

GUIDELINES FOR REAPPOINTMENT, PROMOTION, AND TENURE DEPARTMENT OF FINANCE

COLLEGE OF BUSINESS & BEHAVIORAL SCIENCE CLEMSON UNIVERSITY

I. Introduction

The purpose of these guidelines is to establish a set of standards that will promote faculty performance and development and to enable the faculty to achieve a national reputation. These guidelines are intended to serve two roles. First, they provide guidance and information to those individuals seeking reappointment, promotion, and/or tenure. Second, they provide the Department Chair and the Reappointment, Promotion, and Tenure (RPT) Committee, the minimum standards and criteria that should be met by a faculty member in order to receive a positive recommendation that involves reappointment, promotion, and/or tenure. A recommendation by the Department Chair or the RPT committee will be based upon an analysis of the faculty member's cumulative record against these guidelines. All concerned parties should recognize that these are only guidelines and that the performance expectations may evolve over time. Thus, decisions made in one year are not precedents for decisions made in subsequent years. Judgment will be required in interpreting the guidelines. Different individuals could reach different interpretations.

II. Performance Factors

Reappointment, promotion, and tenure decisions are based primarily upon three factors: research, teaching, and service to the profession, the institution, and the public. The guidelines divide the teaching, research, and service performance dimensions into two categories: indicators of excellence and indicators of effectiveness. The Department Chair and the RPT committee will make reappointment, promotion, and tenure recommendations based primarily on the criteria listed under the indicators of excellence and effectiveness. However, it must be recognized that faculty activities are diverse and any system based on a listing of performance indicators will be incomplete. Consequently, this system must allow individual faculty to include accomplishments outside the listing of performance indicators. The faculty member must provide evidence that unique circumstances exist for a particular accomplishment to be categorized differently or at a higher level than listed in this document.

III. Department Chair

The dean of the college appoints the Department Chair. The Department Chair is responsible for evaluating the faculty member in the three areas of research and publications, teaching, and service and making a recommendation in accordance with the Faculty Manual. In each case, teaching, research, and service must be assessed independently and rated as *excellent*, *very good*, *good*, *fair*, *marginal*, or *unsatisfactory*. It is the responsibility of the Chair to provide guidance to the faculty as to the relationship between the performance factors from each of the areas and the ratings of *excellent*, *very good*, *good*, *fair*, *marginal*, or *unsatisfactory*. An overall assessment rating must be stated in the recommendation using the same scale. The Chair is responsible for counseling the faculty member regarding the guidelines for reappointment, promotion and/or tenure and the faculty member's cumulative performance as evaluated by the Chair and the RPT committee.

IV. RPT Committee

The composition of the RPT committee is determined by the faculty by-laws. The committee is responsible for evaluating the faculty member in the three areas of research (scholarship), teaching, and service and making a recommendation in accordance with the *Faculty Manual*. In each case, teaching, research, and service must be assessed independently and rated as *excellent, effective, or ineffective*. An overall assessment rating must be stated in the recommendation using the same scale. The committee should communicate to the faculty member an assessment of his or her cumulative performance and potential for promotion and/or tenure with reference to these guidelines.

V. Administrative Procedures

1. At the beginning of the academic year, each faculty member will develop and document goals representing excellence and/or effectiveness in each of the areas of scholarship, teaching and service. The schedule of this activity will be dictated by the deadlines established by the Provost's Office. The purposes of the goal-setting process are to: (a) establish a balance between the needs of the university and the interests of the faculty member, (b) identify performance expectations using the list of performance indicators listed on pages 4-7 of this document as a guide, (c) serve as a framework for completing the *Faculty Activity System (FAS)*, and (d) ensure the faculty member is making adequate progress toward the longer range goals of promotion to higher rank and tenure. These goals will be posted on FAS, and will be reviewed by the Department Chair who will consult with the faculty member in order to ensure shared expectations. Evaluations of cumulative accomplishments (i.e., reappointment evaluations) made by the Department Chair and the RPT committee in previous years may be reviewed at this time as well. The Department Chair will then approve these goals using FAS.

In the case of non-tenured faculty, upon receipt of the proposed annual goals, the Department Chair will review them and forward these goals to the chair of the Finance RPT committee. The chair of the RPT committee, in consultation with the members of the RPT committee, will then recommend modifications to these goals, if warranted. These revised goals will then be returned to the Department Chair and the faculty member who will incorporate the modifications into the final goals. The faculty member may also request further clarification from the RPT committee. Once consensus is reached by these three parties, the Department Chair will approve the goals in FAS in their final form.

2. At the appropriate time during the academic year, the faculty member who wants to apply for reappointment, promotion or tenure must submit an application letter and supporting documentation to the RPT committee. The schedule for this activity will be dictated by the deadlines established by the Provost's Office. The RPT committee will review the cumulative performance record of the faculty member and make a recommendation to the Department Chair based on a simple majority vote. Candidates for reappointment, promotion, and tenure decisions will be evaluated using a three point ranking (*Excellent, Effective, or Ineffective*).
3. The chair of the RPT committee will meet with the Department Chair to discuss the recommendations and expectations of the committee and the recommendations and expectations of the Department Chair.
4. The Department Chair will meet with the faculty member to review the recommendation and cumulative performance documentation forwarded by the RPT committee, and to discuss the Department Chair's reappointment, promotion, or tenure recommendation. The schedule for this activity will be dictated by the deadlines established by the Provost's Office.

5. At the end of the academic year, the Department Chair will request that each faculty member post their accomplishments on the FAS system. The schedule for this activity will be dictated by the deadlines established by the Provost's Office. Faculty members will meet individually with the Department Chair to discuss the information provided on FAS. Subsequent to these discussions the Department Chair will complete *Form 3, Evaluation of Academic Personnel*, providing a formal assessment of the faculty member's performance with reference to the goals established at the start of the evaluation period. Each faculty member will have an opportunity to meet with the Department Chair to discuss the completed *Form 3*.
6. All recommendations and the annual evaluation of performance will be forwarded to the Dean for review and appropriate action.

VI. Research and Publications

Research is an integral part of a faculty member's job and it is the primary activity which keeps the content of education current, pertinent, and challenging to students. The professional reputation of the finance faculty is enhanced primarily through its research productivity within the finance discipline. Therefore, research published in refereed journals is an important performance dimension in faculty reappointment, promotion, and tenure decisions. Personnel decisions will be based primarily on research output in refereed journals rather than on research input or work in progress. However, some consideration could be given at the margin to a "revise and re-submit" paper that appears to have good chance of publication at a top-level journal. Both the quantity and quality of research and publications is important. Before submitting an article to a journal, a faculty member is encouraged to contact the chair of the RPT committee if he/she is unsure how a journal's quality is perceived. The overall number of publications necessary for promotion and tenure is not absolute and could be a declining function of the quality of the publications. Co-authorship is also considered in the RPT process. For successful promotion and/or tenure, the ability to do independent research may be a factor.

The following lists of indicators are useful guidelines for classifying behaviors, awards and outcomes. Not all indicators within a category are equally important. Consequently, the Director and RPT committee will judge the relative merits of each contribution when making performance evaluations. The category listings of indicators for teaching and service activities should be viewed similarly.

Indicators of Excellence in Research and Publications

- Publication of finance articles in top tiered refereed journals.
- Best finance paper award conferred by a professional association conference or journal.
- Best finance paper at a national or regional meeting.
- External funding for research. Support is required to show that the award resulted from a competitive process and the recipient was a principal investigator.
- University or College Research Award.

Indicators of Effectiveness in Research and Publications

- Publication of finance articles in lower tiered refereed journals.
- Publication of technical reports by research sponsors.
- Publication of finance articles in non-refereed, but widely recognized, professional journals.
- Presentation of refereed finance articles at national or regional meetings.
- Editor of a journal.

VII. Teaching

Effective classroom teaching is essential for favorable annual evaluations, positive reappointment, promotion, and tenure recommendations. A high quality course in a professional program should be academically rigorous, effectively presented, encourage maximum student learning, contain updated content, and prepare students to think critically, solve problems effectively and function successfully in business organizations. Teaching effectiveness must be documented with student evaluations, student surveys, and course syllabi. Teaching documentation may also include evidence of pedagogical innovations, academic rigor of courses, measured improvements in subject mastery by students, special teaching awards and recognition, peer review, and contributions to course development.

Indicators of Teaching Excellence

- Evidence of high level of scholarly course content, rigor in grading, and effective instructional skills, in addition to teaching evaluations above the faculty's average on the standardized college form for all regularly scheduled courses (not including independent study courses).
- Selection for a professional, university or college award.
- Significant contributions to major curriculum changes and other instructional programs.
- Generation of significant grants, donations of money and/or equipment to support the instructional mission of the department.
- Publication of a widely accepted textbook in the year of publication.

Indicators of Teaching Effectiveness

- Evidence of high level of scholarly course content, rigor in grading, and effective instructional skills, in addition to teaching evaluations at or near the faculty's average on the standardized college form for all regularly scheduled courses (not including independent study courses).
- Contributions to instructional program (e.g., effectively teaching a variety of courses in support of the academic mission of the Department).
- Peer or student nomination for a teaching award.
- Unsolicited letters of commendation from former students who have graduated.
- Laudatory comments from students on exit surveys.
- Directing independent student research.
- Development of new courses or major revisions of existing courses.

VIII. Service

Advising students, helping students secure jobs, participating at departmental functions, being available to colleagues, committee work at the department, college, and university level, working with student organizations, etc., are all internal service activities which lead to satisfied students and high quality programs. Service activities outside the university include active participation in academic and professional organizations along with professional contributions such as reviewing and serving on committees. Faculty members are expected to contribute to the service area and the extent of such contributions will be considered when reappointment, promotion, and tenure decisions are made. Consulting or other projects for which faculty members receive compensation above their contractual salary are not normally regarded as service activities.

Indicators of Excellence in Service

- Unpaid consulting or contract research agreements lending to improving or providing professional service to a member of the business community.
- Attraction of significant external development support for the department.
- Service on a major government commission, task force, or board.

- Officer in a national professional organization.
- Program, division, track or area chairperson of a national meeting.
- Editor of a journal.
- Editorial board member of a top tiered journal.
- Ad hoc reviewer for a top tiered journal.
- Grant reviewer for national research organizations.
- Chair Ph.D. dissertation or Master's thesis committees in the year completed.
- Chair of a department, college, or university committee

Indicators of Effectiveness in Service

- Officer, program, or area chair in regional professional association.
- Service on University, College, and Department task forces and committees.
- Editorial board member of a lower tiered journal.
- Advisor to student organizations.
- Outside reviewer for promotion and tenure decisions at other institutions.
- Invited participant on Doctoral/Masters committees at other institutions.
- Committee chair of national professional organization.
- Contribution to external development efforts for the Department.
- Ad hoc reviewer for a lower tiered journal.
- Administrative roles within the School.
- Speeches to major academic and practitioner groups.
- Active member of a department, college, or university committee.
- Member Ph.D. dissertation or Master's thesis committees in the year completed.
- Session chair, reviewer, or discussant for academic or professional meeting.
- Significant community service that utilizes professional skills.
- A commitment to quality academic advising and mentoring for students.

IX. Reappointment, Promotion, and Tenure Criteria

Reappointment of Tenure-track Faculty

Reappointment decisions for tenure-track faculty are based on judged progress toward promotion to associate professor and tenure. In the early years, such decisions are made on the basis of potential, reported research activities, and the perceived commitment to teaching. In later years, potential should be realized and tenure and promotion predictable given trends in teaching, research, and service. Reappointment for one or more years signals only that the candidate is performing well enough to allow the probationary period to continue. Reappointment during the probationary period does not mean that further reappointment or tenure will necessarily follow. The tenure decision takes place in the candidate's penultimate year and, although based partly on annual reappointment recommendations, is a separate decision. This is an unavoidable consequence of the unusually extensive and long-range evaluation that is an integral part of the tenure review. While reviews for reappointment to the fourth year and beyond will become especially extensive, they fulfill a purpose that is distinct from, and subordinate to, the tenure review.

Reappointment of Non-tenure-track Faculty

Non-tenure-track faculty (lecturers and senior lecturers) are reappointed on an annual basis or otherwise in accordance with the Clemson University *Faculty Manual*. For non-tenure-track faculty requesting reappointment, the primary considerations will be the needs of the Department,

the faculty member's contributions to the overall academic environment at Clemson University, and the quality of the educational experience that they provide to their students.

Promotion and Tenure

The following represent the **minimum criteria for promotion and tenure**. Tenure is not granted at the assistant professor rank. Meeting the minimum criteria does not imply automatic promotion or tenure. Several (3-5) top scholars working in their particular areas will be called upon to review the research records of individuals requesting promotion and/or tenure. These outside reviewers will be chosen independently and contacted by the Department Chair. Co-authors and members of the candidate's dissertation committee are ineligible to write review letters. The purpose of the outside review is to obtain an independent, external evaluation of the research output, which can be used as one element in the promotion and tenure decision.

Promotion to Associate Professor and Tenure

- Earned doctoral degree in a relevant discipline.
- Six years of tenure-track experience in a university of which at least three years must be at Clemson University.
- Tenure track experience must be consistent with the definition published in the *Clemson University Faculty Manual*.
- Demonstrated **research excellence**.
- Demonstrated teaching and service effectiveness.
- Evidence to indicate continued excellence in research and effectiveness in teaching and service.

Promotion to Full Professor

- Earned doctoral degree in a relevant discipline.
- Nine years of relevant, full time experience.
- **Demonstrated excellence in research and one other area, and effectiveness in the remaining area.**
- Evidence to indicate continued excellence in research and one other area, and effectiveness in the remaining area.

Tenure if appointed at the Associate or Full Rank

- Earned doctoral degree in a relevant discipline.
- Six years of tenure-track experience in a university. If the person is appointed as an associate professor, one year must be at Clemson University.
- Tenure track experience must be consistent with the definition published in the *Clemson University Faculty Manual*.
- **Demonstrated research excellence.**
- Demonstrated teaching and service effectiveness.
- Evidence to indicate continued excellence in research and effectiveness in teaching and service.

X. Documentation for Reappointment, Promotion, and/or Tenure Decisions

In addition to a current copy of the faculty member's resume; copies of research articles, scholarly books, and proceedings; letters of acceptance; and copies of evaluations of teaching performance, the following documentation is suggested to be provided for reappointment, promotion and tenure decisions:

Teaching and Instruction

- Letters documenting teaching awards or honors.
- Copies of course syllabi.
- Summaries of course grades and comparisons with faculty and course norms.
- Other documentation on teaching effectiveness that the faculty member feels is relevant.

Research and Publications

- Reprint requests and unsolicited letters, which evaluate research and publications.
- Other information that documents research productivity and impact, e.g., citation analyses.

Service to the Public and Profession

- Documentation of outreach efforts to the business community.
- A listing of professional and practitioner organizations and offices held.
- Documentation of awards or honors received through service efforts.
- Published reviews or critiques written by the candidate on the scholarly works of others.
- A listing of activities at national and regional meetings.
- Other documentation on service to the profession.

For tenure and promotion decisions, each candidate should provide the RPT committee with the following items to be submitted via. The Clemson University e-TPR (on-line) notebook for Tenure, Promotion and Reappointment review.

1. Letter requesting reappointment, promotion, and/or tenure.
2. Request for Faculty Personnel Action form (Routing Slip) with all appropriate signatures.
3. Detailed vita.
4. Specific evidence in support of teaching, research, and service activities (if not included in the vita) including the following:
 - a. A brief statement of the candidate's teaching philosophy.
 - b. A copy of summary sheets of the Teaching Effectiveness Evaluation forms and a reasonable number of student comments sheets for all classes taught during the preceding two semesters. Summary statistics may be developed and included.
 - c. Any other evidence of teaching effectiveness such as senior exit survey results, alumni surveys, faculty peer review comments, activities involving students in research activities, etc.
 - d. A brief statement of philosophy on research.
 - e. Evidence of research activities not addressed in the detailed vita.
 - f. A brief statement of philosophy on service.
 - g. Evidence of service activities not addressed in the detailed vita
5. Copies of the Faculty Evaluation Form 3 for the last three years.
6. Statements of short and long-term goals. These may be combined with the philosophy statements noted in 6(a), 6(d), and 6(f).
7. Description of administrative duties, if applicable.
8. Any clarifying statements or additional information (supplementary to the vita) a tenure, promotion, or reappointment candidate wishes to have included in the RPT Executive Summary Notebook. (5 pages maximum; optional).

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