



## College of Education

*We develop educational leaders who create tomorrow's opportunities.*

# Procedures and Criteria for Performance Review

## Purpose of this Document (approved 12/15/06)

The mission of Northern Arizona University is to provide an outstanding undergraduate residential education strengthened by research, graduate and professional programs and sophisticated methods of distance delivery. The College of Education embraces this mission in its quest and mission to prepare competent and committed professionals who will make positive differences for children, young adults, and others in schools. This document outlines the processes and criteria for annual review and promotion and tenure. The faculty recognize the multiple purposes for such review, but emphasize the following: Performance review is designed to a) enhance the overall quality of the educational experience within the college and university; b) enhance the performance of individual faculty members in their various roles; c) provide information relevant to decisions regarding continuing employment, merit adjustments, and rank and tenure.

## Overview of Promotion and Tenure and Annual Review Process and Criteria

### 1.0 Introduction to Personnel Processes at the College of Education

In accordance with the policies and procedures of Northern Arizona University and the Arizona Board of Regents (ABOR), faculty members at the College of Education have established processes for review and evaluation of their work. This document outlines the review processes and review criteria of the college. All processes and criteria outlined here are aligned with university requirements, which take precedence over COE processes and criteria.

### 2.0 Faculty Membership Defined

This document outlines two processes, which apply variably to faculty members. The Arizona Board of Regents (4/28/06) provides the following definition: “*Faculty member* means an employee of the Board whose Notice of Appointment is as instructor, lecturer, senior lecturer, principal lecturer, assistant professor, associate professor, professor, professor of practice, research professor, clinical professor or Regents’ professor or whose Notice of Appointment otherwise expressly designates a faculty position.” Faculty membership in the College is established in conformity to the Conditions of Faculty Service as approved by the NAU Faculty Senate (date TBD). According to this document, faculty members are divided into two categories: tenured/tenure-track faculty (assistant professor, associate professor, and professor; referred to hereafter as “tenure faculty”) and non-tenure faculty (instructor, lecturer ranks, clinical and research ranks . .

1 .). All benefit-eligible faculty members are subject to the annual review process, as  
2 required by ABOR. In addition, faculty members are subject to the promotion and/or  
3 tenure criteria established for their particular classification.  
4

5 All benefit-eligible faculty members in the College of Education are granted voting rights  
6 as part of the faculty of a whole. However, consistent with ABOR requirements, only  
7 tenure faculty may vote on matters pertaining to promotion and tenure. Departments may  
8 establish voting eligibility by adopting operating procedures for departmental business,  
9 subject to approval of the dean.  
10

### 11 **2.1 Distinction between Annual Review and Promotion and Tenure Processes**

12 The Conditions of Faculty Service (COFS) document distinguishes between the annual  
13 review process and the retention/promotion/tenure process as follows:  
14

15 “Typically, units will have different criteria and levels of performance expected for  
16 annual performance evaluations (e.g., unsatisfactory, satisfactory, meritorious, highly  
17 meritorious) than for retention, tenure, and promotion. Annual evaluations do not  
18 cumulate into tenure and/or promotion decisions. For probationary faculty, the annual  
19 evaluation should not be confused with the probationary (retention) review. While these  
20 may occur simultaneously and be based upon overlapping material, the probationary  
21 (retention) review incorporates the unit's estimate of the faculty member's future promise  
22 and contributions to the unit and the discipline based on the accomplishments to date.  
23 Annual performance evaluations are retrospective of a single year, and summative in  
24 nature. Tenure and promotion reviews incorporate an evaluation of the quality of  
25 contributions of the faculty member to date and promise of continued excellence.”  
26

27 As indicated earlier, all faculty members are subject to annual review. Annual review  
28 processes are regulated by the provost, but departments are responsible for establishing  
29 criteria. Members of the four departments of the College of Education have agreed to  
30 share portions of these criteria (e.g., a process for evaluation of teaching), but differ on  
31 other elements. All departmental criteria are subject to approval by a majority of the  
32 faculty in the department, the dean and the provost.  
33

### 34 **3.0 Requirements for Annual Review Processes**

35  
36 Departments shall establish specific criteria for the ratings in required categories for  
37 annual review (student-related, research/scholarship, and service); all COE departments  
38 will produce ratings for each faculty member in each of the three categories.

39 Departmental criteria and processes shall be outlined in a document approved by a  
40 majority of faculty members, the chair, dean and provost. Revisions of the criteria and  
41 processes shall be subject to the same approval process, and such revisions must be  
42 completed before the end of the fall semester of any given year to apply to the annual  
43 review process for the next cycle. Overall ratings will be determined by a weighted  
44 compilation of categorical ratings (see Appendix A).  
45

46 Each faculty member will be rated in each category on the following general scale: 1

1 (unsatisfactory), 2 (satisfactory), 3 (meritorious), 4 (highly meritorious). Scores for each  
2 area will be determined in accordance with pre-established criteria; weighted numerical  
3 scores will be used for final composite ratings.

### 4 5 **3.1 Relative weighting of categories of review**

6 Faculty load, as determined through the Statement of Expectation (SOE) process, will  
7 dictate the relative weighting of faculty review categories. A standard load in COE  
8 consists of 15 hours of assigned load credit each semester (thus, each 3-credit component  
9 approximating 20% of the load). In general, the teaching load for tenure faculty members  
10 consists of an average of three 3-credit courses per semester (provided the faculty  
11 member has designated research or other activity in the SOE); typical teaching load for  
12 non-tenure faculty consists of four 3-credit courses per semester. All faculty are required  
13 to have at least 5% of their annual review/load credit dedicated to each category of  
14 review.

15  
16 For illustrative purposes, consider the following example. Assistant Professor X teaches  
17 three 3-credit classes fall semester and three 3-credit classes spring semester (overall,  
18 18/30 of the annual load or 60%). Assistant Professor X is given 3 credits of load for  
19 service/advisement in both semesters (20%). Assistant Professor X is assigned to  
20 research work for 3 credits in the fall and the spring (20%). The final weighting for this  
21 faculty member's annual review, then, will be as follows: student-related, 60%; service,  
22 20%; research/scholarship, 20%.

### 23 24 **3.2 Annual Review of Teaching and Other Student-Related Activities**

25 The score for review of student-related activities (e.g., teaching, advisement, supervision)  
26 will be determined according to the following categories of interest and sources of rating  
27 (adapted from Arreola, 2000):  
28

Component	Students	FSC (peers)	Chair	Total
Instructional Delivery	10-20	0-10	5	15-35
Instructional Design	10-20	10-20	10	30-50
Content expertise/currency	0	10-20	10	20-30
Course Management	0	0	10	15
Other student- related activities		0-10	5	
Total	20-40	20-40	40	100

29  
30 Departments will determine both the particular documents/materials required for review  
31 and the rating scale or rubric used to rate these materials, subject to approval by the dean  
32 and provost. The weighting of each source of information will be determined (within the  
33 defined parameters) by faculty vote in each department; final ratings must total 100%.  
34 Revisions of these weightings must be approved by the end of the fall semester to apply

1 to the review for a given academic year.

2  
3 The following definitions, from Arreola (2002), are provided to focus the annual review  
4 of teaching (recognizing that departments will refine these definitions in the process of  
5 articulating criteria and processes):

- 6 • Instructional delivery: “human interactive skills and characteristics which 1)  
7 make for clear communication of information, concepts, and attitudes, and 2)  
8 promote or facilitate learning by creating appropriate affective learning  
9 environments” (pp.12-13).
- 10 • Instructional design: “technical skills in 1) designing, sequencing, and presenting  
11 experiences which induce student learning, and 2) designing, developing, and  
12 implementing tools and procedures for assessing student learning outcomes” (p.  
13 14).
- 14 • Content expertise: “that body of skills, competencies, and knowledge in a  
15 specific subject area in which the faculty member has received advance education,  
16 training, and/or experience” (p. 11).
- 17 • Course management: “skills in operating and managing a course including, but  
18 not limited to, timely grading of examinations, timely completion of drop/add and  
19 incomplete grade forms, maintaining published office hours, arranging for and  
20 coordinating guest lecturers, and generally making arrangements for facilities and  
21 resources required in the teaching of a course” (p. 14). In addition, course  
22 management includes timely provision of scores for signature artifacts and  
23 documents associated with assessment of student learning for program review or  
24 accreditation purposes.
- 25 • Other student-related activities: advising, mentoring or other activities articulated  
26 in departmental review guidelines.

### 27 28 **3.3 Annual Review of Service**

29 The score for the annual review of service activities will be based on the candidate’s  
30 documentation in the categories elaborated in section 7.2 of this document. Each  
31 department will produce a rating scale or rubric based on the quality of service provided  
32 in the categories indicated, subject to approval by the dean and provost. It is incumbent  
33 upon the candidate to provide documentation of service accomplishments.

### 34 35 **3.4 Annual Review of Scholarship**

36 The score for the annual review of scholarship shall be determined according to  
37 departmental criteria derived from the description of scholarship included in section 6.4  
38 of this document, subject to approval by the dean and provost. For non-tenure faculty,  
39 the score shall be based on documentation (determined by the department) of the faculty  
40 member’s currency in the field/discipline as it relates to scholarly teaching.

### 41 42 **3.5 Appeal process**

43 As articulated in the Conditions of Faculty Service (available at  
44 <http://www2.nau.edu/provost/>) section 7.4.6, Annual Faculty Performance Evaluation  
45 Procedures, faculty members are entitled to appeal processes at each level of review.

1 **4.0 Promotion and Tenure Processes and Criteria**

2  
3 **4.1 Faculty as Scholars: A Guiding Perspective for Teaching, Service and**  
4 **Research**

5 Faculty members in the College of Education affirm a vision of faculty responsibility as  
6 the manifestation of the life of a scholar, as articulated by Boyer (1990). The core of  
7 faculty identity manifests the commitments of a scholar. That is, the four domains of  
8 scholarship articulated by Boyer—scholarship of discovery, integration, application  
9 (engagement) and teaching—characterize the work of faculty. As scholars, faculty  
10 members engage in inquiry and discovery; as scholars, faculty members teach future  
11 generations; as scholars, faculty members bring their expertise to the problems and issues  
12 of the community and profession. While different areas of Boyer’s conception of  
13 scholarship are emphasized in various aspects of the life of the scholar (see figure 1), we  
14 recognize that these domains are overlapping and interacting, and we expect faculty  
15 members to develop increasing excellence in these areas over the course of their careers.

16  
17 Figure 1 illustrates two facets or ways of viewing scholarly life. From the perspective of  
18 faculty activity, the domains of scholarship overlap and influence one another. From the  
19 perspective of review processes, the three traditional lenses of faculty review (teaching,  
20 service and research) provide a means of understanding and evaluating the results of  
21 faculty efforts. However, through either lens, the centrality of *faculty member as scholar*  
22 is maintained.  
23

Boyer as perspective on a scholar's work

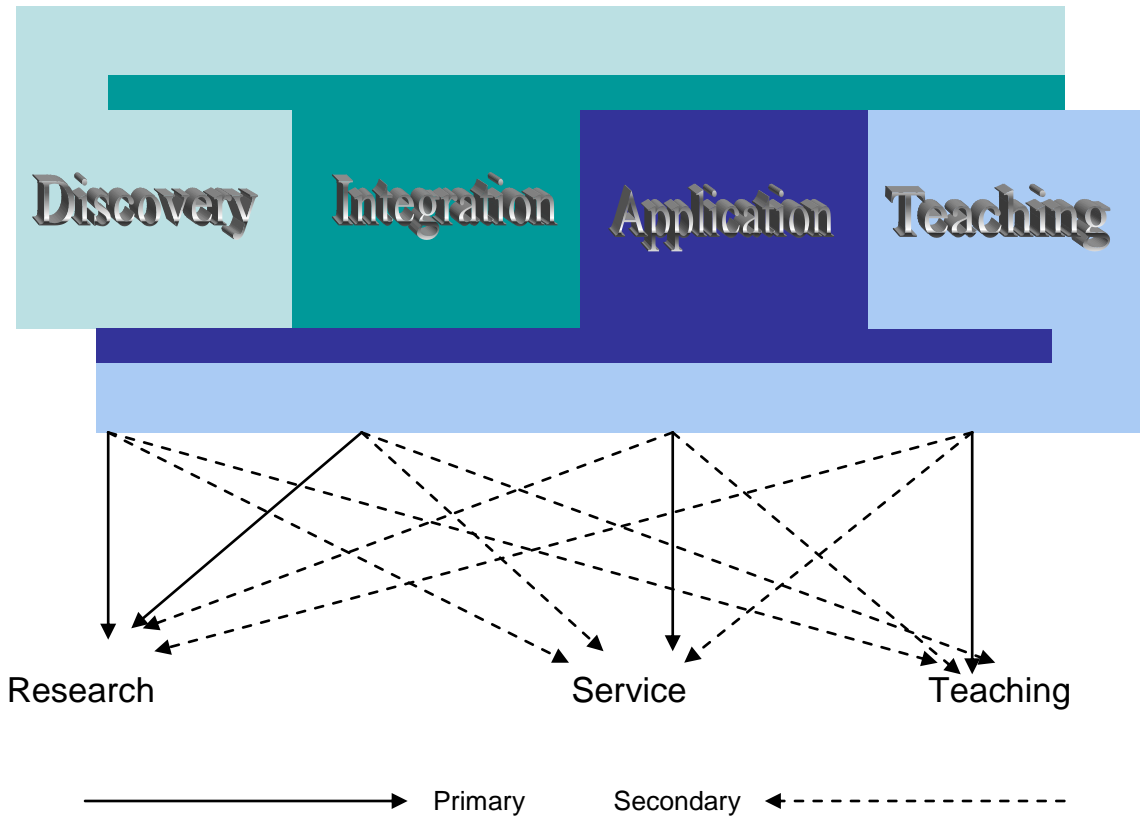


Figure 1: Overlap and Emphasis of Boyer's Four Domains of Scholarship.

**4.2 Procedures for Evaluation in COE**

As required by ABOR and Northern Arizona University, the process of faculty review involves defined stages. Each faculty member seeking promotion and/or tenure will provide review materials<sup>1</sup> to be examined by the following entities (and in the following order): a faculty status committee (made up of tenured department members), the department chair, the College of Education Promotion and Tenure Review Committee, the dean, the provost, and the president. Each level of review seeks to ensure that each candidate meets acceptable standards for the University (see ABOR Policy 6-201-H: 4 and the NAU "Conditions of Faculty Service," Sections 7.5 and B.2.1) and the College of Education (as outlined below). All academic departments within the College of Education will employ the criteria and standards for decisions related to tenure and/or promotion specified in this document. Each faculty member shall provide a narrative overview of his or her work indicating the focus, impact and relevance of the work to the life of a scholar (guided by expectations for teaching, service and research) and the mission of the college.

<sup>1</sup> Required materials vary according to the review process, but are outlined in the description of the Professional Review File (PRF).

1 At each level of review, faculty members are provided with opportunities to respond to  
2 the review, withdraw from the process, or do nothing. The appeal process is articulated  
3 in the Conditions of Faculty Service, section 7.5.2: Procedure for Renewal, Promotion,  
4 Tenure and Merit.

## 5 6 **5.0 Teaching: Criteria for the Scholar as Teacher**

7  
8 Boyer (1990) promotes a conception of the scholar as one who both shares knowledge  
9 and learns from her or his teaching. That is, teaching is a core activity of the scholar and  
10 a central component of the scholar's identity. The College of Education recognizes not  
11 only this affirmation of teaching, but also our long-standing commitment to effective  
12 teaching. The starting point for evaluating and understanding the work of faculty  
13 members as scholars resides in teaching, and effective teaching is a minimal expectation  
14 for all faculty members.

15  
16 While the conditions or contexts of teaching vary widely (e.g., web-based or face-to-face;  
17 mediated by television or hybrid formats) the features of effective teaching remain  
18 consistent. Effective teachers are **current in the substance or content of their**  
19 **disciplines/fields**: they build on a strong foundation of understanding the content they  
20 teach and they remain informed of developments in their discipline. Effective teachers  
21 also demonstrate the capacity to **match their goals and subject areas with effective**  
22 **methods of teaching** that engage learners and enhance learners' achievement. That is,  
23 teaching effectiveness demands a pedagogical skill level. The effective teacher promotes  
24 adaptive expertise on the part of his or her students, encouraging learners to build  
25 foundations of understanding from which they can successfully negotiate novel  
26 situations. Effective teachers demonstrate **organization and effective management of**  
27 **the learning enterprise**. That is, they provide students with appropriate guides and  
28 materials (e.g., syllabi), appropriate assessments, and timely feedback. Effective teachers  
29 are accessible to their students; effective teachers conduct the business of teaching  
30 professionally (e.g., reporting grades, completing grade contract/incomplete forms,  
31 posting and maintaining office hours). Finally, effective teachers **contribute to the**  
32 **enhancement of teaching and learning in their community**. They participate in  
33 curricular development, by bringing their expertise to the improvement of learning  
34 experiences for the college. They serve as critical friends and guides to their colleagues  
35 and mentors to students.

36  
37 Again, acknowledging the overlapping nature of the four domains of scholarship as  
38 described by Boyer (1990), we highlight the important distinction between *scholarly*  
39 *teaching* and the *scholarship of teaching*, as elaborated by Shulman (2000, p. 50).  
40 Scholarly teaching is grounded in the current information, sources and resources of the  
41 field. Scholarly teaching demonstrates thoughtful selection and organization of ideas and  
42 examples; scholarly teaching relies on effective strategies of course design, development,  
43 interaction and assessment. The scholarship of teaching, according to Shulman, goes  
44 beyond these features. While the scholarship of teaching has been defined in varied  
45 ways, general consensus of scholars indicates that such scholarship should be "public,  
46 susceptible to critical review and evaluation, and accessible for exchange and use by

1 other members of one's scholarly community" (Shulman & Hutchings, 1998, p. 9; see  
2 also the Australian Scholarship in Teaching Project:  
3 [http://www.clt.uts.edu.au/Scholarship/Home\\_Page.html](http://www.clt.uts.edu.au/Scholarship/Home_Page.html)). All faculty members are  
4 expected to manifest scholarly teaching. Scholarship of teaching involves systematic  
5 inquiry into teaching, and it leads to products that are public, critiqued, and disseminated.  
6 The scholarship of teaching is appropriately addressed in the section on research later in  
7 this document.

8  
9 As in other areas of faculty review, the public manifestations of the above qualities  
10 become the central data in evaluating faculty performance of teaching. Individual  
11 departments in the College of Education have developed specific expectations about the  
12 documentation of teaching. However, all departments endorse the following principles.  
13 Effectiveness in teaching for the College of Education, displays at a minimum, the  
14 following features:

- 15  
16 • *Content knowledge of the teacher is current and deep.* Sample indicators include  
17 documentation through effective syllabi, contributions to curriculum  
18 development, and so on.
- 19 • *Methods of teaching are appropriate to the learners, the subject, and the*  
20 *teaching context.* Sample indicators include student evaluations of instructors,  
21 peer and chair observations, and recorded products (e.g., a videotape of teaching  
22 for assessment) or documents.
- 23 • *Management responsibilities of teaching are conducted professionally.* Sample  
24 indicators include the posting and keeping of office hours (accessibility in the  
25 case of web courses), timely provision of required reports and/or assessments,  
26 and appropriate, timely and effective student feedback.
- 27 • *Teaching expertise contributes to the continuous improvement of the department.*  
28 General indicators include curricular innovation, course revision, and  
29 participation in continuous improvement efforts.

30  
31 The evaluation of teaching in the College of Education includes input from students  
32 through formal course evaluations, input from peers through the participation of faculty  
33 status committees, and input from chairs and the dean.

### 34 35 **5.1 Criteria for Promotion to Associate Professor**

36 To achieve the rank of associate professor, a candidate should demonstrate effective and  
37 sustained achievement in the area of teaching and show potential for continued  
38 contributions. At a minimum, candidates must demonstrate current and thorough  
39 knowledge of the subjects they teach, effective employment of appropriate methods of  
40 teaching, responsible management of operational components of teaching, and  
41 commitment to students' success.

### 42 43 **5.2 Criteria for Promotion to Professor**

44 The rank of professor is the highest honor bestowed on a faculty member and the clearest  
45 statement of the values of the college. In defining criteria for this rank, faculty members  
46 not only articulate a career progression; they also articulate the aspirations and core



1 values of the college. The criteria for professor should embody a view of excellence that  
2 instills pride in the college. Promotion to professor is predicated on increased  
3 accomplishments in the life of a scholar, and time in rank is not a primary consideration.

4 The *Conditions of Faculty Service* indicates that promotion to professor requires a  
5 sustained record of effectiveness in teaching. In addition, candidates must demonstrate  
6 outstanding accomplishment in either teaching or research. Therefore, this document  
7 describes the criteria for demonstrating the sustained record of effectiveness (above) and  
8 for outstanding accomplishment in this area.

9 *Outstanding performance* in teaching is demonstrated through providing evidence of at  
10 least three of the following descriptors:

- 11 1. Exceptional performance in the classroom, documented by a combination of  
12 consistently high student evaluations, peer appraisal of course documents (e.g.,  
13 syllabi and graded course assignments) indicating excellence, and chair review.
- 14 2. Exceptional contributions to the enhancement of teaching in the college,  
15 documented by a combination of curricular innovations or course developments,  
16 program enhancements, mentoring or workshops, and other evidence.
- 17 3. Exceptional contributions to teaching in the discipline, documented by awards or  
18 recognitions from local or national groups, invitations to speak on teaching at  
19 national conferences, and a record of curricular development and innovation  
20 beyond the courses he or she teaches. (Note: Such documentation provides  
21 evidence of a national reputation as an excellent teacher.)
- 22 4. Extraordinary accomplishment in advisement/supervision of master's theses or  
23 doctoral dissertations, including awards for students or publication of student  
24 work, or extraordinary accomplishment in mentoring students.

## 25 **6.0 Scholarship: Criteria for the Scholar as Researcher or Inquirer**

26

27 Boyer (1990) addressed the responsibility of a scholar to engage in discovery and  
28 integration of knowledge; the College of Education recognizes that much of faculty  
29 inquiry will also draw on the scholarship of application and teaching. Faculty members  
30 of the college affirm that one facet of the scholar's life involves the broader community  
31 in the discovery, integration and application of knowledge. The results of inquiry  
32 activities considered in this category are broadly conceived: research may be empirical  
33 or conceptual; it may draw on original data collection or integrate others' data and  
34 theories; it may be basic or applied. Whatever its characteristics, research is  
35 characterized by an attempt to add to the knowledge base of the disciplines and fields  
36 represented in the college. Similarly, this facet of scholarship is characterized as work  
37 that is public, critiqued, and disseminated (Shulman & Hutchings, 1998). Consistent with  
38 ABOR policy, each tenure-track or tenured faculty member should establish a sustained  
39 and effective record of scholarship (research/inquiry).

40  
41 Faculty members in the College of Education make contributions in research and  
42 scholarship in a variety of ways and through many forms. Publications in scholarly or

1 professional journals (through print or on-line venues) constitute one form; specialized  
2 monographs or books constitute another. Presentations at professional meetings  
3 represent another possible contribution, although for consideration in this portion of the  
4 review, they must be available (e.g., recorded or printed) to reviewers. The production  
5 and dissemination of contributions such as instructional materials or tests demonstrate  
6 another form of scholarly work.

7  
8 Scholarly products submitted in the Professional Review File must be representative of  
9 one's discipline and address the mission of the college and university. To be recognized  
10 in the area of research, work should require a high level of discipline-related expertise  
11 and should be made publicly available, ideally through a peer review process. The most  
12 salient evidence of scholarly achievement derives from publication of the results of  
13 inquiry and research, broadly conceived.

### 14 15 **6.1 Process of Documenting Scholarship**

16 In recognizing the research/scholarship component of faculty work, three important  
17 distinctions arise. Scholarly productivity involves the following components: a) inquiry  
18 *activities* that lead to the discovery/integration/application of knowledge (in any of  
19 Boyer's four domains); b) the public *representation of the results or findings* from these  
20 activities; c) the *assessment of peers* as to the scholarly impact or quality of the inquiry.  
21 Inquiry activities may not lead to published results in the short run; at the same time, it is  
22 the results that form the central object of evaluation. Established peer-review processes  
23 provide a mechanism for accomplishing the third component of assessing scholarship.

### 24 25 **6.2 Documentation and Types of Products**

26 As indicated earlier, the faculty of the College of Education recognize the interplay of the  
27 four domains of a scholar's activity as articulated by Boyer (1990). Thus, while the  
28 emphasis in this element of review tends to be on scholarship of discovery and  
29 integration, when other forms of inquiry lead to products that are public, critiqued, and  
30 disseminated, they are appropriately reviewed in this category. For example, a refereed  
31 article on aspects of teaching is fittingly reviewed here.

32 The "levels" of products described below provide an organizational structure with which  
33 to assess faculty work in this facet of being a scholar. See Appendix B for sample  
34 products from each of the four domains of scholarship articulated by Boyer (1990).  
35 These levels are useful in communicating *minimal* expectations for faculty members  
36 seeking promotion and/or tenure. The categorization does not reduce the responsibility  
37 of reviewers to ensure that products demonstrate high quality. Faculty members are  
38 responsible to ensure that reviewers have the necessary documentation/evidence to  
39 evaluate performance (i.e., productivity and impact).

### 40 **6.3 Level One** (substantial external validation of scholarly products)

- 41 • Refereed (i.e., juried/peer-reviewed) journal articles (published in a recognized  
42 publishing house; not a vanity press; may be paper or electronic journal)
- 43 • Authored and edited books or textbooks (published in a recognized publishing  
44 house; not a vanity press)

- 1 • Book chapters
- 2 • Invited articles for thematic issues of a journal
- 3 • Monographs
- 4 • External grants that meet three criteria:
- 5     1. External grants may only count for up to 1/3 of the criteria for Level One
- 6     2. External grants must be of a competitive nature (clearly documented by the
- 7         faculty member)
- 8     3. Minimal grant funds must buy-out 10% (one class) of the faculty members’
- 9         salary per academic year.

10 **6.4 Level Two** (externally validated scholarly products)

- 11 • Reprints of articles in books of readings that are peer reviewed
- 12 • Publication of a new edition of a book or textbook
- 13 • Refereed presentations at international, national or regional professional and
- 14     scholarly meetings (documentation must make these presentations accessible to
- 15     reviewers; published proceedings from conferences would be appropriate)
- 16 • Research or program/service grants awarded through external, peer-review
- 17     processes (not meeting the criteria established in section 6.3)
- 18 • Invited colloquia at other universities and academic conference presentations
- 19     (documentation make these presentations accessible to reviewers)
- 20 • Editorship of professional journal with a national audience (extended term, not a
- 21     special issue)
- 22 • Original curriculum products (e.g., CD ROM's, videos, tests, clinical instruction
- 23     documents; ancillary materials for textbooks) with wide dissemination
- 24 • Workbooks/Study guides (published by a recognized publishing house)
- 25 • Non-refereed professional publications (e.g., magazine or newsletter articles,
- 26     short stories, poems, which are relevant to the profession)
- 27 • Review (book, test, other) published in an appropriate scholarly publication

28 **6.5 Level Three** (minimal or no external review)

- 29 • Presentations at state professional and scholarly meetings (documentation must
- 30     make these presentations accessible to reviewers)
- 31 • Research or program/service grants awarded internally or without peer review
- 32 • Evaluation, grant, government and agency publications, and other technical
- 33     documents
- 34 • Invited addresses or keynote speeches on scholarly topics (documentation must
- 35     make these presentations accessible to reviewers)
- 36 • Written cases with instructional materials
- 37 • Papers presented at public faculty workshops
- 38 • Development of instructional technology, computer software, or equipment used
- 39     for instruction, research, or clinical practice.
- 40 • Development of a substantial research clearinghouse or website portal

41 **6.6 Criteria for Promotion to Associate Professor**

1 To achieve the rank of associate professor, a candidate should demonstrate acceptable  
2 and sustained achievement in the area of scholarship and show potential for continued  
3 scholarly contributions.<sup>2</sup> Criteria for evaluating scholarly productivity focus on the  
4 products of inquiry, with attention to the quality of these products.

5  
6 **Minimum Requirements:** At a minimum, in order to be considered for the rank of  
7 associate professor, a candidate's record of scholarship should provide evidence of the  
8 following achievements:

- 9 • Ten scholarly products, of which
  - 10 ○ Eight products are from Level One or Level Two,
  - 11 ○ Three refereed articles, book chapters or a book published since  
12 appointment to the rank of assistant professor. External grants conforming  
13 to criteria established in section 6.3 may be included.

14  
15 Reviewers will apply standards appropriate to the discipline in judging the acceptability  
16 of the record of achievement. For example, the standards endorsed by the Carnegie  
17 Foundation for the Advancement of Teaching (Glassick, Huber, & Maeroff, 1997) are as  
18 follows:

- 19  
20 • Clear goals (purposes built around important questions).
- 21 • Adequate preparation (grounding in current knowledge).
- 22 • Appropriate methods (fitting methods applied properly).
- 23 • Significant results (making an addition to the field).
- 24 • Effective presentation of findings (clarity and integrity).
- 25 • Reflective critique of the work (scholar critically evaluates own work).

## 26 27 **6.7 Criteria for Promotion to Professor**

28 The *Conditions of Faculty Service* indicates that promotion to professor requires a  
29 sustained record of effectiveness in research/scholarship. In addition, candidates must  
30 demonstrate outstanding accomplishment in either teaching or research. Therefore, this  
31 document describes the criteria for demonstrating the sustained record of effectiveness  
32 and for outstanding accomplishment in this area.

33 To demonstrate sustained accomplishment in research this accomplishment, candidates  
34 must show evidence of a continuing commitment to develop as a scholar and a scholarly  
35 reputation that extends beyond the university; in addition, a candidate must demonstrate  
36 leadership capacity in the area of scholarship.

37 **Minimum Requirements:** The candidate's record of scholarship should include extensive  
38 and quality work distributed primarily across Levels One and Two, with increasing  
39 productivity since appointment to associate professor. A candidate's record of  
40 scholarship should include an average of at least two products per year, with one product  
41 each year from either Level One or Level Two. At a minimum, in order to be considered

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<sup>2</sup> Note: no distinction between minimal requirements and outstanding performance is provided, since ABOR documents do not require outstanding performance.

1 eligible for promotion to professor, the candidate must show the following:

- 2
- 3 • Fourteen products since appointment as associate professor. Of these fourteen
- 4 products,
- 5     ○ Ten must be from either Level One or Level Two,
- 6     ○ Five must be from Level One.
- 7 • Three refereed journal articles, book chapters or external grants as described in
- 8 section 6.3 (among the 14 products) since the appointment to the rank of associate
- 9 professor **OR**
- 10 • Authoring/co-authoring a book, which has been published in a nationally
- 11 recognized publishing house since appointment to the rank of associate professor;
- 12 • In addition, among the required number of refereed publications, the candidate
- 13 must be the first author in at least two refereed journal articles since the
- 14 appointment to the rank of associate professor.

15 ***Outstanding in Research:*** To meet the NAU requirement of “outstanding” in research, a

16 candidate should document the following<sup>3</sup>:

- 17 • Twenty products since appointment as associate professor. Of these twenty
- 18 products,
- 19     ○ Fourteen must be from either Level One or Level Two,
- 20     ○ Nine must be from Level One.
- 21 • Six refereed journal articles or book chapters since the appointment to the rank of
- 22 associate professor, for which the candidate is first author of at least two refereed
- 23 publications since the appointment to the rank of associate professor **OR**
- 24 • Three refereed journal articles or book chapters and authoring/co-authoring a
- 25 book which has been published in a nationally recognized publishing house since
- 26 the appointment to the rank of associate professor.

27 In addition, to demonstrate “outstanding” performance in research/scholarship, the

28 candidate must document the attainment of a national or international reputation for

29 excellence in the appropriate profession or field of scholarly activity. Examples of such

30 documentation include awards and recognition by national groups, invitations to serve on

31 national editorial boards, and departmentally-solicited external reviews by prominent

32 scholars.

### 33 **7.0 Criteria for the Scholar in Service**

34 Boyer’s (1990) notion of a scholar included the importance of application of

35 professional/disciplinary expertise to issues and problems of the profession and broader

36 community. The College of Education acknowledges the importance of service as a

37 component of the scholar’s identity.

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<sup>3</sup> As indicated earlier, reviewers still must apply judgment as to the quality and impact of the work presented; thus, the narrative accompanying the application should clarify how the scholarship rises to “outstanding.”

1 Service activities to (1) the profession, (2) the local, state, national, and international  
 2 communities, and (3) the University, the College, and the Department are also important  
 3 and central to all recommendations for continuing employment, promotion, tenure, and  
 4 merit. Faculty are expected to participate actively in service activities. To assess  
 5 performance in this area, faculty must document and provide evidence of their service  
 6 activities, their level of involvement in those activities, and important accomplishments  
 7 related to those activities.

8 Documentation of service can be provided through letters from appropriate authorities  
 9 describing participation and contributions, records of public workshops/seminars,  
 10 evidence of service on professional review boards or associations, awards, and so on. For  
 11 consideration in the review process, service activities must provide some product that is  
 12 accessible to reviewers. Faculty members should also provide narrative description of  
 13 their service accomplishments. Special consideration is given for leadership in service  
 14 activities.

15 Sample service activities (not an exhaustive list) are provided below, according to the  
 16 categories indicated above. Service is distinguished from “citizenship” as follows:  
 17 service consists of the application of disciplinary expertise to problems or issues of some  
 18 community or entity; citizenship consists of activities that do not necessarily draw on  
 19 disciplinary expertise.

Sample service to department or college	Sample service to university	Sample service to community (local or professional)
Committees (e.g., curricular)  Task forces  Recruitment efforts	Committees (elected)  Task forces  Leadership roles (e.g., in accreditation projects)	Evaluation project for local school  Review board for a journal  Leadership role in national organization  Public workshops  Technical assistance

20  
 21 In recognition and support of COE’s mission, especially in regard to partnerships with  
 22 schools and to our statewide mission, COE expands the definition of service. Thus, if  
 23 you have a full-time assignment off-campus in a statewide or a school-based program,  
 24 you may use one of the alternatives listed below for university service. (Note: Faculty  
 25 are encouraged to participate in university service through opportunities provided for  
 26 remote or technology-mediated participation.)

- 27 • Administrative roles
- 28 • Guest lecturing in peer’s classes
- 29 • Mentoring faculty, including part-time faculty

- 1 • Program-related administrative duties (as in school-based partnerships), such as  
2 partnership activities (team planning), collaboration with teachers, assessment  
3 activities, program development, teaching in school classrooms, observations of  
4 students, etc.
- 5 • Grant-related administrative duties, such as project director, management, enrollment  
6 of students, partnership/collaboration with schools, assessment, coordinator of  
7 staff/faculty, evaluation of staff/faculty/students.
- 8 • External professional or program-related committees, such as school, state, school  
9 district, parent-teacher groups, community groups, school board, community boards.

### 10 **7.1 Criteria for Promotion to Associate Professor**

11 To achieve the rank of associate professor, a candidate should demonstrate a sustained  
12 pattern of service to the department/college, university, and community (including the  
13 profession). At a minimum, the candidate must provide evidence of service in each of  
14 the above categories. On average, candidates should participate in two categories of the  
15 scholarship of engagement (application) each year since their appointment as assistant  
16 professor. During this period, the candidate should demonstrate at least one activity  
17 where he or she contributed at the leadership level. In addition, candidates should  
18 participate in departmental and college meetings; they should also demonstrate follow-  
19 through on commitments made.

### 20 **7.2 Criteria for Promotion to Professor**

21 To achieve the rank of professor, a candidate should demonstrate a continued sustained  
22 pattern of service to the department/college, university, and community (including the  
23 profession). Beyond the criteria articulated for associate professor, which also apply to  
24 promotion to professor, candidates must demonstrate further service leadership in at least  
25 three capacities since appointment to associate professor.

26

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1 **Appendix B: Definitions related to Research/Inquiry**

2 Authorship, Co-Authorship

3 Authorship should be determined based on the following guidelines, which are not  
4 intended to stifle collaboration, but to clarify the credit appropriately due for various  
5 contributions to research. A) All those, regardless of status, who have made substantive  
6 creative contribution to the generation of an intellectual product are entitled to be listed as  
7 authors of that product. B) In cases of co-authorship of a scholarly contribution, it is  
8 incumbent upon the faculty member to specify his/her individual contribution to the  
9 project (AERA, 2004).

10 Consulting

11 The application, for pay, of a faculty member's recognized area of expertise in the  
12 community or discipline area. (Arreola, 2000).

13 Intellectual Ownership

14 Ownership is predominantly a function of creative contribution. Intellectual ownership is  
15 not predominantly a function of effort expended (AERA, 2004).

16 Locus of Audience

17 The audience may be a department, campus, local community, state, national, or  
18 international audience. Faculty members are encouraged to describe the locus of the  
19 audience for dissemination of their research.

20 Research Agenda

21 A series of studies, investigations, or creative works (planned and/or completed)  
22 constituting a general program of focused research. A scholarly agenda should build on  
23 existing research projects and previous results.

24 Scholarship

25 Scholarship refers to activities that contribute to the discovery, development, or  
26 dissemination of knowledge.

27 Scholarly Activities

28 "Scholarly activities" refers to efforts to increase, synthesize, or disseminate knowledge  
29 in subject areas germane to a candidate's discipline.

30 Refereed/Juried/Peer Reviewed and Non-Juried/Non-Refereed/Non-Peer Reviewed

31 Juried or peer reviewed work refers to scholarly products that have been subjected to  
32 formal independent reviews carried out by jurors who are either permanent members of  
33 an editorial board or members of the academic community in the field or discipline  
34 responsible for the publication. Such juried publications include books, book chapters,  
35 articles, essays, conference papers, presentations, and book reviews. Non-juried work  
36 includes books and other products published in clearinghouses (e.g., ERIC) as well as  
37 those reviewed by specifically identified colleagues, and those writings not reviewed at  
38 all. Non-juried work includes such items as newsletter articles, workshop material,  
39 unpublished manuscripts and presentations or presentation notes, reports, curriculum  
40 packages, working papers.

41 Scholarship Criteria

42 The standards used for evaluating faculty member's performance in the area of research  
43 and scholarship as agreed upon by the faculty members in the College of Education and  
44 approved by the dean of the college and the provost.

45

1 **Appendix C: Sample Scholarship Products**

2 Sample products (published and unpublished) from each of Boyer’s four domains  
3 (adapted from Braxton, Luckey, & Helland, 2002) for consideration as products of  
4 research/scholarship. Note: unpublished products may only be considered in review if  
5 they are publicly accessible (e.g., recorded or transcribed). This list is intended to be  
6 illustrative, not exhaustive.

7  
8 **Products from the Scholarship of Discovery**

Published	Unpublished
<ul style="list-style-type: none"><li>• Book chapter describing a new theory.</li><li>• Journal article reporting results of research activity.</li><li>• Book reporting research findings.</li><li>• Journal article describing new theory.</li></ul>	<ul style="list-style-type: none"><li>• Paper presented to report results of a research project.</li><li>• Report on research findings to a grant agency.</li><li>• Paper presented on a new theory developed by the author.</li></ul>

9  
10 **Products from the Scholarship of Integration**

Published	Unpublished
<ul style="list-style-type: none"><li>• Review of literature on a disciplinary or interdisciplinary topic.</li><li>• Review essay of two or more books or theories/articles.</li><li>• Journal article describing translation of a methodology from one field to another.</li><li>• Critical book review published in an academic journal.</li><li>• Article or book chapter addressing disciplinary/interdisciplinary topic in the popular press.</li><li>• Textbook.</li></ul>	<ul style="list-style-type: none"><li>• Talk on disciplinary or interdisciplinary topic given to local organization, local media, school, etc.</li><li>• Lecture to colleagues on disciplinary/interdisciplinary topic.</li></ul>

11  
12 **Products from the Scholarship of Application (Engagement)**

Published	Unpublished
<ul style="list-style-type: none"><li>• Journal article outlining new research problem identified through application of discipline to practical problem.</li><li>• Journal article or book chapter reporting research findings addressed to a practical problem.</li><li>• Article describing knowledge gained from applying disciplinary</li></ul>	<ul style="list-style-type: none"><li>• Study conducted for local organization.</li><li>• Development of an innovative technology.</li><li>• Study conducted to help solve a local, regional or state problem.</li><li>• Evaluation study presented to grant program.</li></ul>

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knowledge to a practical problem.	
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Products from the Scholarship of Teaching

Published	Unpublished
<ul style="list-style-type: none"> <li>• Journal article or book chapter identifying resources for subject area.</li> <li>• Journal article or book chapter on use of new instructional method or technology.</li> <li>• Journal article detailing results of classroom research (e.g., ungraded assessments, teaching approach, instructional technique).</li> <li>• Article or book chapter on approach to enhance thinking skills in subject.</li> </ul>	<ul style="list-style-type: none"> <li>• Presentation to colleagues on new instructional techniques.</li> <li>• Development of a collection of resource materials or case studies for subject area.</li> <li>• Creation of an approach to encourage critical thinking in subject area.</li> </ul>

3