Faculty members at American University are evaluated for reappointment, tenure and promotion on the basis of their contributions in the three areas of scholarship, teaching and service. Since the College has a shared interest in retaining and promoting excellent colleagues, we wish to do all that we can to ensure that you present your credentials in as comprehensive and persuasive a manner as possible.

To that end, we have prepared the following document, drawing on the “Guidelines for Submitting Files for Action” provided by the Committee on Faculty Actions. In preparing your file, you should also consult the university’s Faculty Manual. Both of these documents are available on the Dean of Academic Affairs website.

Consult with your department chair on the deadlines for submission of your materials for departmental review. Carefully study the evaluation procedures for the action(s) you are seeking, prepare your materials well in advance of CFA and CAS deadlines, and monitor your file as it proceeds through the review process.

Note that the process of promotion to the rank of Distinguished Professor is not initiated by the prospective candidate. See the Faculty Manual for details.

External Letters
External letters are not required for the pre-tenure reappointment review of tenure-track Assistant Professors.

All cases involving tenure and promotion at American University require at least five outside letters. In the summer prior to the review, these letters are solicited by the Rank and Tenure Committee chair or chair of your unit, not by you as candidate.

As a candidate, you have the right to suggest names of possible reviewers to the chair of the Rank and Tenure Committee. CFA guidelines state that “a candidate may suggest potential reviewers, but a file may contain no more than two letters from reviewers suggested by the candidate only.” In deciding whom to recommend, you should bear in mind that the most compelling referees are distinguished scholars, typically full professors, who hold faculty appointments at highly regarded colleges and universities. External reviewers should not be former mentors, collaborators or co-authors.

You also may identify inform your department chair of any reviewers whom you judge, for reasons of scholarly disagreement, to be unable to conduct an impartial review of your file.

If your department’s tenure and promotion guidelines allow candidates to view external letters in strictly redacted form, you will have access to them only after a designated member of your department has removed all identifying characteristics from the letter and those redactions have been approved by the College Dean’s Office. You may submit a letter in response to your redacted letters within a week of receiving them. If you
intend to do so, please inform Lauren Pav in the College Dean's Office as soon as possible.

Components of the File for Action
All reappointments—including reappointments in rank of tenure-line Assistant Professors and reappointments with promotion and/or tenure—require one original hard copy of the File for Action (in a three-ring binder), and one Scholarly Appendix binder. All original scholarly material—including books, published articles and book chapters, manuscripts, CDs, DVDs, and the like—must be placed in the Scholarly Appendix binder only. Any loose materials should be secured in an accordion file with a flap to ensure that items are not lost during the review process. The pages in your binders should not be placed in plastic sleeves and should not contain staples. In addition, you will submit a digital copy of your File for Action (and Scholarly Appendix) that will mirror the hard copy. Please note that neither annual reviews nor previous contracts should be included in the File for Action. All references to salary should be removed from all letters.

All the material that you have placed in these binders will be returned to you at the conclusion of the review process.

Your file for action is a dynamic entity, but only to a point. CFA guidelines stipulate that “[c]andidates may update information already mentioned as in process in the File for Action, including the candidate's own material if that material has been externally reviewed [emphasis added]. Material is eligible if it is new information, if it pertains to an aspect of the file that is already mentioned in it and if such information significantly changes the status of the file in some way (e.g., a book or journal acceptance for an item that was already referenced in the file, or an award or other recognition). All internal parties who have contributed to the file to that point need to be notified of additions, with redacted information if necessary.” If you anticipate a late addition to your file—say, acceptance of a paper at the revise and resubmit stage or final submission of a co-edited volume—it is essential that your external reviewers evaluate that project in its current form.

Bear in mind that inclusion of too much extraneous material in your file can make it extremely difficult for reviewers to see what's truly important in your scholarship, teaching and service. Be judicious in your choices.

Hard Copy
At the time the hard copy of your File for Action is sent to the College Dean's Office, it should be labeled with your name and the year your reappointment and/or promotion would go into effect on the front and spine. Binder tabs should be used to divide the sections, and roman numerals used to designate each section. The body of the text should be in a 12-point font. The following items should be included in the binder in the following order:

Checklist
This is placed before the binder's first tab. The checklist helps evaluators at every stage insure that all materials are included, while enabling you (and your colleagues reviewing the file) to know when redacted copies of original external letters were added to file and when copies of department letters and redacted letters were sent to you.

Internal Reports and External Reports
Internal and External reports are placed behind your checklist and before your table of contents, prior to the first tab. This section will eventually contain all reports produced in the context of the current review, in reverse chronological order, including:

1. Report of the Committee on Faculty Actions (tenure and promotion cases only)
2. Report of the College dean
3. Unredacted report of the Science Rank and Tenure Committee (if applicable)
4. Report of the department/school's chair
5. Unredacted report of the department/school's Rank and Tenure Committee, including numerical results of the group's votes
6. If applicable, past memos granting parental delays or the waiving of years to tenure
7. Previous evaluations, such as internal unredacted memos, vote counts and any candidate responses from previous faculty actions (including reappointments)
8. External Letters- This section will eventually contain unredacted versions of letters from the external reviewers of your file, together with their CVs and copies of relevant correspondence with all reviewers solicited for your action.

You will have one week to submit a written response to redacted versions of any of the above reports. If you wish to respond, you should inform Lauren Pav in the College Dean's Office. A hard copy of your letter will be included in your file, and a PDF version will be uploaded to the College's SharePoint site.

Components of File for Action Binder – Compiled By Candidate

I. Table of Contents

II. Narrative
CFA guidelines call for a single scholarly narrative, no more than 4,500 words long using 12-point type and 1-inch margins, in which you discuss—in a holistic way—your work to date in the three areas of scholarship, teaching and service.

Scholarship (Section of Narrative)
Explain the importance of your creative, scholarly and/or professional accomplishments to date in the context of your discipline(s) at large. Focus especially on peer recognition as revealed by such metrics as:

- a. Publication in refereed journals with demonstrably high impact in the field
- b. Major theatrical or musical performances
- c. Invited, juried and curated exhibitions
- d. Production of widely reviewed and/or well placed books or artistic works
- e. Significant external funding for your work
- f. Winning major honors
- g. Important professional engagements

By granting you reappointment, tenure and/or promotion, the university is betting on your future achievements just as much as it is recognizing your past accomplishments. For that reason, you should be explicit as to how you plan to build on your achievements to date in your future work, outlining the project(s) you intend to undertake and mapping out (in the case of tenure files) your trajectory toward promotion to the rank of Professor. In all reviews after the first, you should make explicit reference to your progress in meeting the scholarship goals that were set forth in previous reviews.

Teaching (Section of Narrative)
Provide an overview of your teaching philosophy and activities to date, with special attention to your work in a variety of classroom formats (large classes, small seminars, General Education classes, honors courses, graduate courses, etc.). There is no one infallible (or sufficient) metric of teaching excellence. You should certainly comment in your teaching narrative on your record of student teaching evaluations (SELTs), translating and interpreting your evaluations so that your reviewers understand your record within the context of your department and discipline. In so doing, pay special attention to those courses and/or semesters in which your evaluations were weaker than you would wish. But recognize that contributions to the university’s teaching mission may also include:

- a. Supervision of independent study, internships, theses and dissertations
- b. Initiatives to encourage student research
c. Awards received by students mentored
d. New course development
e. Development of online courses and teaching modalities
f. Overall quality of syllabi and course materials
g. Statements of the candidate’s teaching philosophy and pedagogical strategies
h. Innovative use of classroom formats and/or technologies
i. Community service components

In order to give the evaluation of your teaching the perspective that only a peer assessment can provide, we strongly encourage you to work with your department chair to schedule a class visit or visits by one or more members of your department (e.g., from a member of your Rank and Tenure Committee). Please include these reviews in the teaching documentation section of your File for Action, as discussed below. In all reviews after the first, you should make explicit reference to your progress in meeting the teaching goals that were set forth in previous reviews.

Service (Section of Narrative)
Discuss your service contributions to your department, the College and University, as well as to your discipline and/or to higher education as a whole. Detail your specific contributions to committees or groups you have worked with, outlining the groups’ overall accomplishments. Pay special attention to contexts where you played a leadership role. In all reviews after the first, you should make explicit references to your progress in meeting the service goals that were set forth in previous reviews.

III. Curriculum Vitae
Include your name and the CV’s date in a footer on all pages. (N.B. Many disciplines have CV conventions that differ from those at work in the following general model. Feel free to follow the conventions of your discipline, as appropriate.) Your CV should include the following items, as applicable, in the following order:

a. Personal information (name, address(es), telephone numbers, email)
b. Education (list degrees in reverse order with highest first; include dates degrees were awarded)
c. Employment history (list in reverse chronological order; include dates for each position held)
d. Honors and awards (include dates and names of organizations)
   i. Academic
      1. National and international
      2. American University
   ii. Other
e. Publications (typically listed in reverse chronological order, most recent first). Specify dates and page numbers for all publications. For forthcoming publications, indicate whether In Press (include date of acceptance and expected date of publication) or Under Contract (include date of contract and give number of pages in manuscript). Give dates and venues for all forthcoming performances, exhibitions, etc. For design work, specify whether refereed, edited or unrefereed and, if refereed or edited, specify whether local, regional, national or international.
   i. Books and monographs
   ii. Book chapters
   iii. Articles
      1. Refereed articles
      2. Invited articles
      3. Articles in conference proceedings (indicate if refereed)
      4. Book reviews
      5. Other
   iv. Scholarship in other than article form
      1. Publication of novels, stories, poems, essays
      2. Performances, media productions, exhibitions (include dates and site)
3. Visual or design work (in books, periodicals and other)

v. Lectures
   1. Invited lectures (give date and venue)
   2. Papers presented at professional meetings (include dates and specify whether refereed or unrefereed)
   3. Other

vi. Work in progress. Bear in mind in deciding what to include under this category that your colleagues will expect work listed as in progress in early reviews to be submitted, in publication, or produced at the time of subsequent reviews.

f. Sponsored research (typically listed in reverse chronological order)
   i. Contracts and grants received (include PI/Co-PI status, dates of grant, funding agency, and dollar amount)
   ii. Proposals submitted (indicate whether unfunded or pending and include PI/Co-PI status, date submitted, agency and dollar amount)
   iii. Proposals in preparation (include PI/Co-PI status, funding agency, and dollar amount)
   iv. Other research projects

g. Editorial activities

h. Consultant activities

i. Media appearances, interviews, and public testimony

j. Teaching responsibilities
   i. Supervision of theses and dissertations (give student's name and indicate role - e.g., chair or committee member)
   ii. Internships, co-ops, independent studies supervised (give student names and semesters)

k. Curriculum development
   i. Development of new or substantial revision of existing programs at AU
   ii. Development of new courses at AU
   iii. Significant revisions of existing courses at AU

l. Departmental, College and University service/activities

m. Memberships and professional activities

n. Community and civic activities

o. Miscellaneous

IV. Scholarship
In this section, place all documentation that will help reviewers assess the importance and impact of your scholarship, including:

a. Information on the significance of the venues in which your work has been published or shown, including the acceptance rate, impact factor and/or rank of journals or the status of publishers, distributors, galleries, etc.

b. Information on the nature of your collaboration with others on co-authored projects

c. Relevant peer reviews, including reader's reviews, acceptance letters from publishers or distributors, published reviews and (if appropriate) evidence from relevant citation indices, using the unit's criteria

d. Letters of appreciation from colleagues in the field. Please note any such letters will not be counted toward the required minimum of five external letters and are generally accorded far less weight than those letters.

No original scholarly, professional or creative material should be placed here. All original material must be presented in the Scholarly Appendix.

V. Teaching
In this section, place all documentation that will help reviewers to assess your teaching and mentorship
of our students, including (but not limited to):

a. Student evaluations of teaching. SET results should be included for all courses taught at AU, except in the case of candidates for promotion to the rank of Professor, who need only include the past six years’ worth of evaluations. You should make every effort to locate missing teaching evaluations by contacting your department’s administrative assistant and/or the Office of the Registrar.

b. Report(s) of class visit(s) by members of your department

c. Citations and awards for teaching

d. Syllabi of courses taught at AU, avoiding duplication in the case of fundamentally similar courses. (You may also submit teaching materials, such as exams, papers, other assignments or Blackboard materials, but are strongly encouraged to be judicious in the inclusion of these.)

e. Evidence of contribution to curriculum development (e.g., development of a new course or reorganization of a degree program)

f. Evidence of significant participation in student life outside the classroom (e.g., sponsorship of student organizations, student presentation of papers at scholarly meetings, inclusion of student work in an exhibition, etc.)

g. Letters of appreciation from former students

VI. Service

In this section, place all material that usefully supports discussion or mention of your service activities in your narrative or on your CV.

Digital File

All candidates for reappointment, tenure and/or promotion must provide electronic copies of their File for Action and Scholarly Appendix, following the format described in the CFA's Guidelines for Submitting Files for Action. These should simply replicate the material found in the hard copy version of your file. As a candidate, you are not responsible for creating or maintaining five files mentioned in the CFA guidelines, namely—the Checklist, Internal Letters, External Letters (if applicable), Unredacted Senior Faculty Review, and Previous evaluations. Versions of these will be compiled and maintained by the department and/or dean’s office.

To ensure the security of your file, only you have access to upload those portions of your digital file that you control onto the SharePoint site.

All updates to the File for Action must be submitted as additional materials. Please forward a hard copy to Lauren Pav in the College Dean’s Office and post a PDF scan directly to SharePoint, labeling the scan with your name and addition number (e.g., juliasmith addition1.pdf).

All College faculty members under review in AY 2016-2017 are eligible to receive a copy of Adobe Acrobat Professional, which allows them to organize their File and Appendix as portfolios. Please note that, at this time, most departmental administrative assistants do not have access to Adobe Pro.