

**COLLEGE OF
ENGINEERING, FORESTRY
& NATURAL SCIENCES**

**PROMOTION AND/OR TENURE
APPLICATION GUIDELINES**

March 17, 2015



**NORTHERN ARIZONA
UNIVERSITY**

College of Engineering, Forestry & Natural Sciences

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The College of Engineering, Forestry and Natural Sciences is committed to ensuring that all candidates for promotion and/or tenure are treated fairly and are evaluated according to the standards and criteria under which they have been working.

The individual faculty member has the responsibility and the right to assemble the strongest possible application for tenure and/or promotion. The present packet of information represents guidance collected from the Dean's office, department Chairs, department Faculty Status Committee (FSC) members, and college Promotion & Tenure committee members. These guidelines are aimed at helping you put together the best-documented case possible. Please note that once your promotion and/or tenure application is submitted to the FSC by your Chair/Director – the first level of review and evaluation – your application is closed. You are not permitted to make amendments or insert addendums. The sole exceptions will be significant grant awards, paper/patent acceptance, or other “late breaking news” that the candidate could not have had knowledge of before submittal of the promotion and/or tenure application. However, please note that any such “late breaking news” must already be included in the application materials. (Example – you have already included a grant proposal as submitted, but find out as “late breaking news” that it has been awarded.) You may not introduce any brand new information once the promotion and/or tenure application is closed. Any such addendums should be submitted to the Chair/Director as appropriate and the deadline for these to be considered is prior to the FSC having completed their (first level) review. Please refer to the Personnel Action Calendar on the Provost's website for exact dates.

All NAU Faculty Promotion and/or Tenure applications are submitted using Faculty 180 starting August 2014.

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PROMOTION & TENURE REVIEW TIMELINE

Continuously: Faculty enter activities and other information into the Profile/Workload (Curriculum Vita) sections of their My Data tab in Faculty Activity and Achievement Review (FAAR) henceforth referred to as Faculty 180.

After each semester: Faculty enter teaching/advising information into the Workload Forms section of their Faculty 180. These workload forms are generated centrally each semester.

April 1st: Faculty enter Statement of Expectation for next academic year.

April 1st: Faculty notify Chair/Director/Dean of their intention to apply for tenure and/or promotion – the Dean's office initiates the P&T application in Faculty 180 so that faculty may begin entering materials.

April 15: Faculty member provides Chair/Director/Dean with list of external and arm's-length reviewers including the nature of the professional relationship (following guidelines on Page 15). This list is then verified by the Dean to confirm arm's-length decisions.

May: Chair begins soliciting letters (prior to semester end) by contacting selected external and arm's length reviewers and confirming their participation.

Mid June: Faculty provide Chair/Director with external review package – Chair sends review package to external and arm's length reviewers along with information to return solicited letters to the Dean's office (following guidelines, pg. 15 and including Dean's office instruction sheet).

July: Chair provides reminders to external and arm's-length reviewers to ensure the proper number of letters are sent to the Dean's office for each faculty member applying for promotion and/or tenure.

August 1: All solicited external and arm's length review letters are received in the Dean's office and uploaded to Faculty 180 by the beginning of the P&T review cycle, ensuring all received letters are loaded and there is the proper number for the rank being sought. The Dean's office notifies each Chair/Director if insufficient review letters have been received.

Early August: Chair creates Faculty 180 evaluations (for FSC & Chair/Director level reviews).

Prior to Review Start: Chair revises evaluations in Faculty 180 as needed to assign evaluations to the department Faculty Status Committee.

Early September: Faculty member ensures that all review materials are in the Faculty 180 system by the deadline.

The Personnel Action Calendar governs the remainder of the review process and can be found at <http://nau.edu/Provost/Reviews-Tenure/>. The following calendar page – from the 2014-2015 academic year for promotion and tenure applications – is provided as a **sample**. Other calendar pages govern the schedule for sabbaticals, annual reviews and retention reviews. Please note that the personnel action dates are updated during the summer and often revised, and it is your responsibility to check this site for the final posting.

SAMPLE: Academic Affairs –2014-2015 Personnel Action Calendar

PROMOTION & TENURE/ANNUAL REVIEW

This review should include two components, (separate letters or separate sections within one letter, with both actions indicated in FAAR):

- 1) Annual performance evaluation for the previous academic year
- 2) Recommendation regarding the request for tenure and/or promotion

P&T reviews may be completed in FAAR. All responses for each level of review should be posted in FAAR by the end dates listed in the calendar for each level of review. However, committees should alert the next level of review by email when they have finished their review. Be certain to enter merit scores and the retention/renewal decision in FAAR.

<i>Due on or before the following dates:</i>	
1. September 2, 2014	Faculty submit file to Chair/Director (Dean in non-departmentalized units), for format and completion check in consultation with Faculty member
2. September 8, 2014 – October 3, 2014	Faculty Status Committee (FSC) reviews and completes recommendation
3. October 3, 2014 – October 9, 2014	Faculty member has seven (7) days to respond to the FSC's recommendation by writing to the Department Chair, copied to the FSC
4. October 3, 2014 – November 6, 2014	Chair reviews and completes recommendation
5. November 6, 2014 – November 12, 2014	Faculty member has seven (7) days to respond to the Department Chair's recommendation by writing to the College P&T Chair, copied to the Department Chair
6. November 6, 2014 – November 26, 2014	College P&T reviews and completes recommendation
7. November 26, 2014 – December 2, 2014	Faculty member has seven (7) days to respond to the College P&T recommendation by writing to the Dean, copied to the P&T Chair
8. November 26, 2014 – January 9, 2015	Dean reviews and completes recommendation
9. January 9, 2015 – January 15, 2015	Faculty member has seven (7) days to respond to the Dean's recommendation by writing to the Provost, copied to the Dean
10. January 9, 2015 – February 12, 2015	Provost reviews and completes recommendation to the President
11. February 12, 2015 – February 18, 2015	Faculty member has seven (7) days to respond to the Provost's recommendation by writing to the President, copied to the Provost
12. February 20, 2015	File to President
13. February 27, 2015	*President's decision to Faculty member, copied to Provost, Dean and Chair

*A faculty member must await the president's decision before initiating a formal appeal of a promotion and/or tenure decision. Within two weeks of receipt by the faculty member of the president's decision, the faculty member may submit a written appeal to the president stating specific reasons for the appeal and providing any supplemental material relevant to the appeal.

(Ref: Northern Arizona University *Conditions of Faculty Service*

http://nau.edu/uploadedFiles/Administrative/Provost/Provost/Forms/Conditions_of_Faculty_Service%282%29.pdf)

Promotion and/or Tenure Application in Faculty 180

General Instructions

If you are applying for promotion and/or tenure you will have access to the Promotion and/or Tenure Application link in Faculty 180 – available from your Home tab starting April 1 once you indicate your intention to apply. You will have already entered some of the review data for the period under review by completing the “profile/workload forms” in prior review cycles. You will need a self-evaluation (Annual Performance Report or Narrative for the latest year) ready to attach following Departmental/unit guidelines and requirements. Additional information must be added, and supporting documentation and evidence included. Departments/units are responsible for specifying the information to attach and the metrics by which faculty are reviewed.

1. In Faculty 180, click the “Home” tab
2. Click the “Complete Promotion and/or Tenure Application: Fall XXXX” link
3. Select the action for which you are applying
4. Complete the form following department/unit guidelines and requirements (see the next sections “summary guidelines for preparing and submitting P&T materials” for the CEFNS required format). **Department/unit information may go beyond the minimum College required documentation.**
5. You can continue to work on this application. Make sure you select “Save and Return”
6. Once you have completed the application and do not wish to make any further changes, click the “**Submit**” button. This should take place near the due date for faculty to submit their file according to the Personnel Action Calendar.

In the following text boxes are screen prints from the actual promotion and/or tenure application from Faculty 180. Instructions for each specific section are provided.

[My Data](#) > [Custom Input Forms](#) > Promotion and/or Tenure Application

[Home](#)

Promotion and/or Tenure Application

[Faculty Information](#)

Action Requested

[Faculty Information](#)

Year Started at
NAU

Years in Current
Rank

Prior years credit

Faculty Information Section

Be sure to indicate your start year at NAU, Years in Current Rank, and Prior Years Credit (if any). Your start year will be the year you began your contract at NAU if you came in the summer or fall (specifically from your offer letter). Your years in current rank include each academic year including the one in which you submit your application. If you began in the spring semester, that half year counts as a year in rank. If you negotiated Prior Years Credit at your hiring, enter the amount (if any) as stated in your signed offer acceptance letter or in a letter from the Provost.

Promotion and/or Tenure Overview Statement (Professional Statement)

Promotion and/or Tenure Overview Statement

Instructions: Provide an overview of your case for the requested action.

[Attach File](#)

In this section, you have the opportunity to address why you believe that the requested action should be recommended/granted. This section usually takes the form of a professional statement of goals and accomplishments related to your request for promotion and/or tenure. The recommended length of this narrative is approximately 5 pages (usually between 2-5 pages is typical). You should highlight your most significant goals and accomplishments and compare them with the requirements outlined in your academic unit's review and evaluation criteria. If for some reason your unit does not have its own review and evaluation criteria, you may reference the same document at the College or University level.

Please note that detailed information about your accomplishments and how they compare with the academic unit's review and evaluation criteria in the areas of service, scholarly activity and student-related activities will be contained in the next three overview sections, so try to summarize those sections briefly in this section and include other accomplishments that may not fit neatly into those other three sections. For instance, you may have had key administrative assignments or you may want to include the impact that your work has had on individuals, your department, or your discipline. For the overview for each section however, please include specific details about your accomplishments or explanation of your attachments for that section – rather than repeating the general overview statement. If your request is for promotion to professor, you **must** include which category is being claimed as “outstanding” (teaching and student-related activities or scholarship/research/creative activities) and why.

Administrative Activities: See your Chair/unit leader to help determine which administrative tasks may be able to contribute to your dossier and which category they fall under (Teaching and Student-Related Activities, Scholarship/Research/Creative Activities, or Service Activities). This should be clearly stated in the Statement of Expectations as well.

Paste or enter a professional statement into the appropriate area in Faculty 180. Within this section, attach the following (attachments should follow the recommended naming convention; your name, detailed description of type of document and year if applicable):

- a) Years of prior service credit (if applicable). Provide documentation stating any such credit. This may be a copy of the original letter of offer or a copy of a memo received from the Provost
- b) Attach Statements of Expectations not already included in your Faculty 180 materials for all years at NAU (or all years since the previous promotion) under which you have worked during the review period, including your current SOE.
- c) Department/Unit Criteria for Promotion & Tenure
 - i. Attach a copy of your Department/unit's criteria.
 - ii. If you believe there are any unusual circumstances, for example, you believe that the expectations in your Department have changed substantially, please explain here.
- d) Annual Performance Evaluation & Retention Recommendations from all review years and levels *not already included in your Faculty 180 materials* (for all years since hire at current rank or since previous promotion). Performance Evaluations from 2012-13 and forward should already be in Faculty 180.
- e) Annual departmental FSC/ARC evaluation and retention recommendations* for each year** of the review period.
- f) Annual chair evaluation and retention recommendations* for each year** of the review period.
- g) The faculty-generated annual performance report for each year of the review period.

Notes:

*Applicable to pre-tenure cases, e.g. assistant professor applying for tenure.

** For tenure and promotion to associate, "for each year" means all years at NAU. For promotion to professor, "for each year" means all years since the previous promotion.

Overview of Teaching and Student Related Activities (Professional Statement)

Overview of Teaching and Student Related Activities

Instructions: Provide an overview/reflection statement related to student-related activities. Indicate the variety of evidence you provide. Consider including illustrative examples of syllabi, assignments, exams, and/or other applicable documentation. If your department encourages peer evaluations, include the peer evaluations here.



[Attach File](#)

In this section you should summarize all your accomplishments in the area of student-related responsibilities. This information should include, but is not limited to the following:

- Classes taught, prefix, number, credit hours, and title
- 21st day enrollment
- Your contribution in team taught courses
- Instructor ratings for each class and your reflection on them
- Student comments that led to improved teaching effectiveness
- Workload commitment to this area by semester or academic year
- Reflections on your performance, innovations or other measures of your effectiveness
- Improvements made to your courses, your teaching or the learning experience (including things like FYLI certification, blended learning, teaching with technology, etc.)
- Student organizations and your involvement
- Student research and independent study involvement
- Curricular or course development -include specific accomplishments and time invested. This may include course coordination
- Mentorship/advising of undergraduate and graduate students (include number, time invested and impacts)
- Assessment at the course and program level (include accomplishments, impacts and time invested)
- Professional development in the area of student-related activity
- Other student-related information
- If your request is for promotion to professor and this is your “outstanding” category then include that notification here.

You should also include a brief narrative of your teaching philosophy and goals, followed by a detailed analysis of your accomplishments and how they compare with the promotion and/or tenure requirements laid out in your Department/unit criteria in the area of student-related activities. Again, the recommended length of this narrative is approximately 5 pages (usually between 2-5 pages is typical). And this narrative should not be repetitive of what was included in your overview statement.

Paste or enter your teaching professional statement into the appropriate area in Faculty 180. Within this section, attach samples of the following that support your application (attachments should follow the recommended naming convention; your name, detailed description of type of document and year if applicable):

- a) Other materials which supplement your promotion and/or tenure request in this area.
- b) Other materials that are not already included in Faculty 180 as required above. For large items such as books, please include a sample or indicate that a hard copy submission will accompany the electronic submission.

Overview of Scholarship/Research/Creative Activities (Professional Statement)

Overview of Scholarship/Research/Creative Activities

Instructions: Provide an overview/reflection statement that illustrates your scholarly/or creative activity. For example, you might include scanned articles or "tear sheets", chapters, digital images of artwork, audio or video files. For items accepted but not yet published, you might document with letters of acceptance.

[Attach File](#)

In this section you should list all your accomplishments in the area of scholarly/creative activity. This information should include, but is not limited to the following:

- Workload commitment by semester or year for scholarly/creative activity
- Workload commitment by semester or year to grant writing and management
- List publications since last promotion or hire if applying for tenure (full details concerning authors and explanation of author order, title, journal or conference, volume, pages, year, location, etc. should be in your CV in reverse chronological order) and provide information on your contribution (both % and type), the selectivity of the publication (including whether peer-reviewed), the significance of the publication venue in your discipline, and the impact of your publication. Use an * to clearly identify student author publications (similar to NSF standards).
- List grants submitted and not funded (full details should be in your CV including agency, co-PIs, amount proposed in total and at NAU, type of research proposed, year, etc.) and provide information on your contribution (both % and type), the selectivity of the agency, the significance of the research, etc. Also explain if the grant is internal/external, type of funding agency (federal/state/non-profit), competitive or not competitive.
- List grants submitted and funded (full details should be in your CV including agency, co-PIs, amount proposed in total and at NAU, type of research proposed, year, etc.) and provide information on your contribution (both % and type), the selectivity of the agency, the significance of the research, and the impact of your research. Also explain if the grant is internal/external, type of funding agency (federal/state/non-profit), competitive or not competitive.

- List peer recognitions including invited presentations (include descriptive title, location, significance, year, etc.).
- Information about invention disclosures, patent applications or awards, entrepreneurial activity, etc.
- Research conducted with undergraduates, graduate students (include number of students and impacts), postdocs and other research associates. Please note if this information is also listed under student-related activities.
- Professional development in your area of expertise
- Other information relative to scholarly/creative activity
- If your request is for promotion to professor and this is your “outstanding” category then include that notification here.

Be sure that you have uploaded samples of selected publications or grants within Faculty 180 for the reviewers. You should also include a brief narrative of your scholarly goals/agenda and how they have developed, grown or changed. Again, the recommended length of this narrative is approximately 5 pages (usually between 2-5 pages is typical). And this narrative should not be repetitive of what was included in your overview statement. Your scholarly goals should be followed by a detailed analysis of your accomplishments and how they compare with the promotion and/or tenure requirements laid out in your Departmental/unit criteria in the area of scholarly and creative activities.

Paste or enter your scholarly/creative activity professional statement into the appropriate area in Faculty 180. Within this section, attach samples of the following that support your application (attachments should follow the recommended naming convention; your name, detailed description of type of document and year if applicable):

- a) Other materials which supplement your promotion and/or tenure request in this area.
- b) Other materials that are not already included in Faculty 180 as required above. These may include articles, grant applications or large items such as books. For large items, please include a sample or indicate that a hard copy submission will accompany the electronic submission.

Overview of Service Activities (Professional Statement)

Overview of Service Activities

Instructions: Provide an overview/reflection statement related to service activities. Include sample materials that document your record of service. Sample materials include letters/memos that review your contributions, documentation of service through recognition or acknowledgements, minutes, programs/brochures that acknowledge service.

[Attach File](#)

Submit

Save and Return

In this section you should list your accomplishments in the area of service. These activities include a wide variety of committees, task forces, professional organizations, recruitment, community service or outreach, and some limited administrative assignments. Also include in this section professional service such as review work for proposals and manuscripts (include number, time commitment, agency, year), work on editorial boards, conference sessions or chairs, review panels, etc. Again, a narrative of usually between 2-5 pages is typical.

This listing should include, but is not limited to:

- Leadership role(s)
- Time commitment by activity, semester or year
- Your contribution
- Impact on the department/college/university/profession

Following this listing, you should compare your accomplishments with the promotion and/or tenure requirements laid out in your Department/unit criteria in the area of service.

Paste or enter your service professional statement into the appropriate area in Faculty 180. Within this section, attach samples of the following that support your application (attachments should follow the recommended naming convention; your name, detailed description of type of document and year if applicable):

- a) Other materials which supplement your promotion and/or tenure request in this area.
- b) Other materials or recognitions that are not already included in Faculty 180 as required above.

Curriculum Vitae

The foundation of your application packet is the curriculum vitae (CV) in Faculty 180. Profile/Workload documents and reports submitted every semester provide baseline information. Faculty must make sure all activities are appropriately entered using the “Workload” form. This includes attaching any supporting documentation (e.g., conference proceedings, manuscripts, acceptance letters etc.).

Refer to the CEFNS Faculty 180 Instructional Manual for specific directions to update your CV information in the Profile/Workload forms. The date of your starting employment at NAU should be made clear in this CV. Your CV should include information to the present.

Please arrange your CV in reverse chronological order (make sure dates are entered correctly in Faculty 180) and clarify publications or other scholarly products with respect to Departmental/unit criteria for measures of accomplishment. In other words, be absolutely clear about separating and labeling: peer-reviewed publications, conference proceedings, technical reports or other publications that do not qualify as peer-reviewed publications, invited presentations vs. contributed papers, and so on. Designate those co-authors who were students and their level, e.g. undergraduate or graduate. Use an * to clearly identify student author publications (similar to NSF standards).

Standard CV

Robert Plumb

Assistant Professor

928/523-0000

Robert.Plumb@nau.edu

DEGREES

Ph.D. Natural Sciences, Cornell University 1990

B.S. Engineering, Mercer University 1985

TEACHING

Fall 2014 Courses

CHM 345 1776-1 – INTRO to EXPLOSIVES

BIO 222H 1692-1 - BIOHAZARDS - HONORS

EGR 497 2001-2 - INDEPENDENT STUDY

Spring 2014 Courses

BIO 223 1699-1 - BIOTOXINS

GLG 3214 - UNDERGRADUATE RESEARCH

PHY 400 6677-2 - NUCLEAR REACTIONS

Fall 2013 Courses

ETC.

ADVISING LOAD

Fall 2013: 30 undergraduates, 6 masters, 1 Ph.D.

Spring 2013: 31 undergraduates, 6 masters, 1 Ph.D.

Fall 2012: 40 undergraduates, 4 masters, 2 Ph.D.

Spring 2012: 41 undergraduates, 4 masters, 2 Ph.D.

Etc.

SCHOLARLY CONTRIBUTIONS AND CREATIVE PRODUCTIONS

- Book (Accepted) Plumb, Robert.(2010). Biohazards and Bioweapons. McGraw Hill.
- Journal Publication (Completed/Published)
- Scarlet, R., Susan, T., & White, G. Judith.(2009). Efficient Ways to Render Biological Weapons Inert, J. Applied Chemistry. Vol., Pages.

INSTITUTIONAL COMMITTEES

- University Curriculum Committee (Northern Arizona University) Fall 2011 - Present
- Faculty Grants Review Committee (Northern Arizona University) Summer 2010 - Present
- Undergraduate Symposium Planning Committee (Northern Arizona University) Fall 2011 - Present

OTHER INSTITUTIONAL SERVICE

- Daily Campus Visits (Northern Arizona University) Spring 2013
- Accreditation planning (Northern Arizona University) Fall 2012 - Present

- Commencement Marshal (Northern Arizona University) Spring 2011 - Present

PROFESSIONAL SERVICE

- Newsletter Editor, American Society of Engineering Educators Spring 2010 - Present

PROFESSIONAL LICENSURES & CERTIFICATIONS

Registered Professional Engineer, Arizona

COMMUNITY SERVICE

Flagstaff Mt. Campus Science and Engineering Day (2012)

MEMBERSHIP

Member, American Society of Engineering Educators (ASEE)

REASSIGNED DUTIES

Graduate Coordinator for the Natural Sciences Department

PROFESSIONAL DEVELOPMENT

- ABET symposium, St. Louis, Missouri Spring 2012
- Teaching Chinese Students (Workshop) Spring 2012 - Summer 2012
- Learning Community for teaching with technology (2013)
- CMS Training Fall 2011

HONORS

Natural Sciences Department Teacher of the Year for 2012

CONSULTING

No activities entered

SELF EVALUATION

- [Self Evaluation for 2013-14](#)
- [Self Evaluation for Fall 2012 - Spring 2013](#)
- Etc.

EVALUATIONS

- [FSC Evaluation for 2012-13](#)
- [Chair Evaluation for 2012-13](#)
- [Dean's Evaluation for 2012-13](#)

GRANTS

- Plumb, Robert , White, Judith and Scarlett, Susan *NSF DUE* (January 16, 2014), \$654,321 Submitted for Review – pending.
- Plumb, Robert and Mustard, Ronald, NACME (National Action Council for Minorities in Engineering) Scholars Program, *NACME* (January 16, 2013), \$125000.00 submitted and awarded.

CONFIDENTIAL LETTERS OF REVIEW (Internal, External and Arm's-Length)

The Chair/unit leader receives a list of possible internal, external and arm's-length reviewers from you by April 15th of the calendar year you are planning to apply for promotion and/or tenure. This list is provided to the Dean's office and is verified by the Dean to confirm arm's-length decisions while allowing Chairs time to contact reviewers before the summer break. Please provide at least two additional possible arm's-length reviewers above the number of letters required to ensure there is sufficient pool should any not be arm's-length or to account for low return rate.

The Chair/unit leader then solicits the letters of review (May/June/July) and is responsible for sending copies of your work (external review package) to each reviewer. The solicited letters will then be returned to the Dean's office. The Dean's office will provide an instruction sheet and return envelopes to each unit. The contact will be Attn: Jamie Baxter, College of Engineering, Forestry & Natural Sciences Dean's Office, PO Box 5621, Flagstaff, AZ 86011 or email to jamie.baxter@nau.edu.

Confidentiality of these letters is extremely important and you cannot be made aware of which reviewers are asked or not asked to provide a letter and which actually provide a letter. You must not introduce review letters into Faculty 180 and may not view them. It is critical that your Chair/unit leader begin soliciting these letters early in the summer (by the timeline), to ensure that letters are received in the Dean's office by the August 1 deadline in order to be available for the first level of review (this is done by the Dean's office). The CEFNS Conditions of Faculty Service Guidelines provides additional details about the requirements of review letters. The minimum requirements are as follows:

- For promotion to associate professor or for tenure, a minimum of three external review letters are required in the review file; of which at least one letter must be from an arm's-length reviewer capable of providing an objective evaluation. By definition, an arm's-length reviewer is someone who has no current active association with the candidate. (see below for further definition of arm's-length)
- For promotion to professor, professional reputation is a key review criterion. All such promotion requests must include a minimum of five external review letters, of which three must be from arm's-length reviewers. (see below for further definition of arm's-length)
- For promotions within non-tenure track ranks (research, clinical, lecturer), external arm's length reviews may not be applicable but may be required in some situations, for example research faculty appointments. It will follow the guidelines above, but you can refer to the CEFNS Conditions of Faculty Service Guidelines for specifics for each rank. In many situations three letters of review are required. The recommended number of internal letters is typically 3-5 depending on the position.

It is very important to meet these minimum letter requirements; they contribute to a well-informed review and are required to consider your application complete.

The Dean's office will receive and account for these letters (matching them up with the list provided in April, checking with the Chairs/unit leaders if not all letters have been received, and/or are lacking the minimum number required for each rank). The Dean's office will upload the letters into Faculty 180. Letters may not be introduced into Faculty 180 after the file is submitted to the FSC during the first stage of the review. Letters previously submitted with

earlier promotion and/or tenure applications should not be used again. All letters received for this review will be uploaded into Faculty 180 by the Dean's office.

Definition of external letters:

For external letters (that are not arm's-length), you may submit names of colleagues or collaborators outside the NAU community to the Chair. External letters should be accompanied by a brief description of the author's relationship (if any) to you and his or her expertise.

Definition of arm's-length reviewer and guidelines for selecting reviewers to provide to the Chair:

Arm's-length is defined as no current or recent active association with you. This means that reviewers are not close friends, current or recent collaborators, former supervisors, advisors or colleagues. Peers from the disciplinary community should be persons able to review your scholarly record (and pedagogical reputation, where appropriate). Reviewers must be from institutions and departments similar to your own in mission and expectations. The Chair/unit leader is entitled to solicit additional letters, and will share the names of potential reviewers with you for comment.

Examples of who usually qualifies as an arm's-length reviewer (these are only a few examples, this list is not all inclusive):

- Appeared on a panel at a conference with you
- Served on a granting council selection panel with you
- Editor of a publication in which you have published or contributed more than ten years ago
- You are an editor of a publication in which the arm's-length reviewer has published or contributed
- Arm's-length reviewer has presented as a guest lecture at your university
- Co-author or research collaborator with you more than ten years ago

Examples of who usually does not qualify as an arm's-length reviewer (again these are only a few examples, this list is not all inclusive):

- A previous colleague from any current or former institution
- A regular co-author and/or research, teaching or service collaborator of yours, within the past ten years
- Any family member/friend/romantic relationship of yours
- Your doctoral and postdoctoral supervisors

For arm's-length reviewers specifically, any relationship existing between the candidate and possible reviewer must clearly be identified by the candidate (PhD mentor, co-author, former student, etc.).

You should not contact any internal, external or arm's-length reviewer, you should simply provide a list of names to the Chair/unit leader.

The following example is a solicitation letter provided to assist Chairs/unit leaders in this task.

SAMPLE LETTER SOLICITED BY CHAIR

July 12, 20YX

Dear Colleague:

Dr. Plumb is being considered for promotion to the rank of associate professor with tenure in the Department of Natural Sciences at Northern Arizona University. I write to ask you if you would please provide a letter of evaluation concerning Dr. Plumb. With this letter/email are enclosed a current Curriculum Vitae, professional statements, selected samples of work, and applicable departmental criteria. I am attaching text from department and university documents describing specific criteria for promotion to the rank of associate professor. **Also, please note the form signed by Dr. Plumb, which indicates his understanding that all review letters are strictly confidential.**

The Department of Natural Sciences at Northern Arizona University has more than 20 faculty members who work in areas ranging from molecular chemistry to physics, engineering and ecology. We are well known for the outstanding teaching we do with undergraduates (over 300 majors) and for the extensive involvement of undergraduates in our varied research programs. We also have both master's and doctoral programs with a current total enrollment of more than 30 graduate students. Teaching load assignments in our department vary widely, depending on the level of research, service and administrative activity. Our web site address is www.nau.edu/naturalsciences/.

Many faculty members have research programs that are funded through external sources. Faculty members are expected to maintain an ongoing research program that, if possible, incorporates graduate and undergraduate students. We also expect that faculty members will be involved in service commitments within the department, at the university, and often in their disciplines on a regional or national level. We are committed to the idea that individuals can occupy distinct niches within the department, and we encourage faculty to define these unique niches, which together contribute to the overall functioning of the department.

The external review letters are particularly important in evaluating the research component for tenure and promotion candidates, but we would also appreciate any other comments you feel qualified to make regarding Dr. Plumb's teaching and service. Also, please describe your professional relationship with Dr. Plumb (e.g., know his work through literature, mentor of some type, occasional collaborator on proposals, etc.)

The letter can be mailed, emailed or faxed . Please return the letter to Attn: Jamie Baxter, College of Engineering, Forestry, and Natural Sciences Dean's Office, PO Box 5621, Flagstaff, AZ 86011 or email to jamie.baxter@nau.edu or fax to 928-523-1902 (please call first to let us know it is coming 928-523-2424) prior to August 1, 2017. An electronic or hard copy on your institutional letterhead is required. As a frequent peer reviewer, I fully understand the nature of the time commitment involved in doing a thorough and fair job on such a letter. On behalf of the entire faculty of our department I extend to you sincere appreciation for your assistance on this important matter.

Sincerely,
Iam A. Chair, Ph.D.
Professor and Chair

Enclosures (Excerpted from the full P&T application):

Curriculum Vitae
Professional Statements
Selected samples of work
Applicable Departmental Criteria

NAU Department of Natural Sciences waiver of access to reviewer comments

I, _____, hereby waive any and all rights to examine, question, or in any way access any information contained in reviewer letters solicited in the context of my promotion and/or tenure application.

Signed: _____

Date: _____

**ADDITIONAL INFORMATION
HOW YOUR APPLICATION WILL BE EVALUATED**

The following groups and individuals will be reviewing your file and generating corresponding evaluation letters: Department/unit FSC, Chair/unit leader, college P&T committee, Dean, and Provost. The final decision is contained in a letter from the President. These evaluation letters will be inserted into Faculty 180 as they are generated. If the candidate chooses to respond in writing at any of the above levels of review, these letters should be inserted into Faculty 180 as well.

Reminder, your copy of each letter from each review level and the mechanism to respond is available in Faculty 180.

A. DEPARTMENTAL FACULTY STATUS COMMITTEE (FSC) EVALUATION

These evaluations should be addressed to the Chair/unit leader and should reflect the consensus of the FSC and include the following:

I. Student Related Responsibilities: Teaching and Advising

Evaluate your performance in all student-related activities as a teacher and advisor of undergraduates and graduates where appropriate (e.g. classroom, laboratory, special projects, etc.). Comment on strengths and weaknesses, student evaluation results, and evaluations by colleagues. Address if you are meeting the student-related activity expectations in your Statements of Expectations within the context of the Departmental Mission Statement and the unit criteria? The committee will address annual performance and give an annual performance rating in this area separately from their promotion and tenure recommendation.

II. Scholarship

Evaluate the quality of your scholarly work. Which of the scholarly pieces represent major contributions in well-refereed outlets? Which ones appear in the major refereed journals in the field? Are there other indications of peer recognition – major grants, major conference presentations, invited presentations or invitations, or professional service at the regional or national level? Include information from internal and external reviewers, indicating how your scholarly contributions were judged. Include statements concerning standards at comparable universities and departments; and when outside reviewers' opinions are available, summarize or quote from them. Are you meeting the scholarly/creative activity expectations in your Statements of Expectations within the context of the Departmental Mission Statement and the unit criteria? The committee will address annual performance and give an annual performance rating separately from their promotion and tenure recommendation.

III. Service

Are you meeting the service activity expectations in your Statements of Expectations within the context of the Departmental Mission Statement and the unit criteria? The committee will address annual performance and give an annual performance rating separately from their promotion and tenure recommendation. Evaluate the quality of your service to the department, college and university. Evaluate the impact of your public service activities, which utilize professional expertise. These should be activities carried out as a professional faculty member (e.g. officer in a professional scholarly society) as distinct from those performed as a good citizen (e.g. soccer coach).

A. Overall Departmental FSC Recommendation

The committee must make a recommendation on their reviews specifically stating either “Recommended for Promotion and/or Tenure” or “Not Recommended for Promotion and/or Tenure.” The committee should also make summary statements about the results of their review to substantiate their recommendation and if applicable, the reason for denial. The FSC should also address overall annual performance and give an overall annual performance rating. This letter will be addressed to the Chair/unit leader and uploaded into Faculty 180.

B. CHAIRPERSON EVALUATION

Are you meeting the student-related, scholarly/creative, and service activity expectations in your Statements of Expectations within the context of the Departmental Mission Statement and the unit criteria? This assessment should indicate whether this evaluation is the same or different from the Departmental FSC’s and why. It should also specifically refer to the standards for promotion and/or tenure and your Statements of Expectation, as well as the mission statement of the Department. The Chair must make a recommendation specifically stating either “Recommended for Promotion and/or Tenure” or “Not Recommended for Promotion and/or Tenure” along with summary statements substantiating their recommendation and if applicable, the reason for denial. This letter will be addressed to the Dean and uploaded into Faculty 180.

C. PROMOTION AND TENURE COMMITTEE EVALUATION

Are you meeting the student-related, scholarly/creative, and service activity expectations in your Statements of Expectations within the context of the Departmental unit criteria and the CEFNS Process Guidelines for Promotion and Tenure? The CEFNS P&T Committee must make a recommendation specifically stating either “Recommended for Promotion and/or Tenure” or “Not Recommended for Promotion and/or Tenure” along with the summary statements substantiating their recommendation. The CEFNS P&T Committee will submit an evaluation letter to the Dean via Faculty 180, taking into consideration the following:

- Assessment of your effectiveness in the area of student-related activities, as demonstrated by annual evaluations by students and your home unit (peer reviews), discussion of how your teaching has evolved over time in response to the annual evaluation comments, incorporation of student-centered instructional techniques, and evidence of student advising activities.
- Assessment of your effectiveness in the area of scholarly/creative activities, as demonstrated by publications in the professional literature, grant funding, conference presentations, invited presentations, mentoring of students in research, and reputation within one’s professional community.
- Assessment of your service contributions, including participation/leadership on department/college/university committees and service contributions to one’s professional community.
- If applicable, reason for denial.

D. DEAN’S EVALUATION

Are you meeting the overall activity expectations in your Statements of Expectations within the context of the Departmental Mission Statement and the unit criteria? This letter will include the specific recommendation for or against promotion and/or tenure. The Dean will submit an evaluation letter to the Provost via Faculty 180, taking into consideration the following information:

- Assessment of your strengths and weaknesses
- Potential for leadership
- Criticality of your teaching role
- Potential for long-term contributions to the missions of the department, college and university
- Potential for achieving responsibilities of professor/associate professor
- Evaluations from earlier stages of review
- If applicable, reason for denial.