I. Introduction and Principles

The Department of Biology at Appalachian State University aspires to be a vibrant community of teacher-scholars. Thus the Department seeks to recruit and retain faculty who contribute strongly to the Department, University, and their profession in the core areas of teaching and scholarship. As a public-supported institution and with the knowledge that science and scientists have much to contribute to society, we recognize that service to and engagement with institutions and people at local, state, national and professional levels of organization are also integral components of the teacher-scholar model. With concurrent contributions by each faculty member to teaching, scholarship and service in mind, we will adhere to these principles:

1. As a community of teacher-scholars, we will respect and support excellence. High levels of achievement in teaching, scholarship, and service will be celebrated and appreciated with the acknowledgment that all three are integral and highly valued activities of the University. It is the responsibility of each faculty member, with the best support available from the Department and University, to demonstrate high levels of performance in all three areas of responsibility.

2. In considering individuals for retention and promotion, quality of performance in each area of responsibility will be paramount over quantity. Not all individuals will contribute equally to all three areas of responsibility at all times in their career, and individual faculty appointments may carry different designated levels of responsibility, however, excellence in performance will always be the goal.

3. Individual faculty members should be rewarded, in terms of recognition, compensation, retention, promotion, etc., for high levels of performance in their assigned responsibilities no matter how those responsibilities are distributed among teaching, research, and service.

4. The Department’s functionality and performance are of paramount importance. Thus active participation in Departmental activities and missions is expected of all faculty members.

To support these principles, to augment the criteria for promotion and tenure stated in Appalachian State University’s Faculty Handbook, and to maintain compliance with the College of Arts and Sciences’ Guidelines For Reassigned Time For Scholarly And Creative Activities (2 March 2004 date of acceptance), we put forth the following guideposts for faculty seeking promotion and/or tenure, for faculty evaluating others for promotion and/or tenure, and for annual evaluation of faculty performance.

II. Promotion And Tenure (Faculty With A 3-3 Teaching Load)
Expectations of faculty members with current standards of 9 teaching contact hours per semester (a 3-3 load) for teaching and 3 hours of scholarship reassigned time per semester.

Any reassignment (e.g., an increased teaching load or extra scholarship time) that changes the duration of time that a faculty member is technically holding a 3-3 teaching load will be documented in writing by the Chair and affected faculty member, including any predictable impacts on the faculty member’s ability to carry out the expectations outlined below. The DPC will be informed of this documentation and it will become part of the faculty member’s permanent records.

A. Assistant Professors

Assistant Professors will be highly engaged in teaching and scholarship, with less emphasis on service. Guideposts for Assistant Professors seeking strong reviews, retention, promotion and tenure include:

1. **Teaching**

   Assistant Professors must achieve primarily very good to excellent peer teaching evaluations by the time of promotion and tenure review. Student evaluations should reflect creation of a positive learning environment, clear delivery of course content, and interest in student success. Evaluations that initially fall short of these benchmarks are acceptable as long as there is a clear record of improvement and engagement in professional development aimed at improving teaching effectiveness. Assistant Professors will also demonstrate their willingness and ability to contribute across the Department curriculum, from the introductory to the graduate level, unless otherwise stipulated in their appointment or yearly teaching assignments by the Chair.

2. **Scholarship**

   When evaluating scholarship, the Department places emphasis on peer-reviewed publications and seeking extramural funding as our accepted standards for scholarly products. Peer-reviewed publications can clearly document the scientific value and originality of research efforts. Assistant Professors must also validate the significance of their research ideas and credentials through seeking external research funds from competitive funding programs that utilize peer review evaluation of proposals.

   In keeping with our goal of excellence, Assistant Professors are expected to produce at least four scholarly products by the time of application for promotion and tenure. Of these four products, at least one must be a peer-reviewed article in a well-regarded journal in the applicant’s area of expertise and be clearly based on research instigated and carried out at Appalachian State. In addition, at least one product must be a proposal, submitted to a competitive funding program utilizing a peer-review process, which is well-reviewed even if funding is not received. Other acceptable scholarly products include research or review
articles in peer-reviewed journals; reviewed books, book chapters and lab manuals; or securing extramural funding. Overall these products must demonstrate the establishment of a well-developed, productive and high quality research program.

3. **Graduate Program Participation**

Assistant Professors must demonstrate the ability to successfully advise and mentor graduate students by having one or more students complete their M.S. degree at Appalachian State University, barring extenuating circumstances (such as unavailability of appropriate graduate students), before coming up for promotion and tenure.

4. **Service**

Assistant Professors must contribute in a professional and substantial manner to Departmental governance and undergraduate advising. Some professional service is strongly advised to lay the groundwork for professional leadership later in the career.

B. **Associate Professors**

Promotion to Associate Professor will be based on achievement of the guideposts listed above for Assistant Professors. The procedures for promotion and tenure review are found below.

Associate Professors will continue to be highly engaged in teaching and productive scholarship and these activities should retain highest priority. Individuals holding this rank will also be expanding the significance and depth of their service activities toward the University, state and federal organizations, and their professional organizations. Guideposts for Associate Professors seeking strong reviews and promotion include:

1. **Teaching**

   Associate Professors must regularly achieve very good to excellent student and peer teaching evaluations. Associate Professors will continue to demonstrate their willingness and ability to contribute across the Department curriculum, from the introductory to the graduate level, unless otherwise stipulated in their appointment or yearly teaching assignments by the Chair. Continued development in teaching expertise (e.g., new pedagogical approaches, innovative or integrative courses, new interdisciplinary efforts, and/or incorporation of community engagement through coursework, development of international courses etc.) will be evident.

2. **Scholarship**

   At the Associate Professor level, the Department continues to place emphasis on peer-
reviewed publications and seeking extramural funding as our accepted standards for scholarly products. To be considered for promotion to Full Professor, Associate Professors should have achieved national or international recognition for their scholarship. Thus, Associate Professors should produce no less than five peer-reviewed scholarly products (beyond those produced as an Assistant Professor). Acceptable scholarly products include research and review articles in peer-reviewed journals; reviewed books, book chapters, or laboratory manuals; well received proposals (funded or not funded) submitted to a national competitive funding program that utilizes a peer-review process; and awarded external funding. The five products will (1) include at least two peer-reviewed articles in well-regarded journals in the applicant’s area of expertise that are based on work clearly instigated and carried out at Appalachian State; (2) include one to two separate proposals developed at ASU and submitted to a competitive funding program utilizing a peer-review process, which achieve(s) well-received reviews even if not actually funded; and (3) collectively be recognized as a significant research contribution by both internal and external peer reviewers during the promotion review. Exceptional extramural research funding gained from national funding competitions may be requested to act as two peer-reviewed products.

3. **Graduate Program Participation**

   Associate Professors must continue to successfully advise and mentor graduate students by having students regularly complete their M.S. degree at Appalachian State University before consideration for promotion, barring extenuating circumstances (such as unavailability of appropriate graduate students).

4. **Service**

   Associate Professors must continue to contribute positively and successfully to Departmental governance and management and undergraduate advising, although service emphasis should begin to reflect greater active participation in University, University System, and professional affairs. Elements of leadership in these new venues of service must be apparent.

C. **Full Professors**

   Based on success at the Assistant and Associate Professor ranks, Full Professors will continue to be engaged in high quality teaching and productive scholarship and exhibit strong leadership in Departmental and University affairs. At this rank, based on demonstrated success/reputation and interests, greater latitude will be given to personal emphasis on scholarship or professional service and leadership. Nonetheless, excellence remains the central standard for success. Guideposts for Full Professors seeking strong reviews include:

   1. **Teaching.** Full Professors must continue to regularly achieve very good to excellent teaching evaluations and display a willingness to contribute broadly across the Department curriculum. Continued development in teaching expertise will be evident.
2. **Scholarship**

   Full Professors will continue to publish in well-regarded journals in their field of expertise and to seek external funding to support their research. To remain consistent with University policy, production of scholarly products (as defined for Assistant and Associate Professor ranks) must minimally maintain the standards of the College of Arts and Sciences’ reassigned time guidelines.

3. **Graduate program participation**

   Full Professors must continue to successfully advise and mentor graduate students by having students regularly complete their M.S. degree at Appalachian State University, barring extenuating circumstances (such as unavailability of appropriate graduate students).

4. **Service.**

   Full Professors will continue to contribute positively and successfully to Departmental governance and management and to undergraduate advising. Expanded professional service and leadership in the University, University System, and professional affairs will occur and may replace some responsibilities in Departmental governance or management. Positive and effective leadership in service activities is expected.

D. **Tenure**

   Although heavily based on the same criteria, the conferral of permanent tenure is a separate act from that of promotion. Normally, tenure and promotion from Assistant to Associate Professor are considered simultaneously and are either granted or denied simultaneously. However, under some circumstances (e.g. consideration of service at a previous institution, hiring at advanced academic ranks, etc.), it may be advisable to separate these decisions.

1. **Expectations for conferral of permanent tenure**

   A candidate for conferral of permanent tenure must meet the criteria for tenure and have fulfilled all of the standards established for promotion to Associate Professor as stated in the ASU Faculty Handbook and in this document. Candidates must demonstrate that they (a) are effective teachers of undergraduate courses and graduate courses, (b) are committed to the ideal of being a teacher-scholar, (c) have an active and productive research program, (d) are effective in advising and mentoring graduate students, (e) have performed appropriate service to the discipline, Department, College or University, and profession, and (f) are committed to a productive future career as a teacher-scholar.

   Permanent tenure is a commitment by the University community to support an individual’s academic rights, but also a welcome into a long-term commitment to the University, its function, and its missions. Thus candidates for permanent tenure are expected to willingly
engage in Departmental function via committee work, advising of students, contributing to undergraduate research and the undergraduate Honors Program, and contributing constructively to shared governance.

2. Conferral of permanent tenure to individuals hired at the rank of Associate Professor or Professor

Individuals hired at the rank of Associate Professor must meet the expectations for conferral of permanent tenure as specified in section II.D.1. of this document and meet the expectations in teaching, scholarly activity and service at the level expected of the Associate Professor rank.

Individuals hired at the rank of Professor must meet the expectations for conferral of permanent tenure as specified in section II.D.1. of this document and meet the expectations in teaching, scholarly activity and service at the level expected of the Professor rank.

3. Eligibility for conferral of permanent tenure

A suggested timetable for consideration of permanent tenure for each of the academic ranks is presented in the ASU Faculty Handbook and in Section IV of this document. At the request of the candidate, experience gained prior to arrival at Appalachian State University will be evaluated when determining the appropriate time for conferral of the permanent tenure status (see Section IV. below).

III. Review procedures for Assistant Professor retention, promotion to Associate Professor with tenure, and promotion to Full Professor.

A. The Department Chair’s required annual review will include, for each Assistant Professor, a specific opinion regarding progress toward promotion and tenure. In addition, each Assistant Professor will be reviewed annually by the DPC.

B. Assistant Professors will be reviewed for retention in their third year of employment. This procedure will consist of a review by the Department Personnel Committee (DPC) of the following materials: all student teaching reviews, each annual peer review of teaching, solicited comments from each faculty member in the Department, each annual review by the Department Chair, and the cumulative achievements in scholarship and service as documented in a current CV. The DPC will make a recommendation for retention or release to the Department Chair. The Chair will independently review all material and the DPC recommendation and then make her/his recommendation to the Dean of the College of Arts and Sciences. Written comments regarding perceived strengths and weaknesses that need further attention will be given to Assistant Professors retained for employment.

C. Assistant Professors in their sixth year of service will be reviewed for promotion to Associate Professor with tenure. This process will mirror the third year review with further
consideration of efforts by the faculty member to address weaknesses identified in the third year review. It will also include an external review of the candidate’s academic record. The purpose of the external review is to provide the Department with an independent peer assessment of the quality and significance of the candidate’s scholarship and professional service. The faculty member being considered for promotion will provide the DPC or Chair with a list of at least five acceptable reviewers external to the Department and Appalachian State University. Two of these will be selected based on availability and willingness to perform the review. The DPC and Chair will supplement these two reviewers with another two chosen from the candidate’s general field of expertise but not from the candidate’s list, for a total of four external reviewers. Candidates may submit a list of unsuitable external reviewers that the DPC and Chair will consider when selecting external reviewers. External reviewers will be supplied with the Department/University mission statement, a description of required time allocations for teaching, scholarship and service, and a copy of the Department's promotion and tenure guidelines in addition to the candidate’s tenure application materials related to scholarship and service and letter of application for promotion and tenure. External reviews will become part of the dossier that is reviewed by the DPC, the Chair, the Dean, and the Provost.

D. Associate Professors will normally be reviewed for promotion to Full Professor during their sixth year of service at the associate professor level. This promotion process will mirror that for promotion of Assistant Professors to Associate Professor with tenure, including an external review.

E. Both Associate and Full Professors are subject to post-tenure reviews as required by the University of North Carolina System and Appalachian State University. Post-tenure reviews will become part of a faculty member’s personnel file and will be available for consideration in any promotion or annual review procedures.

IV. Consideration of experience prior to entering a tenured or tenure-track position at Appalachian State University.

A. Any candidate for a faculty position in the Department may request that experience in a previous tenured or tenure-track position be considered in regard to entering rank and tenure status. This consideration must be a part of the position negotiations at the time of contract development and there must be an explicit, written, and signed (candidate, Chair, Dean and Provost) statement of how previous experience will shorten the time to promotion and/or tenure and influence performance expectations for promotion and/or tenure. Any negotiated agreement must stipulate what products come from work originated at ASU.

B. Academic rank and tenure for any candidate for a faculty position in the Department who has previous experience in a tenured or tenure-track position will be governed by regulations in the Appalachian State University Faculty Handbook, Section 3.4.2.5.4.1.