



**AUBURN UNIVERSITY  
AT MONTGOMERY**

**EXTERNAL REVIEW OF  
SCHOLARLY/RESEARCH/CREATIVE WORK  
POLICY**

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Effective:	[Leave this date blank.]
Prior Versions:	Unknown
Responsible Office:	Office of the Provost
Review By:	[Date will be assigned by Executive Policy Committee]

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**I. PURPOSE**

To establish a policy to obtain external reviews of scholarly/research/creative accomplishments to supplement the dossiers of full-time faculty applying for tenure and/or promotion in rank.

**II. POLICY**

1. External reviews of scholarly/research/creative accomplishments will be obtained for full-time tenured, or tenure-track faculty considered for tenure and/or promotion in rank. Lecturers and Clinical Faculty will be excluded from this requirement.
2. External reviewers will be asked to comment only on the quality and reputation, not the quantity, of the candidate's scholarship/research/creative activity.
3. External reviewers will not be asked to deliver an opinion about tenure or promotion. Decisions about tenure and promotion will be made at AUM using departmental and university standards for teaching, research, and service.
4. External reviews are intended to provide informed opinions to AUM faculty and administrators not familiar with a particular area of scholarship in a candidate's discipline or sub-discipline.
5. External reviewers shall:
  - a. Hold a tenured faculty appointment or have held such a rank at an accredited university that grants undergraduate and/or graduate degrees. (Reviews from faculty at trade schools or community colleges are not acceptable.)
  - b. Hold an academic rank higher than the candidate.
  - c. Be acknowledged experts in the candidate's field, who through their own publications and/or creative pursuits, are in a better position to assess the

candidate's area of scholarship than a person who is not in the candidate's discipline or sub-discipline.

6. As an exception to what is stated in item 5 above, upon agreement by the Department Chair, Dean, and Associate Provost for Faculty Affairs, external reviews may be accepted from reviewers holding positions of responsibility in pertinent industries, government agencies, foundations, professional societies, national centers or institutes, and four-year colleges.
7. The external reviewers shall not be:
  - a. The candidate's doctoral or postdoctoral mentor.
  - b. Individuals who have served as coauthors or co-investigators on scholarly projects, artistic projects, grants, or contracts.
  - c. Individuals who were at any time the candidate's student.
  - d. Colleagues who went to graduate school with the candidate.
  - e. A relative of the candidate.
8. The identities of the reviewers remain confidential unless the university is compelled by legal action to breach confidentiality.
9. The external reviewers shall not receive compensation.

### **III. APPLICABILITY**

This policy is applicable to all full-time tenured or tenure-track faculty being considered for tenure and/or promotion in rank.

### **IV. PROCEDURES**

1. By May 15 of the year a candidate intends to apply for tenure and/or promotion, the candidate shall provide to their Department Chair (in all cases below: or appropriate administrator in the reporting chain if a Chair or Dean is a candidate, or in cases where there is no Chair or interim Chair) the names, titles (including faculty rank), addresses, phone numbers, email addresses, and brief descriptions of the suggested reviewers' credentials for up to six possible external reviewers. Any professional or personal relationships between the candidate and reviewers should be disclosed and provided in the list of possible reviewers and it should be noted if there is no relationship.
2. The Department Chair shall supplement (if needed) the list provided by the candidate so that a total of six possible reviewers is determined. The Department Chair and Dean may add additional names of reviewers to be considered. Any professional or personal relationships between the candidate and reviewers shall be identified. The list of possible external reviewers shall be finalized by June 1. The Office of the Provost will review the list and, should any concerns arise, will facilitate consultation with faculty at rank or above to create a final list.
3. By June 15, the Department Chair shall identify three primary external reviewers and three alternate reviewers from the list and then forward the names and background information of reviewers to the Associate Provost for Faculty Affairs, who will approve or reject each possible reviewer.
4. Upon approval by the Office of the Provost a standardized email letter to be provided by the Office of the Provost shall be sent by the Department Chair to invite the three

- primary reviewers to participate in this process. Upon acceptance, the Department Head/Chair will send the candidate's resume and research/scholarship dossier to each external reviewer (see Appendix B). Alternates should be contacted as appropriate in the case of declination. By July 1, the Department Chair should have secured three reviewers willing to participate. In the event the list of six possible reviewers doesn't yield three willing to participate, the Department Chair, in consultation with the candidate, shall secure appropriate additional reviewers seeking approval from the Associate Provost for Faculty Affairs before making contact.
5. The external review letters shall be received on or before September 1. If not, the Department Chair shall contact the alternate reviewers with an October 1 deadline. The Department Chair, in consultation with the candidate, is required to identify additional reviewers, subject to approval by the Associate Provost for Faculty Affairs, if the original six names do not yield the required minimum of three reviewers. In the event that more than three reviews arrive for a candidate, they shall all be included in the candidate's dossier for review.
  6. Upon receipt, the Department Chair will create a file that consists of concatenated, scanned copies of each unaltered review letter so that a single PDF file can be uploaded to the candidate's dossier by the Associate Provost for Faculty Affairs. The Department Chair will redact the names of the reviewers and any information related to their institutions on a scanned PDF file to be provided to the candidate.
  7. Original copies (not redacted) of reviews will be sent to the Associate Provost for Faculty Affairs and will be kept on file in the Office of the Provost.
  8. Unless an exception is granted by the Provost, at least three external reviews are required.

**V. EXCLUSIONS**

None

**VI. INTERPRETATION**

The Office of the Provost will interpret this policy.