



AUBURN

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UNIVERSITY

COLLEGE OF  
LIBERAL ARTS

**Promotion and Tenure Handbook  
AY 2021-2022**

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SECTION 1

CALENDAR




AUBURN UNIVERSITY

OFFICE OF THE PROVOST

April 5, 2021

**MEMORANDUM TO:** Academic Deans, Department Heads/Chairs, School Directors, Tenured and Tenure-Track Faculty, Non-Tenure Track Research and Clinical Faculty and Lecturers

**FROM:** Bill Hardgrave   
Provost and Senior Vice President for Academic Affairs

**SUBJECT:** Call for Recommendations of Candidates for Promotion and/or Tenure

Dossiers for candidates are due in this office by **Friday, November 19, 2021**. Faculty members should contact their department heads/chairs/school directors (unit heads) for college/school submission deadlines. Unit heads must carefully review the appointment status of all non-tenured faculty members in relation to the criteria for tenure eligibility as described in Chapter 3 of the *Faculty Handbook*. Assistant Professors recommended for tenure will also be recommended for promotion to Associate Professor. Note that separate votes on promotion and tenure must be taken and recorded.

Deliberations on a candidate and information contained in the candidate's dossier must remain confidential. Dossiers are subject to legal review only under certain conditions. All college/school dossiers will be submitted to the Office of the Provost by the Dean's Office according to the attached instructions.

In preparing dossiers, candidates for promotion and/or tenure must follow the requirements as stated in Chapter 3 of the *Faculty Handbook*, <http://www.auburn.edu/academic/provost/facultyHandbook/>. Faculty members should note the specification of supporting material.

In addition, unit heads must clearly explain the disciplinary practices of the faculty concerning the order of authors in publication citations and other related matters such as the percentage of effort in coauthored publications. Unit heads must provide proof of acceptance of research articles/scholarship that is in the publication process. Unit heads must also pay particular attention to *Faculty Handbook* requirements for candidates who dossiers require "exceptional and well-documented cases" for promotion and/or tenure. In these situations, the unit head must provide compelling and well documented reasons for the exceptional case.

Unit heads and deans must not vote at any level as their letters are their vote. Please note that unit heads' and deans' letters must explicitly state their support or non-support for a candidate and their reasons. Dossiers with candidates that have Extension appointments must include a letter from the ACES director. Additionally, confidential letters from external reviewers are required for all candidates nominated for tenure and/or promotion to associate or professor. Please use the Example Letter to External Reviewers and template for External Evaluator Selection on the Provost's Guidelines website (<http://www.auburn.edu/academic/provost/policies-guidelines/#guidelines>). Unit leaders must give clear instructions to external reviewers as to their evaluation of the candidate's national/international

reputation and the impact of their work in their field. The unit leader must include a summary of each external reviewer's credentials. The summary for each reviewer cannot exceed one page.

In preparing dossiers, candidates for promotion in the Extension, Research, Clinical, and Lecturer Title Series should follow the guidelines for establishing and filling Extension, Research, Clinical, and Lecturer positions found in Chapter 3 of the *Faculty Handbook*. Although promotion in the Research, Clinical, and Lecturer Title Series will not be reviewed by the University Promotion & Tenure Committee, however these dossiers are due at the same time as promotion & tenure dossiers for the Provost's review.

## **Schedule of Promotion and Tenure Deadlines for 2021-2022**

### ***Wednesday, September 8, 2021***

Dossiers submitted to the Department (no new information added to file after this date).

Department Committees submit a summary of their deliberations.

### ***Monday, October 4, 2021***

Department recommendations and dossiers due to Dean's office.

College Committees submit a summary of their deliberations.

### ***Friday, November 19, 2021***

All recommendations and dossiers due to the Office of the Provost.

### ***Friday, January 7 to Monday, March 7, 2021***

All promotion and tenure deliberations and discussions completed.

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## SECTION 2

### INFORMATION FOR CANDIDATES FOR PREPARING THE DOSSIER

**DOSSIER ORGANIZATION CHECKLIST 2021-2022**

Name: \_\_\_\_\_ Department \_\_\_\_\_ Action: Tenure \_\_\_\_\_ Promotion: Associate \_\_\_\_\_ Full \_\_\_\_\_

College cover sheet [Supplied by CLA]

**BOOKMARK 1 CANDIDATE INFORMATION**

Standard Biographical Data Sheet (Provost website: Forms) <http://www.auburn.edu/academic/provost/forms.html>

Letter of Offer for Employment

Percent time and effort for the past three academic years

List of Honors and Awards

**BOOKMARK 2 SCHOLARLY CONTRIBUTIONS**

**TEACHING:**

Courses taught last 3 academic years (include number of students and lecture/lab hours per week)

Graduate students (alumni)

Graduate students (currently on committees)

Courses and curricula developed

Teaching grants

Teaching publications

Other teaching contributions

Statement of philosophy (1 page limit)

**RESEARCH/CREATIVE WORK:**

Books (include % Contribution) *[To provide a quality review please provide as much information as possible regarding quality of publisher]*

Article-length publications (distinguish by type; include book chapters here; include % Contribution) *[To provide a quality review please provide as much information as possible regarding acceptance rates, impact factor, citation indexes, journal rank in discipline, etc.]*

Papers & lectures (distinguish by type)

Exhibitions (distinguish by type)

Performances (distinguish by type)

Patents & inventions

Other research/creative contributions

Grants & contracts

Description of scholarly program (1 page limit)

**OUTREACH:**

Commentary (Description, Mission, Scholarship, Impact) (5 page limit on entire commentary; Statement of Impact is optional-2 page limit)

Activities and Products (Instructional Activities, Technical Assistance, Outreach Publications, Electronic Products, Other Products, Copyrights/Patents/Inventions/Contracts/Grants/Gifts)

**SERVICE:**

University service (distinguish by levels) University, College, Department

Professional service

**BOOKMARK 3 INFORMATION FROM DEPARTMENT CHAIR/HEAD/SCHOOL DIRECTOR**

**TEACHING:**

Student evaluations: Include one from each of the past three academic years

For each class, include:

A copy of the questions asked

A summary indicating the spread of numerical responses to all questions

All student comments in unedited form (place in appendix)

Grade distribution

Peer evaluations: Include one from each of the past three academic years

Peer evaluations

Letters from thesis students

**RESEARCH/CREATIVE WORK:**

Statement of Support

Assessment of Journal Quality – rankings in the field if available

**OUTREACH:**

Statement of Mission's appropriateness to unit and how it reflects scholarship

Letters of evaluation (past 5 years)

**SERVICE:**

Letters regarding service on committees

**BOOKMARK 4 EXTERNAL LETTERS**

Confidential Letters from Outside Reviewers

Summary of Outside Reviewers' Credentials (required; 1 page limit per reviewer)

**BOOKMARK 5 EXTENSION AND THIRD YEAR REVIEW EVALUATION (include bookmark and mark N/A if not applicable)**

Approved extension of probationary period (optional but strongly recommended, if applicable)

Third year review evaluation (to be included for probationary faculty only, if applicable)

**BOOKMARK 6 DEPARTMENT FACULTY SUMMARY LETTER**

**BOOKMARK 7 DEPARTMENT CHAIR/HEAD/SCHOOL DIRECTOR'S LETTER**

**BOOKMARK 8 CANDIDATE'S RESPONSE LETTER**

Candidate's Response Letter to Department Chair/Head/School Director's Letter and Department Faculty Letter

**BOOKMARK 9 COLLEGE COMMITTEE'S AND CANDIDATE'S RESPONSE LETTERS**

College Committee's Letter

Candidate's Response Letter to Dean's Letter and College Committee's Letter

**BOOKMARK 10 DEAN'S LETTER**

**BOOKMARK 11 APPENDICES**

Proof of acceptance of publications in press or publications of which acceptance is conditional

Internal and External Letters (not external review letters that are supplied by Department Chair/Head/School Director)

Selected publications, grant proposals, or other evidence of scholarship (optional: candidate's decision)

Approved Departmental Guidelines

Student comments from teaching evaluations

Other (optional: candidate's decision)

**This checklist was developed as a tool to assist faculty members with the assembly of the P&T dossier. It is not a mandate and does not replace the policies found in the Faculty Handbook. Consult the Faculty Handbook for more specific information regarding the P&T process and the assembly of the P&T dossier.**



DOSSIER ORGANIZATION CHECKLIST 2021-2022

Name: \_\_\_\_\_ Department \_\_\_\_\_ Action: Promotion to Senior Lecturer \_\_\_\_\_

College cover sheet [Supplied by CLA]

BOOKMARK 1 CANDIDATE INFORMATION

Standard Biographical Data Sheet (Provost website: Forms) http://www.auburn.edu/academic/provost/forms.html

Letter of Offer for Employment

Percent time and effort for at least the past three academic years

List of Honors and Awards

BOOKMARK 2 SCHOLARLY CONTRIBUTIONS

TEACHING:

Courses taught for at least the past three academic years (include number of students and lecture/lab hours per week)

Responsibilities including supervision and evaluation of interns, GTAs, etc.

Advising contributions

Teaching students, in small group settings

Courses and curricula developed

Grants received related to teaching

Publications pertaining to teaching. Include textbooks, manuals, and articles on pedagogy

Other contributions to teaching

Statement of candidate's teaching philosophy and self-evaluation in terms of his/her stated values (one-page limit)

SERVICE:

University service (distinguish by levels) University, College, Department

Professional service

BOOKMARK 3 INFORMATION FROM DEPARTMENT CHAIR/HEAD/SCHOOL DIRECTOR

TEACHING:

Student evaluations:

Include all student evaluations from at least the past three academic years. The evaluation results should be condensed into as few pages as possible.

For each class include:

A copy of the questions asked

A summary indicating the spread of numerical responses to all questions

All student comments in unedited form

Grade distribution

Peer evaluations:

Include peer evaluations for one class for at least each of the past three academic years.

Peer evaluations

SERVICE:

Letters regarding service on College and University committees

BOOKMARK 4 DEPARTMENT FACULTY SUMMARY LETTER

BOOKMARK 5 DEPARTMENT CHAIR/HEAD/SCHOOL DIRECTOR'S LETTER

BOOKMARK 6 CANDIDATE'S RESPONSE LETTER

Candidate's Response Letter to Department Chair/Head/School Director's Letter and/or Department Faculty Letter

BOOKMARK 7 COLLEGE COMMITTEE'S AND CANDIDATE'S RESPONSE LETTERS

College Committee's Letter

Candidate's Response Letter to College Committee's Letter

BOOKMARK 8 APPENDICES

Proof of acceptance of teaching publications in press

Additional internal faculty letters (if submitted)

Selected publications, slides, evaluative material, or other evidence of teaching scholarship (optional: candidate and unit head's decision)

Approved Departmental Lecturer Guidelines

This checklist was developed as a tool to assist faculty members with the assembly of the promotion dossier. It is not a mandate and does not replace the policies found in the Faculty Handbook. Consult the Faculty Handbook for more specific information regarding the promotion process and the assembly of the dossier.

**AUBURN UNIVERSITY**  
**Standard Biographical Data**  
**for Submission with Promotion/Tenure Review**

Name \_\_\_\_\_

Department \_\_\_\_\_ College \_\_\_\_\_

Present Rank \_\_\_\_\_ Years Completed in Present Rank \_\_\_\_\_

Years in Faculty Service at AU \_\_\_\_\_ Years in Faculty Service Elsewhere \_\_\_\_\_

Type of Current Appointment: \_\_\_\_\_ Tenured \_\_\_\_\_ Untenured \_\_\_\_\_ Non-Tenure Track (NTTF)

Pay Basis: \_\_\_\_\_ 9 mo. \_\_\_\_\_ 12 mo.

Graduate Faculty Status: \_\_\_\_\_ Member \_\_\_\_\_ None Date Awarded: \_\_\_\_\_

**Education: Institution**

List most recent first.

Degree

Major

Date Awarded

Education: Institution List most recent first.	Degree	Major	Date Awarded
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**Professional Experience: Institution**

Include AU Experience. List most recent first.

Rank

Period of Appointment

Professional Experience: Institution Include AU Experience. List most recent first.	Rank	Period of Appointment
_____	_____	_____
_____	_____	_____
_____	_____	_____

Other Credentials, if applicable (e.g. Board Certifications) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I have reviewed (except letters) the contents submitted in the attached dossier:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Form is available online at:

<http://www.auburn.edu/academic/provost/forms.html>

# CLA P&T Dossier Instructions for sections submitted by candidate<sup>1</sup>

## GENERAL INSTRUCTIONS

- The candidate and department chair/head/school director should jointly supply (1) applicable department guidelines that establish criteria for evaluation and (2) the weights of each performance area as described in the letter of offer or as modified by subsequent annual evaluations.
- Use reverse chronological order with dates clearly indicated for all lists (of positions held, courses taught, publications, etc.).
- Make all supporting material available for review by the department as supplementary material (not included in the primary dossier). Supporting material can include publications, slides, course materials, evaluative material (book reviews, published critiques, adjudicated production reviews, etc.). You should consult your department chair/head/school director regarding the selection of this material. It should also be made available to the Dean and College Committee if requested, but should not be forwarded to the University Promotion and Tenure Committee.
- Detailed descriptions of activities are best placed in the two required narratives (1h – a one-page statement of your teaching philosophy and 2i – a one-page statement of your scholarly program). Your outreach activities can be described in detail in sections 3a and 3b.
- Include all the following numbered items in your dossier. If you have not done work in a particular category, type “None” for that category.
- You will find a blank template at the end of this instructional document for your use in typing your dossier.

## INFORMATION TO BE SUPPLIED BY THE CANDIDATE

- a. A Standard Biographical Data sheet. (You can find the PDF Form at <http://www.auburn.edu/academic/provost/forms.html>)
- b. A percent breakdown of the allocation of time and effort for teaching, research/creative work, outreach, and service for the past three years.
  - Use the percent breakdown assigned annually by your department chair/head/school director for each of the past three academic years. The total for each year should equal 100%.

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<sup>1</sup> Note: These instructions were developed as a tool to assist faculty with the assembly of their P&T dossier. They do not replace the guidelines found in the *Faculty Handbook*. Consult the *Faculty Handbook* for specific information regarding the P&T process.

Example:

	Teaching	Research/Creative Work	Outreach	Service
2016-2017	62.5%	25%	5%	7.5%
2015-2016	70%	25%	0%	5%
2014-2015	50%	35%	0%	15%

c. A list of honors and awards.

- Include academic honors, teaching awards, fellowships (such as NEH, NEA), internal support (including professional improvement leave), election to professional societies, etc.

d. A list of scholarly contributions in accord with the outline (1–4) below.

- Present your work as informatively and accurately as possible. Cross-reference work that falls in two areas (e.g., See X.x.). Librarians and archivists should interpret teaching to apply to performing as a librarian or archivist and adapt the following outline accordingly.

## 1. Teaching

a. A list of actual courses taught for each semester of the past three years.

- Indicate lecture/lab hours per week and enrollment.
  - Indicate any team-taught courses.

b. A list of graduate students whose work has been completed.

- Indicate degree awarded to the student, year, and, if known, position now held by the student.
- Indicate whether you were the major professor or a committee member.

c. A list of graduate students on whose committee the candidate is presently serving.

- Indicate whether you are the major professor or a committee member, the degree the student is working for, and the work that you have done on the committee.

d. A list of courses and curricula developed.

e. A list of grants received related to teaching.

f. A list of publications pertaining to teaching.

- Include textbooks, manuals, articles on pedagogy.
- Use appropriate citation format.

- g. A list of other contributions to teaching.
- h. A one-page statement of your teaching philosophy/self-evaluation in terms of your stated values.

## 2. **Research/Creative Work**

- Provide complete publication data for all publications. Use appropriate citation format.
- In cases of multiple authorship, list names of all authors in correct order.
- Explain the significance of author order on publications in your discipline.
- Indicate percent of your contribution or describe the nature of your contribution.
- Indicate with an asterisk any student contributions.
- In an appendix, provide proof of acceptance of in-press publications and proof of publications of which acceptance is conditional (e.g., a letter from the editor). This appendix should be included in the dossier sent forward to all committees (rather than in supporting materials).
- Do not include manuscripts that have not been accepted for publication.
- For exhibitions and performances, provide dates and locations.

## 3. Books.

## 4. Article-length publications.

- Distinguish publications by type: book chapters, articles in refereed journals and invited articles, bulletins, proceedings, transactions, abstracts, book reviews, non-refereed articles, etc.
- Include acceptance rates and rank of journal. (This information will also be supplied by the department chair/head/school director.)

## 5. Papers or lectures.

- Distinguish by type: papers at professional meetings, invited lectures, etc.
  - Indicate international, national, regional, or local meetings/lectures (in that order).

## 6. Exhibitions.

- Distinguish between juried or invitational shows.
- Identify work(s) and juror (juries).
- Indicate international, national, regional, local exhibitions (in that order).

## 7. Performances.

- Distinguish between local performances, out-of-town invitationals, concert series, etc.
  - Indicate international, national, regional, or local performances (in that order).

- List performances of your musical compositions here.
  - For publication of musical works and commercially-released audio or visual recordings, list where appropriate.
- f. Patents and inventions.
- g. Other research/creative contributions.
- h. Grants and contracts.
  - Note all co-authors, identifying the principal investigator and the involvement of the candidate.
  - Indicate funding source and amount.
  - Distinguish between grants received and grants applied for but not funded.
  - NOTE: List internal support and NEH and NEA fellowships under Honors and Awards above.
- i. A one-page description of your scholarly program. Your work-in-progress and work anticipated should be described here.

### **3. Outreach**

For instructions in how to document your outreach, see the *Faculty Handbook*.

### **4. Service**

- a. University Service. List your service to the University.
  - Distinguish among service to the University, the college/school, and the department.
  - List university service as part of a previously held position here.
  - List administrative work that reduces your teaching or research assignment here.
- b. Professional Service. List your service to professional associations and learned societies.
  - Include the offices you have held, committees served on, etc.

## **Blank Template (according to the AU Faculty Handbook) for P&T Dossier Sections: Information Submitted by the Candidate**

For editable Word document, go to <http://www.cla.auburn.edu/faculty/faculty-resources/promotion-and-tenure/>.

### **INFORMATION TO BE SUPPLIED BY THE CANDIDATE** (Bookmark 1: Candidate Information)

- a. A Standard Biographical Data sheet (PDF Form)
- b. A percent breakdown of the allocation of time and effort for teaching, research/creative work, outreach, and service for the past three years.
- c. A list of honors and awards.
- d. A list of scholarly contributions in accord with the outline (1–4) below.  
(Bookmark 2: Scholarly Contributions)

### **1. Teaching**

- a. Actual courses taught for each semester of the past three years.
- b. Graduate students whose work has been completed.
- c. Graduate students on whose committee the candidate is presently serving.
- d. Courses and curricula developed.
- e. Grants received related to teaching.
- f. Publications pertaining to teaching.
- g. Other contributions to teaching.
- h. Statement of candidate's teaching philosophy and self-evaluation.

### **2. Research/Creative Work**

- a. Books.
- b. Article-length publications.
- c. Papers or lectures.

- d. Exhibitions.
- e. Performances.
- f. Patents and inventions.
- g. Other research/creative contributions.
- h. Grants and contracts.
- i. Description of candidate's scholarly program.

### **3. Outreach**

- a. Commentary.
  - 1. Description.
  - 2. Mission.
  - 3. Scholarship.
  - 4. Impact
- b. Activities and Products.
  - 1. Instructional activities.
  - 2. Technical assistance.
  - 3. Outreach publications.
  - 4. Electronic products.
  - 5. Other outreach products.
  - 6. Copyrights, patents, and inventions.
  - 7. Contracts, grants, and gifts.

### **4. Service**

- a. University Service.
- b. Professional Service.



## General Instructions for Promotion and Tenure Dossiers Submitted to the Provost's Office

- P&T dossiers must be one PDF document uploaded from each college/school to the appropriate site.
- Below are instructions on how the PDF will be assembled. Note training for the individuals responsible for uploading the documents will be provided summer of 2021. Please contact Sandy Krietemeyer in the Provost's Office at 844-5773 or [shk0006@auburn.edu](mailto:shk0006@auburn.edu) for more information.

### PDF categories and their related FHB Content

Brief Description	FHB Reference or Optional	Comments	
<p style="text-align: center;"><b>Summary Sheet</b> <i>(Please note; this sheet generates when packets are uploaded)</i></p> <p><u>Dean's full name &amp; campus mailing address</u></p> <p><u>Dean's decision on candidate</u> <u>College/School Committee vote</u></p> <p><u>Department head/chair/director's full name and campus mailing address</u></p> <p><u>Chair/Head/Director's decision on candidate</u></p> <p><u>Faculty Vote</u> <u>Candidate's Preferred Campus Mailing address</u></p> <p><u>College/School Administrative Assistant's name and preferred number and email</u></p>	N/A	N/A	
	General Instructions	3.6.5.C.1	Follow FHB Instructions
<b>Bookmark 1</b>  <i>Candidate Information</i>	<u>Standard Biographic Data Sheet</u>	<u>3.6.5.C.2.a</u>	Follow FHB Instructions
	<u>Percentage of Allocation</u>	<u>3.6.5.C.2.b</u>	
	<u>List of Honors and Awards</u>	<u>3.6.5.C.2.c</u>	
<b>Bookmark 2</b>  <i>Scholarly Contributions</i>  <i>Supplied by Candidate</i>	<u>A list of scholarly contributions by the candidate</u>	<u>3.6.S.C.2.d</u>	Follow FHB Instructions Note that the importance of the order of the authors listed in citations and the percent of effort by the candidate must be explained.  <b>Strict 2 page limit</b>
	<u>Teaching</u>	<u>3.6.5.C.2.d.1(a-h)</u>	
	<u>Research Creative Work</u>	<u>3.6.5.C.2.d.2 (a-i)</u>	
	<u>Outreach</u>	<u>3.6.5.C.2.d.3 (a-b)</u>	
	<u>Statement of Outreach Impact</u>	Optional: <u>Candidate's Decision</u>	
	<u>Service</u>	<u>3.6.C.2.d.4(a-b)</u>	

Brief Description		FHB Reference or Optional	Comments
<p><b>Bookmark 3</b></p> <p><i>Information from Department Head</i></p> <p>Additional information for teaching, research and creative work, Outreach and Service provided by dean. If included in Dean's Letter, please note. May also note no additional information provided.</p>	<p><u>Teaching:</u></p> <p><b>Student and Peer Evaluations</b> of teaching as described in the Faculty Handbook. Any other student comments will go in the appendices</p> <p><u>Research/Creative Work</u></p> <p><u>Outreach</u></p> <p><u>Service</u></p>	<p><u>3.6.5.C.3.A (1-3)</u></p> <p><u>College/School level decision (must be consistent across the unit)</u></p> <p><u>3.6.5.C.3.B (1-2)</u></p> <p><u>3.6.5.C.3.C (1-2)</u></p> <p><u>3.6.5.C.3.D</u></p>	<p>Follow FHB Instructions</p> <p>Consistent College/School Level comparison data must be used for all candidates from that College/School</p>
<p><b>Bookmark 4</b></p> <p><b>CONFIDENTIAL</b></p> <p><i>External Letter From Outside Reviewers</i></p>	<p><u>Confidential Letters from Outside Reviewers</u></p> <p><u>Summary of Outside Reviewer's Credentials (required)</u></p>	<p><u>3.6.5.C.3.E</u></p>	<p>Follow FHB Instructions</p> <p><b>Strict 1 page limit per reviewer</b></p>
<p><b>Bookmark 5</b></p> <p><i>Extension and 3<sup>rd</sup> Year Evaluation</i></p> <p><i>if N/A note on Bookmark</i></p>	<p><u>Any approved extension of probationary period</u></p> <p><u>Third Year Review Evaluation</u></p>	<p><u>Optional, but strongly recommended, if applicable</u></p> <p><u>3.7.2 (for probationary candidates)</u></p>	<p>e.g. FMLA</p> <p>Follow FHB Instructions</p>
<p><b>Bookmark 6</b></p> <p><i>Faculty Summary Letter</i></p>	<p><u>Department Faculty Summary Letter</u></p>	<p><u>3.6.5.E</u></p>	<p>Follow FHB Instructions</p>
<p><b>Bookmark 7</b></p> <p><i>Chair's Letter</i></p>	<p><u>Chair's Letter</u></p>	<p><u>3.6.5.E</u></p>	<p>Follow FHB Instructions. Note: If supportive, the chair must make a compelling and well documented argument for cases that the FHB considers "exceptional" (see FHB 3.6.4 first paragraph)</p>
<p><b>Bookmark 8</b></p> <p><i>Response Letter</i></p> <p><i>Note if no response letter is needed or provided</i></p>	<p><u>Candidate's Response Letter</u></p>	<p><u>3.6.5.E</u></p>	<p>Follow FHB Instructions</p>

Brief Description		FHB Reference or Optional	Comments
<p><b>Bookmark 9</b></p> <p><i>College Committee's Letter and Candidate's Response Letters</i></p> <p><i>If N/A DO NOT create bookmark or note if no response is needed or provided</i></p>	<p><u>College Committee's Letter</u></p> <p><u>Candidate's Response Letter</u></p>	<p><u>3.6.5.E</u></p> <p><u>3.6.5.E</u></p>	Follow FHB Instructions
<p><b>Bookmark 10</b></p> <p><i>Dean's Letter and Candidate's Response Letter</i></p> <p><i>Note if no response letter is needed or provided</i></p>	<p><u>Dean's Letter</u></p> <p><u>Response Letter from the Candidate</u></p>	<p><u>3.6.5.E</u></p> <p><u>3.6.5.E</u></p>	Follow FHB Instructions Note: If supportive, the dean must make a compelling and well documented argument for cases that the FHB considers "exceptional" (see FHB 3.6.4 first paragraph)
<p><b>Appendices</b></p>	<p><u>Internal and non-confidential outside letters</u></p> <p><u>Selected publications, grants proposals or other evidence of scholarship</u></p> <p><u>Approved Departmental Guidelines</u></p> <p><u>Student comments other than surveys</u></p> <p><u>Other</u></p>	<p><u>3.6.5.E</u></p> <p><u>Optional: Candidate's decision</u></p> <p><u>Required if applicable and In effect</u></p> <p><u>Optional: Candidate's decision</u></p>	Follow FHB Instructions  Follow FHB Instructions

# **Candidate Information**

# **Scholarly Contributions**

**Information Supplied by  
Department Head/School Director**

**Confidential External Letters  
From Reviewers**

**Approved Extension of  
Probationary Period**

**Third Year Review Evaluation**



# **Department Faculty Summary Letter**

**Department Chair's/School  
Director's Letter**

# **Candidate's Response Letter**

**College Committee's Letter**  
**Candidate's Response Letter**

# **Dean's Letter**

# **Appendices**

## SECTION 3

### INFORMATION FOR DEPARTMENT CHAIRS/SCHOOL DIRECTORS

## EXTERNAL EVALUATOR SELECTION FOR FACULTY EVALUATION

Candidate Name: \_\_\_\_\_

Department: \_\_\_\_\_

From the Auburn University Faculty Handbook (Section 3.11.C.3.D.1): “In consultation with the candidate and the faculty voting on the candidate the head (or dean) shall compile a list of potential evaluators. He or she shall then seek responses from at least three of the potential evaluators. These evaluators shall be people outside of Auburn University who are nationally acknowledged experts in the candidate's field and can comment on the quality and reputation of the candidate's work. If the evaluator is from an academic institution, he or she shall be of higher academic rank than the candidate. Letters from the candidate's major professor for a graduate degree, from former graduate students, and from ongoing research partners are unacceptable. Evaluators may be associated with industry, government agencies, foundations, etc.”

- I. Candidate's List of 4-6 Suggested Evaluators: (Please provide complete name, title (include faculty rank), address, phone number and a short description of the applicability of suggested evaluator's credentials or attach his/her vita. Any professional or personal relationship between the faculty member and the evaluator should be identified.) **Due to the Department [Head/Chair] by [Date].**



- II. Department Committee/Chair/Head's List of Evaluators: (Please provide complete name, title, address, phone number, and a short description of the applicability of suggested evaluator's credentials or attach his/her vita. Any professional or personal relationship between the faculty member and the evaluator should be identified.) **Due to the Department [Head/Chair] by [Date].**

Template

- III. Final List of 4-6 External Evaluators--to be contacted using an approved letter (attach copy of letter). Please indicate alternate evaluators in case any evaluators initially identified are found to be unavailable. **List due to the [Head/Chair/Dean] for approval on or before [Date]. Evaluations must be solicited no later than [Date].**

**• NOT TO BE SHARED WITH CANDIDATE •**

Template

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Head/Chair's Signature                      Date

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Dean's Signature                              Date

Peer Institutions

Arizona State University Tempe  
University of Arizona  
University of Arkansas Main Campus  
Auburn University  
Auburn University Main Campus  
University of Alabama  
University of Alabama Birmingham  
University of Alabama Huntsville  
University of Alabama Tuscaloosa  
Brigham Young University  
Boston College  
Boston University  
Brandeis University  
Brown University  
California Institute of Technology  
University of California Berkeley  
University of California Davis  
University of California Irvine  
University of California Los Angeles  
University of California Riverside  
University of California San Diego  
University of California Santa Barbara  
University of California Santa Cruz  
University of Southern California  
University of Chicago  
University of Colorado Boulder  
University of Colorado Denver & HSC  
University of Connecticut  
University of Connecticut-Storrs  
Carnegie Mellon University  
Case Western Reserve University  
Catholic University of America  
Claremont Graduate University  
Clemson University  
Colorado State University  
Columbia University  
Cornell University  
Dartmouth College  
University of Delaware  
University of Denver  
Duke University  
Emory University  
Florida International University  
Florida State University  
University of Florida  
University of South Florida  
University of Georgia  
George Washington University  
Georgetown University  
Georgia Institute of Technology  
Georgia State University  
Harvard University  
University of Hawaii Manoa  
University of Houston  
Howard University  
University of Idaho  
University of Illinois Chicago  
University of Illinois Urbana-Champaign  
Iowa State University  
University of Iowa  
Indiana University Bloomington  
Johns Hopkins University  
University of Kansas Main Campus  
University of Kentucky  
Kansas State University  
Kent State University Main Campus  
Lehigh University  
Louisiana State University-Baton Rouge  
University of Louisville  
Loyola University of Chicago  
University of Maine  
University of Maine at Orono  
Marquette University  
University of Maryland Baltimore County  
University of Maryland-College Park  
University of Massachusetts Amherst  
Massachusetts Institute of Technology  
University of Memphis  
University of Miami  
University of Michigan  
University of Minnesota Twin Cities  
University of Mississippi Main  
University of Missouri Columbia  
University of Missouri-Rolla  
Michigan State University  
Mississippi State University  
University of Southern Mississippi  
Montana State University-Bozeman  
University of Nebraska at Lincoln  
University of Nebraska Lincoln  
University of Nevada Reno  
University of New Hampshire Main

Revised Template

University of New Hampshire-Main Campus  
University of New Mexico Main Campus  
University of North Carolina - Chapel Hill  
University of North Carolina Chapel Hill  
University of North Texas  
University of Notre Dame  
New Mexico State University Main Campus  
New York University  
City University of New York Graduate Center  
State University of New York Albany  
North Carolina State University  
North Carolina State University at Raleigh  
North Dakota State University-Main Campus  
Northeastern University  
Northern Illinois University  
Northwestern University  
Ohio State University Main Campus  
Oklahoma State University-Main Campus  
University of Oklahoma  
University of Oklahoma Norman Campus  
University of Oregon  
Oregon State University  
Pennsylvania State University-University Park  
Pennsylvania State University-Main Campus  
University of Pennsylvania  
University of Pittsburgh Main Campus  
Princeton University  
Purdue University-Main Campus  
Rensselaer Polytechnic Institute  
Rice University  
University of Rhode Island  
Rutgers University New Brunswick Campus  
Saint Louis University  
University of South Carolina  
University of South Carolina Columbia  
Southern Illinois University Carbondale  
Stanford University  
Temple University

University of Tennessee  
University of Tennessee Knoxville  
University of Texas - Austin  
University of Texas Arlington  
University of Texas Austin  
Texas A & M University  
Texas Tech University  
Tufts University  
Tulane University  
University of Utah

University of Vermont  
University of Virginia  
University of Virginia Main  
University of Washington  
University of Wisconsin Madison  
University of Wisconsin Milwaukee  
University of Wyoming  
University of Wyoming  
Rutgers University-New Brunswick  
Utah State University  
Vanderbilt University  
Virginia Commonwealth University  
Virginia Polytechnic Institute and State  
University  
Virginia Tech  
Washington  
Washington State University  
Washington University  
Wayne State University  
West Virginia University  
Yale University

## Example Letter

Dr. XXXX, an (Assistant/Associate) Professor of XXXX at Auburn University, is being considered for [tenure and] promotion to the rank of [Associate] Professor. As part of our procedure for assessing the quality of Dr. XXXX's scholarly activity, we seek the judgment of scholars [individuals] like you in [his/her] area of specialization. Thus, we ask that you help us by providing comment on the quality and reputation of the candidate's work.

Auburn University's Faculty Handbook (Section 3.8) states: "Promotion is based on merit. A candidate for promotion should have acceptable achievements in the areas of 1) teaching and/or outreach and 2) research/creative work. He or she is further expected to demonstrate over a sustained period distinctive achievement in one of these areas or achievement in both areas comparable to that of successful candidates in the discipline in the past five years. In addition, he or she is expected to have contributed some service to the University." To help assess the quality and reputation of the candidate's research/creative work, confidential external letters are requested from outside evaluators. The Auburn University's Faculty Handbook (Section 3.11.C.3.D.1) states: "These evaluators shall be people outside of Auburn University who are nationally acknowledged experts in the candidate's field and can comment on the quality and reputation of the candidate's work. If the evaluator is from an academic institution, he or she shall be of higher academic rank than the candidate. Letters from the candidate's major professor for a graduate degree, from former graduate students, and from ongoing research partners are unacceptable. Evaluators may be associated with industry, government agencies, foundations, etc."

Enclosed is a sample of Dr. XXXX's research/creative work and [his/her] curriculum vitae. Please forward your evaluation to XXXX [Name], XXXX, [Address], no later than [Date]. If you are unable to provide an evaluation of Dr. XXXX's work, please contact me immediately at 334-844-XXXX or by e-mail at XXXX.XXXX.

We recognize that writing recommendations of this type is time consuming and, therefore, are most grateful for your assistance. Your comments will be an important component of our evaluation process.

Sincerely,

XXXXXXXXXXXX  
Chair

cc: XXXX, Dean

Enclosures

**For Department Chairs and School Directors  
Reporting the Departmental Vote**

**Vote of the tenured faculty for NAME 19 September 2021**

Reminder: Department Chairs/School Directors no longer participate in the departmental vote.

For tenure:

Number of Faculty Eligible to Vote = 17

- present and voting = 12
- present and abstaining = 0
- absent but submitting a written vote prior to the meeting = 4
- absent and not voting = 1 (This response does not count as part of the total vote)
  
- Vote on recommending NAME for tenure: Yes = 16; No = 0; Abstain = 0

For promotion to associate professor or professor:

Number of Faculty Eligible to Vote = 17

- present and voting = 12
- present and abstaining = 0
- absent but submitting a written vote prior to the meeting = 4
- absent and not voting = 1 (This response does not count as part of the total vote)
  
- Vote on recommending NAME for promotion to associate professor: Yes = 16; No = 0; Abstain = 0

## 2021-2022 Promotion and Tenure Dossier Format

### **INSTRUCTIONS for Candidates and Department Chairs/School Directors for Submission of Dossier**

- a) Obtain Cover Page from Associate Dean for Research's administrative assistant
- b) SCAN or convert electronic document of each of the dossiers in pdf format.
- c) Instead of tabs, use title pages as dividers. At each divider page, create a bookmark in the PDF according to Provost's Office directions.
- d) Save each document using the candidate's official last name first, then first name (use name as found in Banner) in the designated Box folder, as defined by the Associate Dean for Research's office. No other information should be used in the document name.

After the dossier is reviewed by the CLA P&T Committee and the Dean's support is known, the Associate Dean for Research will meet with the candidate and department chair/school director to discuss the support that the candidate will receive from the college.

### **INSTRUCTIONS for the Associate Dean for Research's Office**

- a) If the candidate wishes to proceed, the Dean's and CLA Committee's Summary letters will be scanned into the dossier.
- b) The Associate Dean for Research's office will review the dossier to be sure it contains bookmarks, associated bookmark pages and all of the necessary content prior to its submission download to the Provost's Office's website.

## SECTION 4

INFORMATION FROM THE FACULTY HANDBOOK (FHB)



# Auburn University Handbook

## Chapter 3

### Faculty Personnel Policies and Procedures

Visit: <http://www.auburn.edu/academic/provost/faculty-handbook/>