed by the dean of academic affairs. Listed below are key points to be aware of concerning external letters:

- Although **some** of the letters may be solicited from names the faculty member suggests, **most** should come from names suggested by the department chair/division director or chair of the rank and tenure committee.
- In order to make as strong a case as possible for a positive decision, it is important to solicit letters from nationally or internationally respected faculty members at highly regarded institutions or programs in the appropriate area of creative/scholarly work.
- A **majority** of outside letters should be from faculty members at academic institutions, and none should be solicited from individuals holding the rank of assistant professor.
- Letters from former dissertation supervisors, fellow graduate students, co-authors, former co-workers, and close friends in academe may be included but will not be counted as part of the minimum number of external letters.
- Consideration will be given to the stature of the reviewer's institution (within the context of the field) as well as the rank of the reviewer. For example, faculty members in departments with strong graduate programs should have most of their letters solicited from individuals teaching at graduate institutions.
- Materials that were submitted to outside reviewers should be included in the file for action.
- The names and institutional affiliation of the reviewer must be redacted from the original letter. Individual units may adopt stricter forms of confidentiality based on their governance procedures. If candidates are provided with redacted copies of external letters, those copies should be included in the file for action.
- The **original letters** must be placed in a sealed envelope, marked Confidential, and submitted to the CFR at the same time as the file for action. A copy of each reviewer's current curriculum vitae must be included in this envelope.
- External letters are first solicited when a faculty member comes up for appointment to the seventh year of service (tenure). **A minimum of four letters that meet the above criteria is required for this review.**

- **All external letters must be received by the teaching unit before the faculty member's file for action begins the review process.**

PROMOTION TO FULL PROFESSOR

A minimum of five external letters is required. *Please adhere to the external letter requirements noted above.* Additional points to be aware of for promotion files are listed below:

- All external letters should be from full professors at highly regarded institutions who are distinguished researchers or professionals in the faculty member's discipline.
- Files for promotion are best supported by letters from external reviewers who have not previously evaluated the candidate.
- A file for promotion submitted after a prior denial of promotion must be as complete as any file submitted for the first time, containing fully updated sections on teaching, research, and service, and with **new** external letters.

The material which is prepared for inclusion in a file for action should be organized into sections, separated by tabs or partitions, and assembled in a three-ring binder in the order listed above. **All materials with the exception of original scholarship materials should fit into one binder. For ease of review there should be no pages in plastic sleeves.**

Updated material in the file such as new honors received or new publications accepted may be added to the file as it moves through the process. Please note that the candidate has the right to respond to any negative points made in any evaluation or external letter. Section 18 of the *Faculty Manual*, dealing with appeal procedures, outlines procedures and timetables for composing a response, which should be included in the file. **In general, no one but the faculty member and those with official responsibility for evaluating may submit material to a faculty file.**

Finally, it is important to adhere to the deadlines set by each school/college dean and by the CFR for the submission of files. Key CFR deadlines for this year appear at the end of this document. For the equitable review of all files for action, files are reviewed in a group according to the year of service. A delayed submission of one file therefore delays the review of all files in that group. It is likewise critical that files be *complete* before they are submitted to the CFR. Checklists for the required contents of a file for action are available in the teaching units. Incomplete files will be returned to the teaching unit.

REAPPOINTMENT OF FULL-TIME TEMPORARY FACULTY

At the request of the teaching unit and based on performance and budgetary authorization, temporary faculty appointments may be renewed yearly for up to five years.

Materials to be included in the file for action for the reappointment of temporary faculty are:

1. Current curriculum vitae (dated)
2. Recommendations from the rank and tenure committee, teaching unit head, and the school/college dean
3. Copies of teaching evaluations for *all* courses taught at AU

MULTI-YEAR CONTRACTS FOR COLLEGE WRITING AND FOREIGN LANGUAGE INSTRUCTORS

College Writing and Foreign Language Instructors may be eligible for multi-year contracts (generally for a term of three years) if they have completed five years of full-time service and do not hold a PhD. Faculty members must fulfill the teaching criteria for such appointments as described by the departments of Literature and Language and Foreign Studies. The deadline for these appointments will be the same as for reappointments with tenure. Files for action must include:

1. Introductory narrative
2. Current curriculum vitae (dated)
3. Recommendations from the rank and tenure committee, teaching unit head, and the school/college dean
4. Copies of teaching evaluations for *all* courses taught at AU

MULTI-YEAR CONTRACTS FOR FACULTY IN THE WASHINGTON SEMESTER PROGRAM

Full-time Washington Semester Program faculty who are in their fifth year of service may be considered for a multi-year contract of two- to five-year appointments. The deadline for these appointments is the same as for reappointments with tenure. Files for action must include:

1. Introductory narrative
2. Current curriculum vitae (dated)
3. Recommendations from the Personnel Committee *and* the dean of the Washington Semester Program
4. Recommendations from the rank and tenure committee and teaching unit head of the appropriate department of the home school/college, *and* from the dean of the home school/college
5. Copies of teaching evaluations for *all* courses taught at AU
6. Three **external letters** of evaluation must be included for all first-time appointments to a multi-year contract, or in cases where the previous appointment for which external letters were solicited occurred more than seven years ago. Refer to the section on external letters above for guidance on soliciting these letters.

MULTI-YEAR CONTRACTS FOR TEMPORARY FACULTY NOT INCLUDED IN THE ABOVE CATEGORIES

Teaching units that have elected to offer multi-year contracts to full-time temporary faculty may request such appointments for faculty who have served for five years and who meet the criteria described below. The multi-year contract positions are generally for three years but may vary from two to a maximum of five years and **carry no eligibility for or implication of indefinite tenure**. External letters are *not* required.

Candidates for multi-year contracts must prepare a file for action that contains the following sections:

1. **INTRODUCTORY NARRATIVE**, introducing the entire file

2. **CURRENT CURRICULUM VITAE** (dated)

3. **TEACHING**

Teaching is the primary focus of faculty hired under the terms of multi-year contracts, and the candidate's file for action should present evidence of exceptional teaching at American University. An introductory narrative should provide a rich account of the faculty member's teaching philosophy, methods, approaches, and address in particular, approaches for different kinds of courses, such as large classes, small seminars, general education courses, and upper division and graduate courses as relevant.

- This section must include copies of the results of the student evaluation of teaching (forms ET200 and ET250) for all courses taught at AU. Student evaluations of teaching effectiveness will be an important tool in ascertaining teaching excellence. If faculty members wish to include student narratives from a course evaluation, they must include all the narratives from that course.
- Faculty members should submit other materials in addition to the student evaluations as indicators of teaching success. Examples include syllabi, sample tests or assignments, descriptions of creative uses of technology for teaching, and letters from colleagues who have visited the class. The file should also describe student engagement outside the classroom, including joint research projects, mentoring of students for prestigious fellowships and awards, and support of student-centered activities related to the discipline. Supervision of independent studies, honors capstones, and graduate theses and dissertations should be documented.
- Documentation of work done in curriculum and program development should be included as appropriate.

4. **SCHOLARLY, CREATIVE, AND PROFESSIONAL ACTIVITIES**

Evidence of creative, scholarly or professional engagement includes creative production or performance, publication of scholarly contributions, including publication about teaching and publication of teaching materials or textbooks, conference presentations on pedagogy within the discipline, public lectures, participation in responsible positions in professional

organizations and other professional activity that demonstrates involvement in advancing the faculty member's discipline.

5. SERVICE

Candidates are expected to actively contribute to the general development of the university. A list and brief discussion of service to the teaching unit, school/college and university as well as activities and service in the broader academic and professional community should be included. Participation in teaching unit, school/college, or university committees constitutes such a contribution.

6. PREVIOUS EVALUATIONS

This section should contain a copy of all recommendations from previous reappointments made by the department chair or division director, rank and tenure committee, and the school/college dean, as well as the letters of reappointment from the dean of academic affairs.

Thank you for your attention to these procedures. We look forward to working with you.

The Committee on Faculty Relations, AY 2007-08

Gay Young (CAS, Sociology), Chair

Mary Mintz (University Library), Vice Chair

Randall Blair (SOC)

Christine DeGregorio (SPA, Government)

Carolyn Gallaher (SIS)

David Haaga (CAS, Psychology)

Rita Simon (SPA, Justice, Law and Society)

KEY DATES AND DEADLINES AY 2007-08: FACULTY ACTIONS

Unless otherwise noted, faculty action dates are deadlines for files to reach the Committee on Faculty Relations. Teaching unit deadlines are earlier.

August 29: Open Meeting: Committee on Faculty Relations, **Mary Graydon room 5**, 12 noon to 1 p.m.

November 1: Deadline for submitting applications for leave-without-pay, sabbatical leave, and research leave for AY 2008-09 to the dean of academic affairs*

November 2: Deadline for submitting files for reappointment to the third and fourth years of pre-tenure service

November 16: Deadline for submitting files for reappointment to the fifth and sixth years of pre-tenure service and temporary faculty seeking a multi-year contract to the Committee on Faculty Relations

January 18: Deadline for submitting files for reappointment with tenure or for multi-year contracts in the Washington Semester Program and for Writing Instructors and Foreign Language Instructors**

March 3: Deadline for submitting files for promotion of tenured faculty**

April 7: Deadline for submitting files for reappointment of temporary faculty and for multi-year contracts not included above

* Do not review or submit proposals for faculty members who are coming up for tenure until after the tenure decision has been made.

**A duplicate copy of tenure files and promotion files must be forwarded to the dean of academic affairs at the same time that the file is transmitted to the CFR.