NORTHERN ARIZONA UNIVERSITY

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

to the review for a given academic year.

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

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

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

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

3.5   Appeal process
As articulated in the Conditions of Faculty Service (available at **http://www2.nau.edu/provost/**) section 7.4.6, Annual Faculty Performance Evaluation 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.
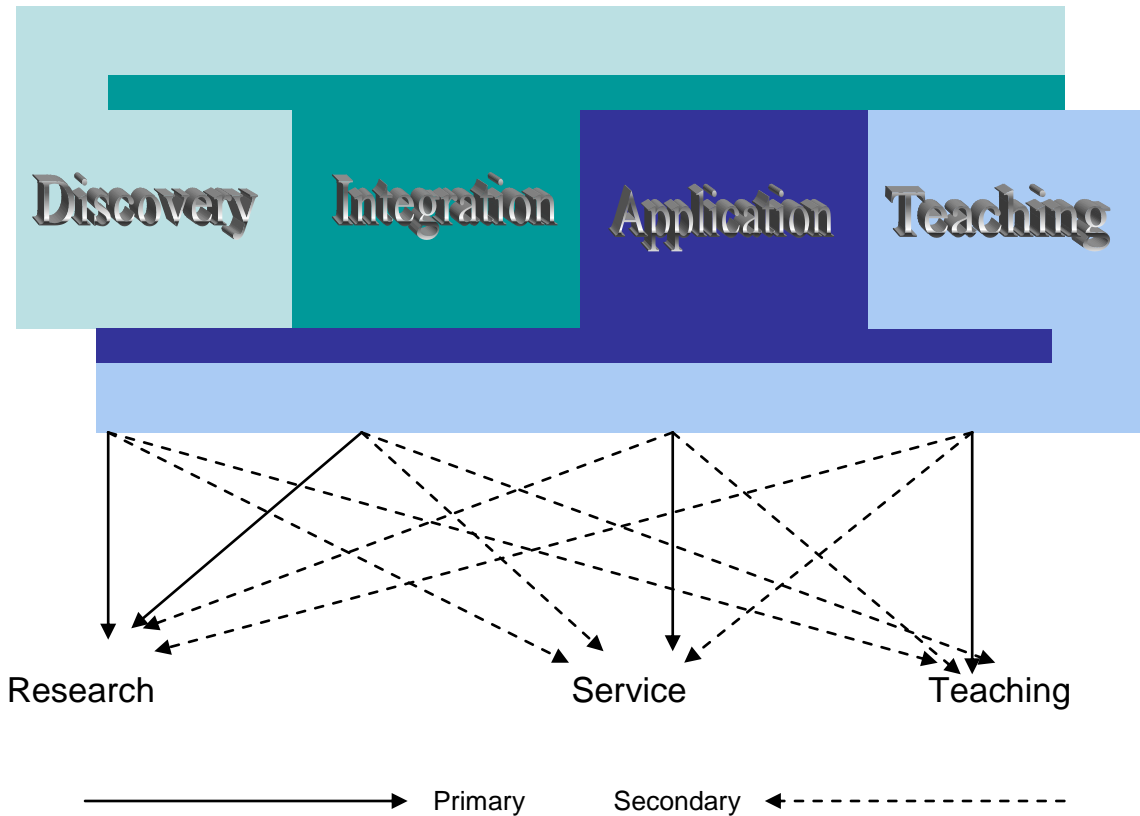23

Boyer as perspective on a scholar's work

Research   Service   Teaching

Primary ————▶   Secondary ◀– – – – – – –

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[1] 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.

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[1] 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

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

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

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

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

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

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

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

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

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

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

6.0   Scholarship: Criteria for the Scholar as Researcher or Inquirer

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

Faculty members in the College of Education make contributions in research and 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)

- Book chapters
- Invited articles for thematic issues of a journal
- Monographs
- External grants that meet three criteria:

    1. External grants may only count for up to 1/3 of the criteria for Level One
    2. External grants must be of a competitive nature (clearly documented by the faculty member)
    3. Minimal grant funds must buy-out 10% (one class) of the faculty members' salary per academic year.

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

6.5   Level Three (minimal or no external review)
- Presentations at state professional and scholarly meetings (documentation must make these presentations accessible to reviewers)
- Research or program/service grants awarded internally or without peer review
- Evaluation, grant, government and agency publications, and other technical documents
- Invited addresses or keynote speeches on scholarly topics (documentation must make these presentations accessible to reviewers)
- Written cases with instructional materials
- Papers presented at public faculty workshops
- Development of instructional technology, computer software, or equipment used for instruction, research, or clinical practice.
- Development of a substantial research clearinghouse or website portal

6.6   Criteria for Promotion to Associate Professor

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

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

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

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

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

6.7   Criteria for Promotion to Professor

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

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

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

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[2] Note: no distinction between minimal requirements and outstanding performance is provided, since ABOR documents do not require outstanding performance.

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

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

Outstanding in Research: To meet the NAU requirement of "outstanding" in research, a candidate should document the following[3]:

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

In addition, to demonstrate "outstanding" performance in research/scholarship, the candidate must document the attainment of a national or international reputation for excellence in the appropriate profession or field of scholarly activity. Examples of such documentation include awards and recognition by national groups, invitations to serve on national editorial boards, and departmentally-solicited external reviews by prominent scholars.

7.0   Criteria for the Scholar in Service

Boyer's (1990) notion of a scholar included the importance of application of professional/disciplinary expertise to issues and problems of the profession and broader community. The College of Education acknowledges the importance of service as a component of the scholar's identity.

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[3] 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   **<u>Appendix A: Weighted rating for Annual Review</u>**

2   Adapted from Arreola (2000).

3   Faculty Ratings Multiplied by Load Percentage and Totaled

4   Example:

5   Faculty X load (weighting): Student-related, 60%; Research, 20%; Service, 20%

6   Faculty X ratings: Student-related, 3.3; Research, 3.6; Service, 3.0

7   Computation: (rating X weight)

8   Student-related: 3.3 x .6 =   1.98

9   Research: 3.6 x .2 =   0.72

10   Service: 3.0 x .2 =   0.60

11   **Weighted Total**   **3.30**

12

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 **<u>Appendix C: Sample Scholarship Products</u>**
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
• Book chapter describing a new theory. • Journal article reporting results of research activity. • Book reporting research findings. • Journal article describing new theory.	• Paper presented to report results of a research project. • Report on research findings to a grant agency. • Paper presented on a new theory developed by the author.

9
10 Products from the Scholarship of Integration

Published	Unpublished
• Review of literature on a disciplinary or interdisciplinary topic. • Review essay of two or more books or theories/articles. • Journal article describing translation of a methodology from one field to another. • Critical book review published in an academic journal. • Article or book chapter addressing disciplinary/interdisciplinary topic in the popular press. • Textbook.	• Talk on disciplinary or interdisciplinary topic given to local organization, local media, school, etc. • Lecture to colleagues on disciplinary/interdisciplinary topic.

11
12 Products from the Scholarship of Application (Engagement)

Published	Unpublished
• Journal article outlining new research problem identified through application of discipline to practical problem. • Journal article or book chapter reporting research findings addressed to a practical problem. • Article describing knowledge gained from applying disciplinary	• Study conducted for local organization. • Development of an innovative technology. • Study conducted to help solve a local, regional or state problem. • Evaluation study presented to grant program.

knowledge to a practical problem.	

1

2   Products from the Scholarship of Teaching

Published	Unpublished
- Journal article or book chapter identifying resources for subject area. - Journal article or book chapter on use of new instructional method or technology. - Journal article detailing results of classroom research (e.g., ungraded assessments, teaching approach, instructional technique). - Article or book chapter on approach to enhance thinking skills in subject.	- Presentation to colleagues on new instructional techniques. - Development of a collection of resource materials or case studies for subject area. - Creation of an approach to encourage critical thinking in subject area.

3