

College of Health and Human Services

GUIDELINES FOR PREPARING AND
REVIEWING BENEFIT ELIGIBLE FACULTY
DOSSIERS FOR PROMOTION AND/OR
TENURE

Faculty Seeking Promotion

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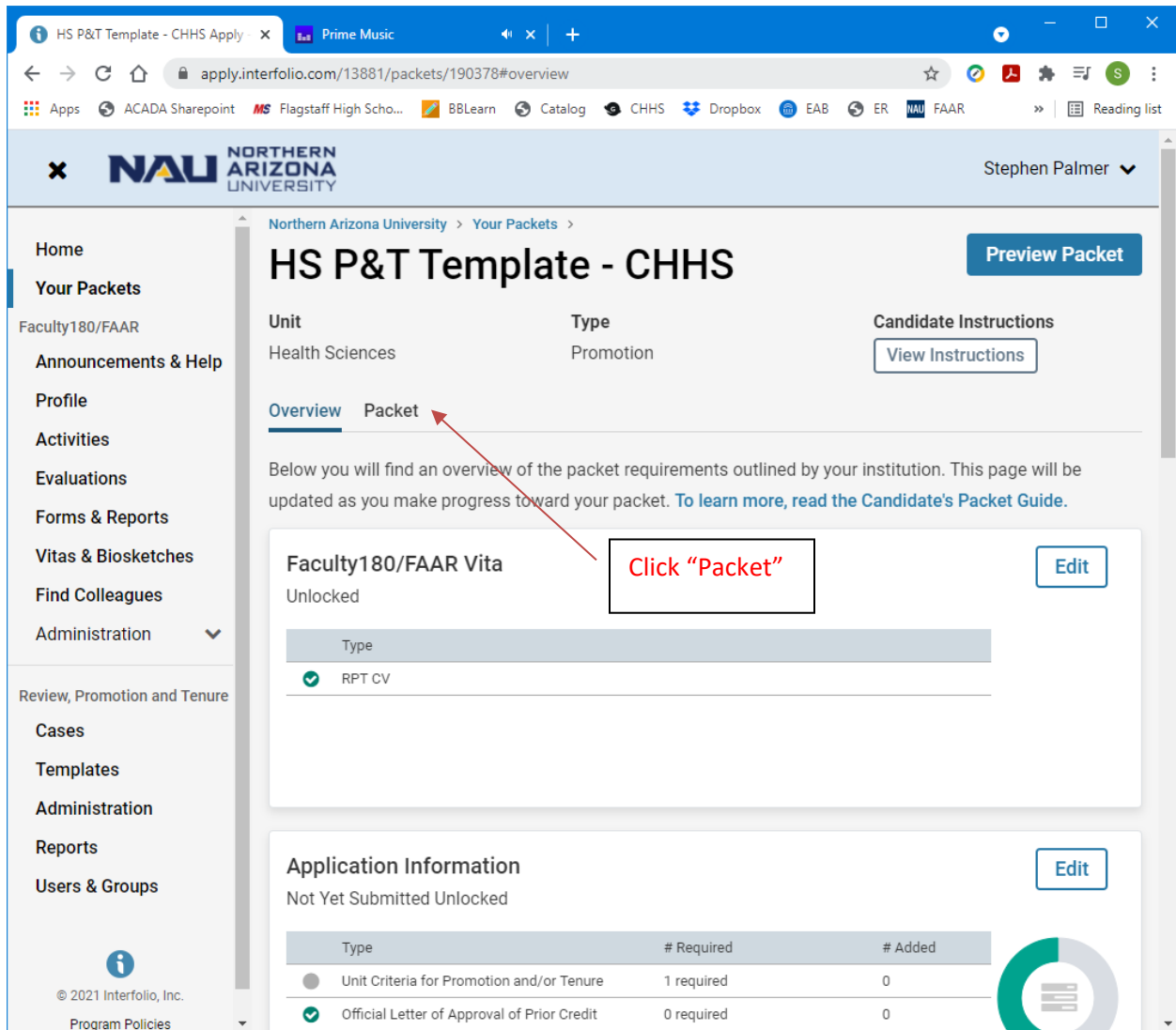
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THE PROMOTION APPLICATION SCREEN

The guidelines for preparing the tenure/promotion dossier were updated with the adoption of FAAR for faculty reporting and evaluation beginning Spring 2012. The actual information and data for display remains the purview of academic units. The format of submission, however, must be consistent across the college while conforming to university requirements. The guidelines for preparing & reviewing promotion/tenure dossiers was formally approved by the CHHS Promotion & Tenure Committee in April, 2010.

The next two pages display the promotion application screen in FAAR. The remainder of this document describes each section and makes recommendations for what to include in each.



The screenshot shows a web browser window with the URL `apply.interfolio.com/13881/packets/190378#requirements`. The page header includes the Northern Arizona University logo and the user name Stephen Palmer. The main content area is titled "HS P&T Template - CHHS" and includes a "Preview Packet" button. Below the title, there are fields for "Unit" (Health Sciences) and "Type" (Promotion), along with a "Candidate Instructions" button. The "Packet" tab is selected, and there are "Expand All" and "Collapse All" options. The main content area contains two sections: "Faculty180/FAAR Vita" and "Application Information". The "Application Information" section has a "Submit" button and a "0 of 1 Required Files" indicator. A red callout box with the text "Click 'Add' to add your documents for each section" points to an "Add" button in the "Application Information" section.

HS P&T Template - CHHS

Unit: Health Sciences, Type: Promotion, Candidate Instructions: View Instructions

Overview: Packet

Expand All, Collapse All

Faculty180/FAAR Vita: Not Yet Submitted, Unlocked, Submit

Title	Details	Actions
RPT CV	Generated	Regenerate

Application Information: Not Yet Submitted, Unlocked, Submit, 0 of 1 Required Files

Unit Criteria for Promotion and/or Tenure: 1 required, 0 Added, Add

Upload criteria used by your unit for review of promotion and/or tenure

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GUIDELINES FOR PREPARING AND SUBMITTING MATERIALS

FACULTY 180/FAAR VITA

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

Refer to the FAAR Handbook for specific directions to update the vita.

If the faculty member prefers and/or if the unit requires, a vita can also be attached. The date of your starting employment at NAU should be made clear in this CV.

Use the workload form in FAAR to build your vita. Please note the following:

1. Attachments to scholarly products are linked in FAAR. Upload specific documents using the workload form.
2. Make sure to add (rather than update) status of activities (e.g. submitted, accepted, published or in service when inactive on a committee.)

The first section of your application will be to submit your RPT CV in FAAR. All attachments included in FAAR will be available to reviewers. This is also the last section you’ll “Regenerate” and submit before submitting your packet.

To view the CV, go to FAAR Home – Vitas & Biosketches – RPT CV. Check “all” in date range and refresh vita.

APPLICATION INFORMATION

UNIT CRITERIA FOR PROMOTION AND/OR TENURE

Upload your department criteria that are used for your application for promotion.

OFFICIAL LETTER OF APPROVAL OF PRIOR CREDIT

Only if relevant to your application, attach your letter of offer with prior credit specified.

P&T APPLICATION FACULTY INFORMATION

Click “Fill out Form” and enter information as requested. If you have questions about what info to choose, contact your Chair/Director or the CHHS Associate Dean. Note that if indicating prior credit, you must have attached a letter in the previous section.

PROFESSIONAL STATEMENT

The candidate must write and submit a professional statement with his/her file. This shall include a statement of professional goals related to student-related responsibilities, scholarship where appropriate, and service; a research plan and overview of scholarship; teaching philosophy and an

overview of accomplishments; and career goals and vision for the future. Generally this overview can be achieved in no more than 2-3 pages. Save your statement as a PDF and attach it in the appropriate section. Candidates are strongly encouraged to provide a summary of specific expectations of rank, and synopsis of how those criteria have been met or exceeded.

The subsequent sections in the application (Teaching, Scholarship, Service) should relate clearly to the statements you make here. Those sections (on Overviews of teaching, scholarship & service) allow you to amplify what you have outlined in this professional statement, and to document your performance and achievements in more detail. Use these sections as the opportunity to synthesize your activities into a holistic story of contributions.

ATTACHMENTS

- Professional Statement

TEACHING (STUDENT-RELATED ACTIVITIES)

Attach (pdf) a summary narrative of student-related activities particularly addressing the extent to which unit criterion for promotion/tenure has been met/exceeded. According to a longstanding ABOR requirement the evaluation of teaching effectiveness and student engagement should be based upon at least one additional measure beyond course evaluations. Provide this additional evidence of effectiveness³, which is normally determined at the department level. Your department may opt for a reflective summary that takes the form of what is being required here in this dossier.

Suggestions for the additional measure includes: an objective review of an actual class conducted by a peer or a faculty development consultant, objective peer evaluation of course materials, collated data and insights from a student focus group, a well-constructed teaching portfolio with reflection, or a demonstration of continuous improvement fostered by participation in teaching-related workshops, etc. Other captured self-assessments that might apply are:

- A before and after course self-assessment and journaling.
- The assessment techniques you've used to examine course effectiveness.
- The leadership roles you've played in curriculum development, etc. (This is particularly important for applicants to full professor.)
- The impact of your teaching beyond your own students and classroom, which might include articles, presentations, outreach, and development work.
- A description of how your teaching activities contribute to the missions of the department, college, and university.
- A description of your efforts in extraordinary teaching environments such as field-based instruction, problem-based learning, distances delivery, etc.

ATTACHMENTS

- Narrative of Student-Related Activities
- Summary table of courses taught (see table below for recommended format)
- Other items required by the unit.

SAMPLE TEACHING TABLE

Semester: Fall 2018		
Course	21 day enrollment	Mean student evaluation score
ABC 123	85	5.2
ABC 456	24	5.5
ABC 789	28	49

ADVISING

If relevant, please provide a narrative of your major advising duties, which could include: undergraduate academic and career advising, graduate student advising in research and/or teaching, and club or

student professional society advisement. Make sure to indicate your time commitment to each major advising activity. Take care to describe your role in each activity and the impact of your involvement. Describe special accomplishments such as mentoring students, supervising internships, supervising student workers, facilitating student opportunities, serving on graduate student committees, etc. With respect to graduate students: name these students and identify those who have completed degrees under your direction.

ADDITIONAL INFORMATION FOR PROMOTION AND/OR TENURE: TEACHING AND ADVISING

The Conditions of Faculty Service document and College policy dictate that teaching effectiveness shall be evaluated by a number of criteria, only one of which may be the scores of course evaluations. We recommend that you ask your mentor or a member of the FSC to sit in on and evaluate several of your classes. We also suggest including as many of the following documents in your file as you feel will support your application:

- Written evaluations from class evaluations: A spectrum of comments is useful. Please use moderation in compiling the evaluations, and include negative constructive comments that have shaped your teaching. Please comment on how your teaching has been changed by positive and negative evaluations.
- Documentation about how you have improved a class, developed a class, or used innovative approaches.
- Research is a powerful teaching tool, and some department's award teaching credit to faculty who conduct seminars with their research group. Please make it clear which classes are "general" classes to a broad range of students, and which are research seminars.
- Ask your Chair to provide results of exit interviews he/she has conducted with graduating seniors.

Advising can be difficult to document. Please highlight important aspects, which may include:

- advising a high number of students relative to others in your department;
- participation in previews on a regular basis;
- mentorship, including mentoring clubs or in other specific activities with students;
- advising graduate students who are not discussed in the context of teaching or research.

SCHOLARSHIP AND CREATIVE ACTIVITIES

Write (save as pdf) a narrative of scholarly activity, particularly addressing the extent to which unit criteria for promotion/tenure have been met/exceeded. Describe and document your accomplishments as a scholar. What do you consider to be your most important achievements and contributions to your discipline? How does your work demonstrate that you have met the scholarship expectations of your department and the university? How has your scholarly work grown and developed over the period evaluated here?

In your narrative, make sure to include a table that displays the amount of university supported research time (refer to your SOE's) for each of the years since appointment to your current rank.

Example:

Year	% Scholarship
2015-2016	20%
2016-2017	20%
2017-2018	20%
2018-2019	30%
2019-2020	30%
2020-2021	30%

Note: The vita will list all efforts (including unfunded grants) that are added using the workload form in FAAR. Make sure this is complete including attachments (manuscripts, abstracts, conference proceedings – refer to the FAAR handbook for directions).

Important elements to include are:

- your time commitment and effort for scholarly activities, including percent of time spent on research grant management and actual research work.
- your publications and scholarly disseminations (remember that most of the reviewers of your package will be from different disciplines, so explain anything you'd like them to understand, such as the relative selectivity or impact of a particular journal, or the fact that proceedings in a specific conference are peer-reviewed).
- if appropriate, your role and percent contribution on jointly prepared proposals and co-authorship of publications.
- peer recognition in its multiple forms, including invited presentations, leadership roles or elected positions in professional organizations, work as a reviewer of proposals or of manuscripts, or selection for editorial boards and review panels.
- accomplishments in the area of intellectual property and/or technology transfer (e.g., invention disclosures, patent applications or patents).

ADDITIONAL INFORMATION FOR PROMOTION AND TENURE: SCHOLARLY ACTIVITY

One particularly difficult aspect of evaluating a candidate's research file is understanding his/her contribution to a multi-author paper. You are encouraged to communicate this aspect of your research in any way that is clear, but the committee must be able to understand your part. Please include a brief statement at the beginning of the section explaining how you express your contributions. You may want to follow one of these suggestions:

1. Provide a statement regarding the relative importance of authors. For example, in some fields, the chief contributions are made by a lab director who puts his/her name at the end of the list of authors. In others, the first author has made the most important contribution. In still others, the corresponding author has made the greatest contribution, but is not necessarily first or last author.
2. Number your publications, and in the general research statement at the beginning of the research section, discuss your research interests and which papers highlight your major accomplishments in the different areas.
3. Next to each paper reference, put the relative percentage of your contribution in parentheses.
4. Put stars or some other demarcation by the papers in which you had major contributions.
5. Involving students in research is highly valuable, and we suggest that you highlight student co-authors (putting a student's name in italics is a good way to do this). If graduate and undergraduate students are important to your research effort, discuss how many students you supervise and what their contribution is.
6. Many reviewers of your file will come from outside your discipline, and hence they will not be familiar with the publication in your field. Therefore, it is essential to separate refereed publications from non-refereed publications.

Please follow the same guidelines for proposals and grants. In many cases it may be easiest to list the relative percentage of your contribution.

Knowing the level and persistence at which you have sought external funding is important to the committee; list unsuccessful as well as successful proposals. Reviews from these proposals may give the committee insight into funding difficulties in your field. In all cases, please list the amount of the proposal.

ATTACHMENTS

Make sure to attach manuscripts and files to the citation in your vita using the workload form or activities reporting in FAAR.

- a. Narrative of Scholarship
- b. Any additional scholarly documentation that is not linked to citations in your vita
- c. Other items required by the unit

OVERVIEW OF SERVICE

Attach a narrative of service, particularly addressing the extent to which unit criteria for promotion/tenure have been met/exceeded. Include descriptions of your service role's impact on the department/college/university/community. If you have developed leadership roles, please describe them here. Make sure to describe your level of contribution and effort, which could include details on the time committed. For promotion to full professor, document your leadership and the impact of your service to various communities. Note that in the past college committees and others have expected significant service beyond the department as a criterion for promotion to full professor.

A note for those with some administrative duties: Consistent with the NAU COFS, your promotion and/or tenure case will be evaluated only on the merits of your activities in student-related responsibilities, scholarship and research, and service.

ADDITIONAL INFORMATION FOR PROMOTION AND TENURE: SERVICE

Service should be clearly divided into service to the department, college, university, community, and profession. Promotion and tenure are not awarded on the basis of service alone, but your service to the university at all levels and the recognition you bring to the university through professional activities are very important. You may find it easiest to make a table showing committees or activities and your contribution to them. Please describe (briefly) all activities.

ATTACHMENTS

- Narrative of Service
- Any additional documentation that is not included in your vita
- Other items required by the unit.

As you prepare your application, remember that the Promotion and Tenure committee members are your peers and would like to see you evaluated and/or promoted, but that you must make your case in a thorough, yet succinct, and convincing manner.

Years in the rank: Indicate the number of the year that you are currently in. Example if you started in 2008 and the current year is 2010: Current Rank: Associate Professor Years in current rank, including this year: 2nd year (the same will apply for start dates in August 2008 or January 2009).

VITA REGENERATION CONFIRMATION

Once again, the RPT CV Vita in FAAR is the foundation of your application. The last step to submitting your application is to regenerate your CV (see the first section), then complete the form in this section to confirm having regenerated your CV before submitting your application.

SUBMIT YOUR APPLICATION

Once you're ready to submit your application, check the box to select all sections at the top of the screen. From there, click "Submit Sections" and you're done!

Once you click submit, you will not be able to edit your application.

ANNUAL REVIEW & PROMOTION & TENURE TIMELINE

Refer to the Personnel Action Dates Calendar can be found;

<https://nau.edu/provost/reviews-tenure/>

Please note that the personnel action dates are updated during the summer and often revised several times, and it is your responsibility to check this site for the final posting.

LETTERS OF EVALUATION

The following evaluation letters will be pasted into text boxes in FAAR. Evaluation letters will be included from;

1. Department/School FSC
2. Department/School chair
3. CHHS P&T Committee
4. CHHS Dean.

If the candidate chooses to respond in writing at any of the above levels, these letters will be entered into the FAAR system.

DEPARTMENTAL FACULTY STATUS COMMITTEE EVALUATION

These evaluations should reflect the consensus of the FSC and should include the following.

1. Student Related Responsibilities: Teaching and Advising

Evaluate the candidate's performance as a teacher and advisor of undergraduates and graduates where appropriate (e.g. classroom, laboratory, special projects, etc.). Comment on strengths and weaknesses, student evaluation results, and evaluations by colleagues. Is the candidate meeting the teaching/advising expectations in his or her Statements of Expectations within the context of the departmental Mission Statement?

2. Scholarship

Evaluate the quality of the candidate's scholarly work. Which of the scholarly pieces represent major contributions in well-refereed outlets? Which ones appear in the major refereed journals in the field? Are there other indications of peer recognition – major grants, major conference presentations, invited presentations or invitations, for professional service at the regional or national level? Include information from internal and external reviewers, indicating how the scholarly contributions of the candidate were judged. Please include statements concerning standards at comparable universities and departments; and when outside reviewers' opinions are available, summarize or quote from them.

3. Service

- a) Evaluate the quality of the candidate's service to the department, college and university.
- b) Evaluate the impact of the candidate's public service activities, which utilize professional expertise. These should be activities carried out as a professional faculty member (e.g. officer in a professional scholarly society) as distinct from those performed as a good citizen (e.g. soccer coach).

4. Departmental FSC Recommendation: The committee must make a recommendation on their reviews specifically stating either the rating in each of the above areas as well as overall. The committee should also make summary statements about the results of their review to substantiate their recommendation.

CHAIRPERSON/SON DIRECTOR EVALUATION

This should be an assessment of the faculty member and the chair's evaluation. It should indicate whether this evaluation is the same or different from the departmental FSC's and why. It should also specifically refer to the standards for promotion and tenure and the candidate's statements of expectation, as well as the mission statement and criteria of the department.

The department chair/director evaluation takes into account the evaluation of the candidate's success in meeting the standards outlined in his or her statements of expectation, the departmental mission statement, the material provided, and the departmental FSC's evaluation.

Department chairs/director should see the suggestions, which are located in the appendix of this packet, regarding chairs assessments.

The faculty member's written response, if any, to the FSC evaluation, should also be attached.

COLLEGE PROMOTION & TENURE COMMITTEE EVALUATION

The College P&T committee will review materials for meeting/exceeding unit criteria for promotion/tenure. The recommendation and summary evaluation will be written and pasted into the appropriate evaluation box in FAAR.

DEAN EVALUATION

The dean will submit an evaluation letter to the Provost, taking into consideration the following information:

- Assessment of candidate's strengths and weaknesses
- Potential for leadership
- Criticality of the faculty member's teaching role
- Potential for on-going contributions to the missions of the department, college and university

PROCESS GUIDELINES FOR ANNUAL EVALUATION, PROMOTION, TENURE & SABBATICAL

PRINCIPLES AND VALUES

This document describes the process of annual faculty review and promotion and tenure consideration within the College of Health and Human Services (CHHS); acknowledging the diversity of our strengths and reflecting our individual, collegial and institutional values. In this context, the process of faculty reviews and evaluations within all CHHS units shall include:

- clarity of expectations
- constructive, proactive evaluation and formative feedback
- objective appraisal by peers
- consistent and high standards.

The CHHS values diversity in the ways an individual faculty member develops excellence in his or her academic career and contributes to the collective success of the department and college. In particular, the CHHS encourages:

- an emphasis on students
- cross-disciplinary activities
- commitment to scholarship and professional involvement
- assessment for continuous improvement
- collegiality and professionalism
- service to the university and community.

STRUCTURE AND CHARGE OF FSC, ARC AND P&T COMMITTEES

This can be found at <https://nau.edu/wp-content/uploads/sites/26/NAU-Conditions-of-Faculty-Service-DOCUMENT.pdf>

GENERAL PROCESS GUIDELINES FOR ACADEMIC UNITS OF THE CHHS

Academic units shall have written criteria for composition of faculty review committees, for submission of materials for evaluation, and for evaluating faculty performance, retention, promotion, tenure, and sabbatical applications. In particular, departments shall establish criteria for promotion for all ranks for which they would ordinarily employ faculty (e.g., assistant professor, assistant professor of research, assistant professor of practice, lecturer, etc.)

Departmental criteria will be submitted to the CHHS dean and university provost for approval. All evaluation processes shall follow the annual personnel calendar finalized and distributed by the provost's office.

Where criteria, process, or academic reporting structures have changed during the period of evaluation, the faculty member may explain in the submitted materials how his or her activities were shaped by previous expectations and how they relate to the new expectations. Conflicts of interest between evaluators and evaluation subjects should be addressed formally in a document which describes the nature of the conflict and details a plan to avoid real or perceived conflict during the evaluation process. This document should be approved by the CHHS dean and the Provost.

ANNUAL EVALUATION GUIDELINES

These guidelines apply to all faculty of each department including part-time temporary staff, lecturers, instructors, and visiting faculty. For split appointments, the SOE and procedures for faculty evaluation should be negotiated by the respective chairs or directors in consultation with the faculty member, and be reflective of the duties and responsibilities of the faculty member within each unit.

The Statement of Expectations (SOE) The SOE should be used as reference for the annual evaluation, in combination with the department's criteria for performance ratings. Thus the SOE should be updated and modified as individuals' activities vary from year to year. Each faculty member of the department, including non-tenure and part-time faculty, shall have an SOE reflective of expected appointments and assignments in the upcoming year. It is the responsibility of the department chair and faculty member to collaboratively construct an SOE that meets departmental goals and needs, while providing a pathway to success for faculty. The SOE should include all activities for which the faculty member expects to receive credit in the subsequent annual evaluation cycle. Examples of such activities include, but are not limited to:

SCHOLARLY ACTIVITY

- conducting scholarship
- disseminating scholarly results
- seeking funds for support of scholarly activities
- pursuing, gaining, and maintaining professional certification or registration (e.g. PE license)

STUDENT-RELATED ACTIVITIES

- teaching of assigned courses
- providing for, and mentoring, undergraduate research experiences
- mentoring and advising of graduate students
- advising student professional organizations
- developing new curricula, refining existing curricula, or managing/leading existing programs
- implementing new pedagogical techniques
- assessing effectiveness of curricula, methodologies, and classroom activities

SERVICE

- Participation in committee service at the departmental, college, or university level. Unusually demanding assignments such as committee leadership should be identified.
- Participation in recruiting, fund-raising, internationalization, or other development or outreach activities
- Active service to the broader community through membership on local boards and partnerships within one's professional areas of expertise
- Active service to the profession through membership on national or regional-level committees, sitting on proposal review panels, serving on editorial boards, reviewing articles for publication, etc.

ANNUAL REVIEWS

As required by the NAU COFS, all benefit eligible faculty will receive an annual review. All faculty are responsible for reporting their annual accomplishments in a written document; contents and format for this document will be outlined by each unit. Faculty should provide documentary evidence of effectiveness in all activities outlined in the preceding SOE. The evaluation of teaching effectiveness and student engagement will be based upon course evaluations by students and at least one other measure.

As outlined in the NAU COFS, annual evaluation for pre-tenure faculty must be augmented by a distinct and separate retention evaluation discussing the individual's progress to date toward meeting the criteria for promotion and/or tenure.

For annual evaluation for purposes of performance appraisal, the department's appraisal should be one of the following: Highly Meritorious, Meritorious, Satisfactory, and Unsatisfactory. Split, mixed, or intermediate ratings (e.g., HM/M) will not be accepted. If the department's evaluation process results in a numerical score, there shall be an unambiguous assignment of scores.

Information on the following can be found at http://www2.nau.edu/~provo-p/pdf/COFS_5_11_09.pdf

DEPARTMENT CHAIR

Ordinarily department chairs have some fraction of their assignment to "faculty duties," allocated as a mix of instruction/student related activities, research/scholarship, and service outside of administrative duties as chair. The faculty portion of the chair's activities shall be reported to and evaluated by the department FSC in the normal way. For incumbent chairs, the FSC evaluation will go straight to the dean's office; for chairs who have just stepped down, the new chair shall evaluate the faculty activities of the previous chair. In all cases the dean shall evaluate the administrative chair duties in a separate evaluation.

PROMOTION AND TENURE

OVERALL PROCESS

The CHHS Promotion and Tenure (P&T) process follows the structure and guidelines set forth in the NAU COFS document. The overall P&T review process consists of a series of reviews of the candidate's submitted review files, culminating with a final decision by the NAU president. Specifically, the overall steps in the review process are as follows:

CANDIDATE PREPARES AND SUBMITS FILE TO UNIT CHAIR.

1. Unit chair reviews file for format and completeness.
2. File is reviewed by unit's FSC, which produces an evaluative letter, including a specific recommendation regarding the promotion/tenure request.
3. File is reviewed by unit chair, who produces an evaluative letter, including a specific recommendation regarding the promotion/tenure request.
4. File is reviewed by CHHS P&T committee, which produces an evaluative letter, including a specific recommendation regarding the promotion/tenure request.

5. File is reviewed by CHHS dean, who produces an evaluative letter, including a specific recommendation regarding the promotion/tenure request.
6. Candidate's vitae and other materials (as requested) are passed to provost, along with evaluations and recommendations from previous levels of review. The provost produces a recommendation for action on the promotion/tenure request.
7. A final decision on the promotion/tenure request is made by the NAU president.

After each of the evaluative steps (3, 4, 5, 6) of the above process, candidates are provided with a copy of the evaluative letter and, if desired, have seven calendar days to submit to the next level of review a written intent to respond, followed by a final written response completed within twelve (12) days of receipt of the initial written recommendation. This response will be included in the candidate's file for consideration in subsequent steps of the review process. The timeline for the review process, including deadlines for each review stage, is set by the university provost.

The following paragraphs provide further clarification on key aspects of the review process.

DOCUMENTATION: CANDIDATE'S REVIEW FILE

The candidate for promotion and/or tenure has the right and the primary responsibility to include documentation of performance and accomplishments relevant to all aspects of the unit's criteria, and to present the strongest possible case.

- Tenure and promotion files must adhere strictly to the content and formatting guidelines provided by the dean's office.
- Although the unit chair provides a formatting and content review, it remains the primary responsibility of the candidate to produce a complete and properly formatted review file.
- In addition to the submitted review file, the departmental review committee, chair, college committee, and dean have the right to access the full Professional Review File for additional information relevant to faculty review.
- For split appointments, the primary unit takes the lead in the promotion and tenure process, i.e., preparation and presentation of the review file. Evaluative contributions from the secondary unit chair/director shall be included.
- Review files will be considered "closed" at the time of submission to the FSC, i.e., at the start of the formal review process. It is incumbent on the candidate to submit a complete file; no addendums or amendments will be allowed after the review file is submitted to the FSC. The sole exception will be "breaking news" that the candidate could not have knowledge of before the submission deadline, but had listed as submitted in review file, e.g., news of a grant award or paper acceptance.

COLLEGE P&T COMMITTEE

The College P&T committee is typically constituted of representatives (one each) from all CHHS units; committee representatives are chosen by the unit following procedures that the unit has approved. The Chair of the P&T committee is selected by the P&T committee annually at the first committee meeting.

- The representative from the candidate's home department shall not participate actively in discussion of the candidate's file, but shall stand ready to explain or interpret departmental

- practice and criteria, disciplinary practices or unique aspects of peer recognition and dissemination, etc. Such input will be provided only when specifically requested by other committee members. The representative from the candidate's home department shall not vote on the candidate's file, and shall not participate in drafting the committee's letter of review. All P&T committee members must register a vote each file reviewed; votes should be recorded as "strong yes", "yes", "no", or "abstain". The precise tally of votes should be clearly indicated in the committee's evaluative letter. Committee members absent for a vote due to special circumstances may, with the approval of the dean and committee chair, submit their votes in writing to the committee chair (assuming they have participated in discussion of the file). If no such arrangements have been made, absent committee members' votes are counted, by default, as abstentions.
- Evaluative letters produced by the committee must be reviewed and signed by all voting committee members prior to submission to the dean. An abstaining committee member cannot contribute to the evaluation letter and is not a signatory to the letter.

EVALUATION OUTCOMES: LETTERS

Formal evaluative letters should be produced at each stage of the review process, highlighting key factors in the evaluation, and providing a clear recommendation for or against promotion and/or tenure. Such letter should be more than a simple aggregation or accumulation of the annual appraisals; there should be explicit discussion of how specific elements in the documented record meet (or fail to meet) the unit's criteria.

DENIAL

If the application for tenure is denied at the president's level, the candidate will be informed of the decision and notified that he or she will be receiving a terminal contract for the following year. The candidate may have certain rights of appeal, as indicated in the NAU COFS. If a candidate has applied for tenure earlier than the mandatory deadline, the candidate may choose to withdraw the case at any point prior to a final decision by the president. If the department FSC, department chair or CHHS dean makes a negative recommendation for faculty requesting promotion to full professor status, the candidate will be allowed to withdraw the application instead of advancing it to the provost. The candidate may alternatively choose to proceed and to respond in writing to the denial, according to procedures in the NAU COFS document. Candidates who are denied promotion to full professor may choose to reapply during a subsequent review cycle.

SABBATICAL APPLICATION PROCESS AND SCHEDULE

This can be found at http://home.nau.edu/provost/faculty_info.asp

APPENDIX

To Chairs and FSCs and Candidates

Recommended guidelines for packets submitted in support of applications for annual review, promotion or promotion and tenure

In addition to the specific recommendations to the two groups below, mentorship of candidates should begin early and continue through the application process. This applies particularly to Assistant professors applying for promotion with tenure, but is highly appropriate for Associate faculty applying for promotion as well. Mentoring should certainly include advice from experienced department members and might include review of drafts with suggestions for improvement. The mentor should use his/her experience and objective viewpoint to make critical suggestions to the candidate.

CHAIR:

- In your letter, please discuss how a candidate is essential to the mission of the department. Thus, it helps us to know how a candidate is uniquely important to a department. When writing letters for more than one candidate, please make sure these letters reflect the uniqueness of the individuals.
- If possible or appropriate, please include results of student exit interviews that are related to the faculty member's performance.
- Candidates are being advised to all submit a spectrum of written course evaluations. Please look over this packet and ensure that what is submitted is a true representation of evaluations the candidate has received.

FSC OR CHAIR:

- Please provide a statement in your letter that will help the committee understand how scholarship in the candidate's discipline is evaluated. In some fields, peer-reviewed papers in journals are the best criteria. In others, peer-reviewed conference proceedings are far more important. The committee does not judge these criteria, but does need to know how a candidate is disseminating his/her work.
- Student written comments may be more important than just the numerical score on evaluations.
- The committee must make a recommendation on their reviews specifically stating the rating in each area of student related responsibilities, scholarly activity and service as well as overall. The committee should also make summary statements about the results of their review to substantiate their recommendation.