GENERAL GUIDELINES FOR FACULTY DEVELOPMENT AND PERFORMANCE

DEPARTMENT OF MANAGEMENT
COLLEGE OF BUSINESS AND BEHAVIORAL SCIENCE
CLEMSON UNIVERSITY

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The General Guidelines for Faculty Development and Performance have been established jointly by the Tenure, Promotion, and Reappointment Committee and the Chair of the Department of Management, and approved by the Dean of the College of Business and Behavioral Science and the Provost of Clemson University. The Guidelines present the criteria that are used in annual performance evaluations, and reappointment, promotion, and tenure decisions. Five major areas are covered: (1) guiding principles; (2) responsibilities of the Department Chair, the individual faculty member, and the Tenure, Promotion, and Reappointment Committee; (3) performance criteria and standards for research, teaching, and service; (4) annual evaluation of all faculty; and (5) reappointment, promotion, and tenure. A major objective of the Guidelines is to clarify and supplement the general policies set forth in the Clemson University Faculty Manual (Part IV: Personnel Practices; Section E: Annual Performance Evaluation, and Section G: Tenure Policies).
GUIDING PRINCIPLES

University Guidelines

Consistent with the mission of Clemson University, the faculty of the College has three responsibilities: teaching, research, and service. Assessing these activities is difficult, particularly as faculty try to allocate their time to each of these and link that distribution of effort to the reappointment, promotion, and tenure processes. However, this allocation process can be more clearly developed around the concept of faculty as a “community of scholars” whose primary responsibility is to seek and communicate knowledge. Therefore, each faculty member should be evaluated on his/her accomplishments in research (discovery, integration, and application) and teaching (curriculum, laboratory, and course delivery and development). Only those faculty members judged to be high in these qualities should be supported for reappointment, promotion, and tenure. Judging the effectiveness and dedication of faculty to scholarship is challenging. However, based on the Faculty Manual (July 2007), some basic tenets are identified that guide such an evaluation.

1. As professionals, faculty members are expected to display exemplary ethics and integrity.
2. Faculty members have responsibilities to their students. They shall encourage in students the free pursuit of learning and independence of mind, while holding before them the highest scholarly and professional standards.
3. Faculty members also have responsibilities to their colleagues, deriving from their common membership in a community of scholars.
4. Faculty members have responsibility to their disciplines and to the advancement of knowledge generally.
5. Faculty members have responsibilities to the university. Thus, faculty members shall accept a reasonable share of the responsibility for the governance of the university.
6. Faculty members are expected to exhibit and maintain mastery of their fields, whether they are appointed primarily for teaching, research, public service, librarianship, or administration.
7. It is the responsibility of academic administrators to keep faculty members clearly informed as to the duties required or expected of them.
8. Departmental faculty members, through a peer review process, are the primary judge of faculty qualifications. The details of the peer evaluation process vary among departments, but are set forth in departmental guidelines.
9. A major responsibility of faculty members is to share their knowledge through their teaching to the benefit of their students and a broader society.
10. Faculty members are expected to direct their scholarly activities toward those areas that are consistent with the mission of the university, college, and the individual school or department.

Departmental Principles

In addition to and consistent with the University Guidelines, the following principles provide a foundation for the Department of Management Guidelines:

1) Research is broadly defined in this document to include publication of basic and applied research as well as scholarly activities which support the mission of the university and college.
2) Department faculty members expect colleagues to make contributions to teaching, research, and university and professional service. Faculty contributions to teaching, research, and service can result from a variety of activities including funded and unfunded research, teaching, professional writing (e.g., journal articles, books, chapters), business extension activity, and approved consulting.
3) Department faculty members expect colleagues to participate in professional development activities.

4) Faculty members have different interests and strengths, and there is no single model of excellence in teaching, research, and service accomplishments.

5) Faculty activities are diverse and any system based on a listing of performance indicators will be incomplete. Consequently, this system must allow for individual faculty members to include accomplishments outside of those presented or to provide evidence that unique circumstances exist for a particular accomplishment to be categorized differently or at a higher level than listed in this document.

6) Extraordinary exceptions such as disciplinary actions or leaves of absence will be incorporated into the performance evaluation system on a case-by-case basis at the discretion of the Department Chair. The Department Chair will consult with the Tenure, Promotion, and Reappointment (TPR) Committee when extraordinary exceptions will affect reappointment, promotion, and/or tenure decisions.

7) Performance standards for annual evaluations, reappointment, promotion, and tenure may increase or otherwise change as the university and college missions change. Personnel decisions made in a given year are not necessarily precedents for decisions made in subsequent years.

8) The qualities of a good university professor cannot be reduced to a rigid formula. Factors such as the quality and impact of a faculty member's scholarly activities and citizenship behaviors, departmental and college needs, judgments of a faculty member's future research productivity, teaching effectiveness, and collegiality are all important, but based on the professional judgments of the Department Chair and the TPR Committee.

**RESPONSIBILITIES**

The responsibilities of the Department Chair, faculty member, and TPR Committee are outlined below:

**Responsibilities of the Department Chair**

1) Ensure that the faculty member's goals and proposed distribution of effort are balanced with respect to the needs of the university, the department, and the interests of the faculty member. The goals must also be consistent in spirit and letter with the Faculty Manual.

2) Ensure that an individual faculty member's goals are reasonable and fair based on the faculty member's career.

3) Ensure that professional development activities are represented in the goals of the faculty member.

4) Clarify the extent to which the resource needs of the faculty member can be met by the university, and review alternative sources for the support of the faculty member's goals.

5) Disclose fully to the faculty member the basis for the performance evaluation.

6) Counsel the faculty member in good faith regarding the department's standards for reappointment, promotion, and tenure and the faculty member's cumulative performance as evaluated by both the Department Chair and the TPR Committee.

**Responsibilities of the Faculty Member**

1) Pursue the types of scholarly and professional development activities that lead to fulfillment of the university, college, and department missions.

2) Approach the goal setting process in good faith with reasonable and challenging goals that reflect a commitment to continuous improvement in all areas.
3) Ensure that his/her goals and distribution of effort are consistent in spirit and letter with the Faculty Manual.
4) Provide appropriate documentation to support reported accomplishments and submit all materials by the established deadlines.
5) Create a cumulative performance record that will support requests for reappointment, promotion, and tenure.

Responsibilities of the Tenure, Promotion, and Reappointment Committee

1) Ensure that the current expectations regarding an individual faculty member's cumulative accomplishments are consistent with the expectations made of other faculty members of similar seniority.
2) Disclose fully to the faculty member the basis for the performance evaluation.
3) Communicate to the faculty member in good faith an assessment of his/her potential for promotion and tenure with reference to the department's standards, and the faculty member's cumulative performance.
4) Make departmental guidelines available to faculty members on their appointment and follow those procedures and guidelines consistently.
5) Ensure that all committee members, other than those on leave, participate in tenure recommendations.

PERFORMANCE CRITERIA AND STANDARDS

Dimensions of Performance

The Guidelines divide the research, teaching, and service performance dimensions into two categories: "indicators of excellence" and "indicators of effectiveness." The indicators listed throughout the Guidelines are illustrative and consequently represent an incomplete listing of possible faculty activities. Additional indicators may be added to the Guidelines at the request of a faculty member with the agreement of the Department Chair and the TPR Committee. The faculty member may also provide evidence that unique circumstances exist for a particular accomplishment which would allow it to be categorized differently than listed in this document. Attainment of one "indicator of excellence" need not result in an evaluation of excellent for that dimension. On occasion, an indicator will specify a time frame (e.g., chair of a dissertation in the year defended). This time frame is provided to assist faculty in the preparation of their annual report of accomplishments.

Research

Research published in refereed journals or scholarly books is an essential performance dimension in the annual evaluation and in faculty reappointment, promotion, and tenure decisions. Additional external evidence of successful research, such as those listed as "indicators of excellence," are also highly valued, but in the absence of a successful publication record, tenure-track faculty members should not expect favorable reappointment, promotion, and tenure decisions.

Both the quality and quantity of research and publications are important. However, quality of contribution to the body of knowledge in a faculty member's area of interest is the major criterion. Indices of quality include: publication in leading scholarly journals, publication of scholarly books, peer recognition through research and publication awards, membership on prestigious editorial boards, citation counts, and significant external funding for research. Collaboration in research and publications is desirable, but faculty members should develop a balanced publication record that also includes single or senior-authored
works. External funding of research will be an indicator of excellence only when such research seeks to contribute to the body of knowledge or to student development.

**Indicators of Research Excellence**

- Publication/acceptance in a leading refereed journal (Academic Discipline Groups will suggest leading refereed journals)
- Publication of refereed cases in leading case journals and/or acclaimed simulations which support academic research.
- Chair of a dissertation or thesis committee in the year defended.
- Research publication that receives special recognition (e.g., best in a volume).
- Major editorial responsibility (e.g., Editor, Senior Editor, Departmental Editor, Editor of a special issue, Associate Editor) of a leading refereed journal.
- Appointment to the editorial review board of a leading refereed journal (in the year of appointment).
- Publication by a major publisher of a scholarly book or monograph for researchers or practitioners.
- Funding of research by a major external institution such as NSF or Fulbright (selected on the basis of scholarly review).
- Recognition from a national professional association for scholarly contributions in research over time (e.g., Fellow of the Academy) in the year given.
- Delivering the keynote address or an invited special lecture at a major professional body, respected academic institution, conference, or thought leadership forum.

**Indicators of Research Effectiveness**

- Publication of professional books.
- Publication/acceptance in a well regarded refereed academic or practitioner journal (Academic Discipline Groups will suggest well regarded refereed journals).
- Editor of a well regarded refereed journal.
- Editorial review board of a leading refereed journal (after year of appointment).
- Appointment as Editor of a special issue of a well regarded refereed journal.
- Appointment to the editorial review board of a well regarded refereed journal (in the year of appointment).
- Funding of research by an external institution (e.g., a corporation).
- Award from a regional professional association for scholarly contributions in research over time (in the year given).
- Member of a dissertation committee in the year defended.
- Refereed papers (includes proceedings publications, if any) presented at prestigious national meetings (e.g., Decision Sciences, Academy of Management).
- Organizing and conducting a refereed symposium at a prestigious national meeting.
- Ad hoc reviewer for a leading refereed journal or of proposals for a research institution such as NSF.
- Publication of refereed cases.
- Significant research accomplishment by graduate student advised
- Submission of grant proposal to a major external institution such as NSF or Fulbright (selected on the basis of scholarly review)
Teaching

Teaching effectiveness must be documented with student evaluations, course syllabi, and grade distributions. 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 teaching skills, in addition to outstanding teaching evaluations on the standardized department form for all courses taught.
- Development of new pedagogical methods and materials that have demonstrated a significant impact on learning over the last academic year (i.e., at least two semesters).
- Selection for a professional, university, college, or department teaching award.
- Publication of textbooks (1st edition in the year published).
- Publication of pedagogical methods in a refereed teaching journal.
- Significant contributions to major curriculum changes and other instructional programs.
- Recognition from a national professional association for scholarly contributions in teaching over time (e.g., Fellow of the Academy) in the year given.
- Generation of significant grants or donations of money and/or equipment to support the instructional mission.

Indicators of Teaching Effectiveness

- Evidence of high level of scholarly course content, rigor in grading, and effective teaching skills, in addition to outstanding teaching evaluations on the standardized department form for one regularly scheduled course (not including an independent study course).
- Contributions to instructional programs (e.g., effectively teaching a variety of courses in support of the academic mission, development of a new course, creation of student projects to support a program, teaching an independent study course).
- Evidence of successful development of doctoral students through mentoring efforts that result in their success in teaching and scholarly activities.
- Award from a regional professional association for scholarly contributions in teaching over time (in the year given).
- Revision of textbooks (in the year published)
- Creative Inquiry initiatives
- Unsolicited letters of commendation from former students who have graduated.
- Laudatory comments from students during formal exit interviews.

Professional and Public Service

Faculty members are expected to contribute to the service area consistent with their level of appointment and consistent with the mission of the college. The extent of such contributions will be considered when reappointment, promotion, and tenure decisions are made.

Indicators of Service Excellence
Professional Service (Academic)
- Officer of a national professional association.
- Program chair or track chair for a national or regional professional meeting.
- Chair of a departmental, college, or university committee.
- Generation of significant grants or donations of money and/or equipment to support the academic mission.
- Coordinator of a significant faculty development program.
- Significant administrative service at the department, college, or university level.
- Editor of a professional newsletter (e.g., Decision Line).
- Advisor to an academically oriented student professional organization (e.g., DPMA).

Public Service
- Service on a major government commission, task force, or board for which no compensation has been received.
- Public recognition for contributions to a business professional society.
- Significant business extension activity for which no compensation has been received.
- Appointment to a board of directors for a nonprofit organization based on professional expertise.
- Published studies for local / state / federal government organizations

Indicators of Service Effectiveness

Professional Service (Academic)
- Membership on department, college, and university committees.
- Generation of grants or donations of money and/or equipment to support the academic mission.
- Advisor to on-campus student organizations.
- Laudatory comments by students regarding student advising as indicated in the Advising Survey
- Participation in department faculty recruiting activities.
- Session chair at a regional or national meeting.
- Expert witness testimony

Public Service
- Resource person for a government agency or professional business society.
- Business extension activity for which no compensation has been received.
- Member of the board of a professional business society.
- Instructor of industry short courses for professional development or certification.
- Guest speaker at meetings of professional organizations, schools, or public service groups.
- Consultant to Small Business Institute (or similar public agency).

The following sections discuss the specifics of the annual evaluation conducted by the Department Chair, and the reappointment, promotion, and tenure recommendations made by the Department Chair and the TPR Committee. It is expected that the accomplishments of each faculty member will reflect the goals established with the Department Chair, be responsive to past evaluations of the TPR Committee, and be
consistent with the faculty member’s career stage. A rating below “good” for any performance dimension or for an overall evaluation is cause for serious concern to the Department of Management.

ANNUAL EVALUATION

Clemson University’s Faculty Manual (Part IV, Section E: Annual Performance Evaluation) requires that Department Chairs conduct an annual evaluation of all faculty, regardless of rank or tenure status. The evaluation will comprise of two parts: goal setting and assessment.

Goal Setting:

1. The faculty member will set goals for research, teaching, and service as well as standards (performance indicators) to be used for evaluation. Faculty goals will be assessed and approved by the Department Chair. If the chair disagrees with the goals and/or standards, the chair and faculty member should meet to resolve the disagreement.

2. The Department Chair will then communicate this information to the TPR committee chair (for all non tenured faculty members) who will in turn share it with the TPR committee. If the committee disagrees with the goals or standards the department chair and faculty member should meet with the TPR committee to resolve conflicts.

Performance Assessment

1. The Department Chair will provide each faculty member with a narrative and summary rating based on the faculty member’s accomplishments relative to the goals established during the goal setting process and contributions to the department’s mission during the one year evaluation period. Consistent with the Clemson University Faculty Manual, this rating will serve as the basis for merit pay adjustments. In the event of fluctuations in salary funding levels over time, the Department Chair reserves the right to consider faculty performance across more than one year in determining discretionary pay increases.

2. The TPR committee will independently evaluate tenure track faculty members with a narrative and summary rating and send its evaluation directly to the dean. Thus two independent evaluations will be available for each tenure track faculty member.

In general, the evaluation could also include professional development goals (e.g., workshops in proposal writing, innovative teaching pedagogy, statistical analyses, and professional certification) agreed upon during the first part of the academic year. The Department Chair may consider information not furnished by the faculty member in the annual evaluation when it is considered relevant to the faculty member’s performance. The use of such information will be disclosed fully to the faculty member.

Assistant professors are expected to establish goals and engage in activities which will result in positive reappointment, promotion, and tenure recommendations as discussed in the following section,

REAPPOINTMENT, PROMOTION, AND TENURE.

Associate professors are expected to establish goals and engage in activities which will result in positive reappointment, promotion, and/or tenure recommendations, as relevant.
Full professors are expected to assume a greater responsibility than other faculty members for service to
the department, university, and profession. In addition, full professors are expected to exhibit leadership
through the development of junior faculty and conspicuous success in all assigned areas of responsibility.

Lecturers, instructors, and other non-tenure track faculty are expected to establish goals and engage in
activities which result in a high quality educational experience for Clemson University students.

REAPPOINTMENT, PROMOTION, AND TENURE

The TPR Committee and the Department Chair are responsible for making independent reappointment,
promotion, and tenure recommendations in accordance with the procedures set forth in the Clemson
University Faculty Manual. Departmental procedures described below are consistent with the Faculty
Manual (Part IV: Personnel Practices; Section D: Procedures for Renewal of Appointment, Tenure, and
Promotion; and Section G: Tenure Policies).

Reappointment

Non-tenured faculty members are reappointed on an annual basis. One major purpose of the annual
reappointment evaluations is to provide career counseling to faculty members as they prepare to obtain
tenure. In general, as a faculty member's career progresses, it is expected that he or she will engage in an
increasing proportion of activities listed as indicators of excellence in the PERFORMANCE CRITERIA AND STANDARDS section of the Guidelines.

For non-tenure track faculty requesting reappointment, the primary consideration will be their
contributions to the overall academic environment at Clemson University, and the quality of the
educational experience provided to their students. Teaching portfolios and student evaluations are the
only required documentation for these reappointment requests.

For tenure track faculty, reappointment recommendations will be based on the relationship between a
faculty member's cumulative performance and the current standards for promotion and tenure. A formal
reappointment recommendation will be provided, along with an assessment of overall performance,
research, teaching, and service performance, and progress toward promotion and tenure. Positive
recommendations for reappointment will be made if the Department Chair and/or the Tenure, Promotion,
and Reappointment Committee believe that the faculty member has the potential to earn promotion and/or
tenure. However, a series of favorable reappointment decisions made prior to the faculty member's
penultimate year does not necessarily guarantee a favorable tenure recommendation. Detailed information
regarding tenure decisions is presented in a separate section of the Guidelines.

Promotion

Promotion to Assistant Professor

Instructors in tenure track positions are usually considered for promotion after completion of the terminal
degree. Persons appointed to this rank should show evidence of ability to meet the requirements for
advancement in faculty rank.

Promotion to Associate Professor
The primary concern for assistant professors desiring promotion should be to establish a productive pattern of research and publications in academic refereed journals, including reasonable evidence of the candidate’s potential impact in their field, and to develop competence in teaching and service. Service contributions generally will be limited to departmental and college academic affairs until research and teaching competencies are well established. Performance expectations will increase with each year of service.

An assistant professor with a terminal degree and four years of relevant experience is eligible for promotion to the rank of associate professor. Promotion to associate professor requires clear evidence of a consistent and continuous commitment to research, including evidence of excellence in research (top tier publications) as well as indicators of effectiveness. Assistant professors requesting promotion to the rank of associate professor must also demonstrate effectiveness in teaching and service.

**Promotion to Full Professor**

Associate professors preparing for promotion should continue to emphasize excellence in teaching and scholarship, especially research and publications. Effectiveness in service is also expected. A total of nine years of relevant experience is required for promotion to the rank of full professor. A necessary but not sufficient condition for promotion to full professor is excellence in research. Prior to promotion to full professor a faculty member is expected to have established a national and/or international reputation for his/her research and professional expertise, and to serve as a role model for junior faculty.

**Tenure**

**Philosophy**

Achieving tenure at a major university is a selective process. Tenure is granted for exemplary research and teaching, and should be regarded as a career milestone rather than a career objective. Although tenure provides a high degree of job security, it should also herald the beginning of a productive career that brings further promotions and rewards.

The concept of tenure evolved primarily to ensure academic freedom. However, a favorable tenure decision represents a major financial commitment by the university, and may have a significant impact on the quality of a program or department for years to come. The practice of granting tenure in institutions of higher learning has also come under increasing public scrutiny and criticism. Consequently, the Department Chair and TPR Committee must take their responsibilities in this regard very seriously, viewing tenure as an item that should not be conferred lightly.

**Standards**

The TPR Committee and Department Chair base their tenure recommendations on a faculty member’s research, teaching, and service accomplishments and his or her potential for growth and advancement. The evaluation of research accomplishments will include an external peer review. An overall evaluation of “very good” in the penultimate year is the minimum level of cumulative performance required for a positive tenure recommendation.

Independent of the level of cumulative performance, convincing evidence must be provided by a faculty member that he or she will continue to engage in quality scholarly activities and grow professionally after tenure has been granted. To some extent, this evaluation must be based on the professional judgment of those making the recommendation. Indicators of future professional growth and research include: 1) a steady stream of research activities that indicates an increasing quality of research, 2) the development of
a research program or agenda that will enable the faculty member to develop a national or international reputation as an expert in an academic specialty area, 3) a demonstrated independence of research, rather than a continued reliance on mentors or colleagues for scholarly ideas and research projects; that is, tenured faculty should be scholarly leaders as well as strong research colleagues, 4) a progressive improvement in teaching endeavors and the use of pedagogical innovations, and 5) the establishment of long-term commitments to one’s academic professional group and peers.

The candidate’s file should include up to five external letters, with a minimum of three letters required and four letters strongly recommended. The Chair of the TPR Committee should solicit these letters. All evaluators should be recognized contributors to their field as indicated, for example, by tenure at a major research university, publication record, editorial responsibilities, citation counts, or major awards. When selecting evaluators, their relationship to the candidate must be considered. The candidate can suggest names but at least three of the reviews should be from persons not suggested by the candidate. Letters from names suggested by the candidate should be clearly marked. External evaluators should be sent a package including but not restricted to the candidate’s vita, sample publications, and a copy of the departmental criteria for tenure and promotion.

Post Tenure Review

Clemson University policies and procedures for post tenure review are explained in the Faculty Manual (Part IV: Personnel Practices, Section H: Post Tenure Review). The Department of Management establishes a separate committee each year for post tenure review. Policies and procedures for the departmental post tenure review committee are contained in the Department of Management By-Laws.
APPENDIX - SUPPORTING DOCUMENTATION

The following items may be used to document and support accomplishments reported on the vita, annual report, and/or request for reappointment, promotion, or tenure. Other sources of documentation may also be appropriate.

### Research

- Copies of research articles, textbooks, books of readings, simulations, scholarly books, and cases
- Letters of acceptance for articles, and scholarly books
- Unsolicited reviews or critiques written by others on the candidate's journal publications, cases, and scholarly books
- Reprint requests and unsolicited letters which evaluate research and publications
- Information on journals in which the candidate has published (e.g. topical content and scope, editorial policies, and acceptance rates)
- Other information that documents research productivity and impact
- Dissertation and theses chairperson activities
- Professional development activities
- A summary of the candidate's long term research program, including primary areas of study and their relationship to past and future research activities*
- Documentation supporting indicators of excellence or effectiveness not listed in the Guidelines
- External reviews (required for tenure and promotion to Full Professor)

### Teaching

- Student evaluations of teaching effectiveness for all courses taught and summaries of course grades (required)
- Copies of course syllabi (required)
- Letters documenting teaching awards or honors
- Unsolicited letters from former students (no longer subject to evaluation) documenting teaching effectiveness
- Solicited letters from former students documenting teaching effectiveness*
- Examples of unique teaching methods and innovations
- Other documentation on teaching effectiveness
- Professional development activities
- A long term plan for the continuous improvement of course content and presentation*
- Documentation supporting indicators of excellence or effectiveness not listed in the Guidelines

### Service to the Public and Profession

- A listing of professional 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
- Copies of reports from task forces, committees, or advisory groups
- Other documentation on service to the profession and public
- Documentation supporting indicators of excellence or effectiveness not listed in the Guidelines

*Tenure and promotion requests only.