

MISSOURI STATE UNIVERSITY

PERIODIC REVIEW OF REAPPOINTMENT (OR RENEWAL OF CONTRACT),
TENURE, PROMOTION GUIDELINES

DEPARTMENT: Finance and Risk Management

COLLEGE: College of Business

SEMESTER/YEAR OF CURRENT REVIEW: Spring 2023

SEMESTER/YEAR OF NEXT REQUIRED REVIEW: Spring 2026

DEPARTMENT ADOPTION SIGNATURES:

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Department Personnel Committee Chair Date

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APPROVAL SIGNATURES:

[Signature] 4-1-23
Dean Date

Chris Craig April 3, 2023
Provost Date

THIS PLAN IS IN EFFECT FROM 2023 , THROUGH 2026 .

**DEPARTMENT OF
FINANCE AND RISK MANAGEMENT**

MISSOURI STATE UNIVERSITY

**GUIDELINES FOR ANNUAL REVIEW,
TENURE, AND PROMOTION**

Effective June 1, 2023

FINANCE AND RISK MANAGEMENT DEPARTMENT GUIDELINES FOR ANNUAL REVIEW, TENURE, AND PROMOTION

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FINANCE AND GENERAL BUSINESS DEPARTMENT GUIDELINES FOR ANNUAL REVIEW, TENURE, AND PROMOTION

I. Overview

The following Guidelines for Annual Review, Tenure, and Promotion for the Finance and Risk Management Department at Missouri State University (Guidelines) are adopted to: (1) promote the fulfillment of the Finance and Risk Management Department (“FRM”) and College of Business (“COB”) Goals & Objectives and Mission Statements; (2) satisfy requirements of the Missouri State University (“MSU” or the “University”) Faculty Handbook (“FH”); (3) assist faculty members serving on FRM committees in evaluating faculty performance for tenure, promotion and reappointment; and (4) provide guidelines to help faculty members attain departmental and personal professional goals. Departmental guidelines and documentation requirements are required by FH 4.6 and FH 4.8.5.

These guidelines are based on the FH, MSU Provost’s FH Checklist for Promotion and Tenure criteria, COB requirements, and the FRM Department’s Goals and Objectives. The review process of applications for tenure and/or promotion through the Department Personnel Committee (“DPC”), Department Head (“DH”), Dean and Provost are outlined in FH 4.6.

A terminal degree is required for the tenure and promotion of a ranked faculty member. A terminal degree refers to an earned doctorate in the individual’s discipline or such other degree standard established by a specific profession/discipline and approved by the appropriate college Dean and the Provost. For the FRM Department, the appropriate terminal degrees are an earned Ph.D., DBA, J.D., or equivalent.

Each faculty member is responsible for contributing to the FRM, COB, and University mission, goals, and objectives through his/her tri-partite responsibilities in teaching, research, and service. While no single faculty member is expected to contribute to every specific objective, and faculty members are encouraged to emphasize areas where their talents are most beneficial to the department, there is an individual and collective responsibility to assist in a meaningful contribution to the fulfillment of those objectives.

Changes to these FRM Guidelines should be approved by a majority vote of ranked faculty members no later than shortly after the beginning of the Spring semester of the academic year prior to implementation.

Useful Websites:

The Missouri State University FH can be found at the following website: https://www.missouristate.edu/Policy/Chapter3/G3_03_FacultyHandbook.htm.

The Provost’s Calendar for Faculty Evaluation, Tenure & Promotion, and Reappointment (the “Provost’s Calendar”) can be found at the following website: <https://www.missouristate.edu/EVPProvost/FacultyAffairs/FacultyResources/TenureAndPromotion/default.htm>.

Throughout the remainder of this document, any mention of a “Provost-required” form can be found at the following website: <https://www.missouristate.edu/provost/tpappointments.htm>.

II. Annual Review of Faculty Members

A. Non-Probationary Faculty Annual Activity Report

Each non-probationary faculty member, by a deadline established by the DH or Provost's Calendar in the early part of the Spring semester, shall submit to the DH an Annual Activity Report in the format designated by the COB and the FRM Department, specifying his/her contributions to teaching, research/scholarly and service activities. Each non-probationary faculty member shall also update the teaching, research/scholarly and service activities in Faculty Success and submit annual AACSB Faculty Qualification forms by the appropriate deadline established by the Dean.

B. Probationary Faculty Annual Reappointment Reviews

For probationary faculty members (i.e., untenured ranked faculty), the Annual Reappointment Review will satisfy the requirement of an Annual Performance Review. The Annual Reappointment Review of probationary tenure-track faculty members will conform to FH 4.6.1, FH 4.6.2, FH 4.6.6 requirements and the timeline set forth in FH 4.6.3 and the Provost's Calendar. Each probationary faculty member shall also update the teaching, research/scholarly and service activities in Faculty Success and submit annual AACSB Faculty Qualification forms by the appropriate deadline established by the Dean.

In place of the Annual Activity Report forms used by non-probationary faculty, probationary faculty members will instead submit materials to the DH in three binders, the format of which is described in Section V. Upon receipt of the binders from non-probationary faculty, the DH shall provide the binders to the DPC, which will first review the material and provide a detailed written evaluation and recommendation to the probationary faculty member using the appropriate Provost-required form in accord with FH 4.6.3 and the requirements detailed in this FRM Guidelines document. The DPC will evaluate the faculty member's cumulative record as he or she progresses toward tenure and will specify one of three outcomes:

1. Progress toward tenure/promotion is satisfactory.
2. Progress toward tenure/promotion is questionable.
3. Progress toward tenure/promotion is unsatisfactory.

The DPC's evaluation, recommendations and candidate's binders shall be forwarded to the DH, who will add his/her evaluation and recommendation using the appropriate Provost-required form to those of the DPC and forward the dossier and recommendations to the Dean. In accord with FH 4.6.1, copies of evaluations and recommendations at each level shall be provided to the candidate, who shall undersign those evaluations (to acknowledge receipt) before the evaluations, recommendations and accompanying packet is sent to the next level. (The candidate's signature does not imply that the candidate endorses each of the recommendations.)

For reappointment, the probationary faculty member should generally have demonstrated satisfactory performance and progress toward tenure in the areas of teaching, research, and service, consistent with departmental and college goals and objectives, and should comply with expectations specified in his/her original (or modified) MSU employment contract. However, meeting minimal expectations for annual reappointment is not a guarantee of tenure and promotion. A probationary faculty member should take immediate steps to address any concerns noted in annual evaluations.

In the case of a nonrenewal recommendation for a probationary faculty member, all of the evaluations and recommendations shall be forwarded to the Provost. At each step, the DPC chair or appropriate administrator shall sign the evaluation/recommendation and the probationary faculty member shall also

sign the evaluation to acknowledge receipt. Non-renewal recommendations will follow the timeline set forth in FH 4.6.3 and the Provost's Calendar.

C. Annual Review with Department Head

After submitting the materials described in either Section II.A or Section II.B above, each faculty member shall meet with the DH to discuss prior performance and future performance objectives. In order to receive a satisfactory review, the faculty member shall maintain faculty qualifications consistent with AACSB accreditation requirements, as described in the COB Policy Manual.

The DH will provide each faculty member with a written evaluation of the performance review of teaching, research and service shortly after the review meeting using the appropriate Provost-required form. This written evaluation shall be signed by the faculty member and DH and placed in the faculty member's personnel file (The candidate's signature does not imply that the candidate endorses each of the recommendations). This evaluation and the faculty member's written response, if any, will be available to the DH and to the DPC for reappointment, tenure, or promotion considerations.

III. Tenure and Promotion

A. Key Points Regarding Tenure from the *Faculty Handbook*

The following are key points regarding tenure, which are described in detail in Section 3.7.2 of the FH:

1. Each decision is individual and is based on a faculty member's specific assignment in conjunction with performance standards identified by the University, the COB, and the FRM Department.
2. The responsibility for meeting deadlines for applications and providing required documentation lies completely with the individual faculty member, and tenure will not be granted to faculty who fail to apply by the specified time and/or those who fail to include all required documentation.
3. Meeting minimum standards may be insufficient for purposes of tenure and promotion. The decision to grant tenure and promotion is inherently judgmental. The DPC has both an obligation and the professional responsibility to apply its collective judgment to each individual tenure and promotion decision. The candidate has an equal obligation to demonstrate his or her relative merit beyond that of basic competence.
4. No faculty member will be offered tenure upon hire unless (1) the candidate's credentials satisfy the department's standards for tenure and promotion and (2) a majority of the tenured departmental faculty at or above the candidate's rank vote to approve the tenure offer (FH 3.8.2.).

B. Tenure and Promotion to Associate Professor as a Joint Decision

In the FRM Department, non-tenured Assistant Professors must concurrently apply for tenure and promotion to Associate Professor. The same performance criteria are used both to award tenure and to award promotion. A candidate will not be awarded tenure unless they are also promoted to Associate Professor and vice versa.

C. Eligibility to Apply for Tenure and Promotion to Associate Professor

The rank of Associate Professor is reflective of one who has demonstrated a sustained record of achievement and effectiveness in Teaching, Research, and Service appropriate to the discipline (FH 3.3.2). An Assistant Professor is normally reviewed for tenure and promotion to Associate Professor during the **sixth year** (FH 4.6.4.1), although individuals may apply prior to the final year stated in the faculty member's initial letter of employment in exceptional circumstances. Additionally, an experienced faculty member may come to MSU and be granted credit for prior service at another institution (FH 3.8), which can shorten the initial tenure and promotion clock. Credit for previous service should be specified in the initial appointment letter of the faculty member, and if no credit is specified, then none is given. Regardless, initial appointment letters should specify the last semester during which the tenure and promotion application can be made. (FH 3.7.2.)

A candidate for tenure and promotion to Associate Professor must also fulfill all contractual expectations specified in the initial appointment letter. A faculty member hired without a terminal degree is expected to complete the degree during the first year of appointment unless the contract specifies a different date.

D. Eligibility to Apply for Promotion to Professor

An Associate Professor with a terminal degree is minimally eligible for promotion to Professor after five years of academic service at the University in the rank of Associate Professor, and upon satisfying the other performance expectations commensurate with that rank (FH 3.3.3). Should a faculty member delay the application for promotion to Professor beyond this minimum five-year period, he or she will be expected to have met minimum research requirements for promotion within the five years preceding the date of application for promotion to Professor.

Associate Professors are not required by the FH to be reviewed annually by the DPC. However, Associate Professors that are considering applying for promotion to Professor are strongly encouraged (but not required) to seek a (non-binding) pre-promotion review from the DPC at least 2 years prior to the anticipated application date to gain feedback as to whether he or she is on track to meet the requirements for promotion to Professor. An Associate Professor may request more than one pre-promotion review from the DPC before applying to the rank of Professor.

E. Eligibility to Apply for Promotion to Distinguished Professor

To be eligible for promotion to Distinguished Professor (in years when an appointment to this rank is available), an individual shall have held the Professor rank for a minimum of five years, with at least three years in the rank at MSU; have a record of extraordinary performance in research with a national or international reputation; and have a sustained record of excellence in both teaching and service (FH 3.3.4). The University Committee, not the DPC, makes decisions for promotion to Distinguished Professor.

F. Eligibility to Apply for Promotion to Senior Instructor

An Instructor who has demonstrated excellence in Teaching and Service at Missouri State University for at least five years (not necessarily consecutive) may be appointed as a Senior Instructor. Senior Instructors are expected to provide leadership in teaching, contribute to course and curriculum development and provide appropriate University service. Senior Instructors may participate in research, but this is generally not a requirement of the position. A Senior Instructor shall be appointed to a specific term not to exceed five years and may be reappointed to one or more additional terms, contingent upon satisfactory performance reviews, educational needs and continued funding. A Senior Instructor who is reappointed will be reappointed at that rank. If a Senior Instructor applies for and is appointed to a tenure-track faculty

position, the time spent as Senior Instructor at Missouri State University will not count toward the probationary period for tenure and promotion (FH 3.5.2).

G. Eligibility to Apply for Promotion to Clinical Associate Professor

All Clinical Assistant Professors are eligible to apply for promotion to Clinical Associate Professor after five years in rank. Candidates for promotion must demonstrate success in Teaching and Service consistent with expectations for tenure-track faculty seeking promotion to Associate Professor unless special circumstances are documented in appointment agreements and/or special administrative or other responsibilities have been assigned. Candidate must produce evidence of activities designed to maintain professional competence. See FH 4.3.2 for full promotion requirements. Clinical Faculty may participate in research and other scholarly or creative activities, but such participation is neither necessary nor sufficient for promotion. If a Clinical Assistant or Clinical Associate Professor applies for and is appointed to a tenure-track faculty position, the time spent in the clinical role at Missouri State University will not count toward the probationary period for tenure and promotion (FH 3.5.11).

H. Eligibility to Apply for Promotion to Clinical Professor

All Clinical Associate Professors are eligible to apply for promotion to Clinical Professor after five years in rank. Candidates for promotion must demonstrate sustained success in Teaching and Service consistent with expectations for tenure-track faculty seeking promotion to Professor unless special circumstances are documented in appointment agreements and/or special administrative or other responsibilities have been assigned. Candidate must produce evidence of activities designed to maintain professional competence. See FH 4.3.2 for full promotion requirements. Clinical Faculty may participate in research and other scholarly or creative activities, but such participation is neither necessary nor sufficient for promotion. If a Clinical Associate Professor or Clinical Professor applies for and is appointed to a tenure-track faculty position, the time spent in the clinical role at Missouri State University will not count toward the probationary period for tenure and promotion (FH 3.5.11).

IV. Performance Evaluation Criteria for Tenure and/or Promotion

A. The FRM Department's Philosophy Towards Tenure and Promotion Decisions

The development and application of these criteria reflect a shared philosophy held by faculty in the FRM Department. This philosophy includes the following:

1. Tenure and promotion decisions are not programmed decisions that can be reduced exclusively to the application of rating scales, point systems, and weighting schemes. Instead, these decisions are *inherently judgmental* (FH 3.7.2.) and the role of faculty is to exercise professional judgment in evaluating candidates.
2. When an individual is appointed to a new position in FRM, we expect the individual to succeed, and it is our responsibility to assist as peers and mentors to develop and nurture new faculty.
3. We have a responsibility to inform candidates about what is expected of them by communicating all relevant performance categories, standards for performance, and providing regular, detailed, and honest performance feedback. If a candidate is deficient in any area, this feedback should include specific suggestions to the candidate on how to improve performance.

4. We have a responsibility not only to be fair and impartial in our application of these relevant criteria, but also to realize that individuals perform varying roles and contribute in different ways, and that each promotion and tenure decision is unique and shall be made with sensitivity to individual dimensionality and the specific role and context within which each individual performs.

B. Summary and Scoring of Performance Evaluation Criteria

FH 4.1 states “*Faculty members with standard appointments... are evaluated in three categories of performance: teaching, research, and service.*”

The sections below describe three general categories of faculty performance - Teaching, Research (intellectual contributions), and Service - used by the FRM Department to evaluate faculty with standard appointments for purposes of promotion and tenure. Each criterion is defined, performance dimensions are described, and standards and examples of measures are offered. Detailed documentation requirements for tenure and promotion dossiers are outlined in Section V.

In addition to these categories of performance, each candidate must meet standards of ethical behavior and collegiality described in the FH and required of the profession. While not specifically addressed in performance criteria, serious breaches of professional ethical standards and/or inappropriate conduct towards others, including conduct inconsistent with notions of collegiality as provided in FH 1.1.3.4, may provide grounds for denying tenure/promotion.

The FRM Department uses the following scoring system to assist with evaluating tenure and promotion decisions. The candidate should provide a self-assessed score for each performance category, and the DPC and DH will also provide their scores of the candidate in each performance category.

SCORING SYSTEM:**BELOW EXPECTED = 0; EXPECTED = 1; ABOVE EXPECTED = 2; EXCELLENT = 3**

TENURE OR PROMOTION TO RANK		PERFORMANCE CATEGORY			MINIMUM TOTAL POINTS
		TEACHING	RESEARCH	SERVICE	
ASSOCIATE PROFESSOR AND TENURE	OPT. A	2	2	1	5
	B	2	1	2	5
	C	1	2	2	5
	D	3	1	1	5
	E	1	3	1	5
FULL PROFESSOR	OPT. A	3	2	2	7
	B	2	3	2	7
	C	3	3	1	7
	D	2	2	3	7

PROMOTION TO RANK		PERFORMANCE CATEGORY		MINIMUM TOTAL POINTS
		TEACHING	SERVICE	
SENIOR INSTRUCTOR	OPT. A	1	2	3
	B	2	1	3
CLINICAL ASSOCIATE PROFESSOR	OPT. A	1	3	4
	B	2	2	4
	C	3	1	4
CLINICAL FULL PROFESSOR	OPT. A	2	3	5
	B	3	2	5

C. Performance Category #1: Teaching

The FH 4.2.1.2 clearly states that “*Teaching is among the most important faculty responsibilities of any institution of higher learning*” and, therefore, teaching effectiveness is required to earn tenure and promotion. The handbook describes two categories of activities that constitute effective teaching: Essential Elements that are required for tenure and promotion and Additional Areas that are not required but may be considered in the tenure and promotion decision.

The Essential Elements of teaching effectiveness required for tenure and promotion are Knowledge, Teaching Strategies, and Evaluation and Response to Feedback. Additional Areas that may be evaluated and considered are Accessibility and Diversity. FH 4.2.1 acknowledges that teaching is a multidimensional activity and as such, this implies multiple measures should be used to assess teaching effectiveness.

Matrix 1A – Essential (Required) Elements of Teaching Effectiveness for Promotion and Tenure, contains a brief description of each dimension, examples of how each element can be demonstrated, and examples of how these can be measured. The examples listed in each category are not intended to be exclusive or exhaustive. Unless otherwise noted in the matrix, the standards should be considered the same for all ranks.

Matrix 1B – Additional (Optional) Areas of Teaching Effectiveness for Promotion and Tenure, contains a brief description of each dimension and examples of how these can be demonstrated and measured. The examples listed are not intended to be exclusive or exhaustive. These dimensions are optional for promotion/tenure to all ranks.

Caution should be exercised when interpreting the results of formal student evaluation instruments and should account for no more than 50% of the final assessment of faculty performance in teaching. While students may be appropriate evaluators of classroom delivery, some teaching strategies, and appropriate conduct toward students, students are inappropriate evaluators of course knowledge, and many other dimensions for which faculty peers are more informed evaluators.

The FH further acknowledges in 4.2.1.2 that teaching should not be considered in isolation but that it is “*affected by overall workload, level of course, experience in teaching a particular course, number of students, use of new modalities or approaches, and nature of course (general education, requirement for major, etc.)*.” Therefore, these issues should be considered when evaluating faculty for promotion and tenure. The committee shall use careful, considered, professional judgment in evaluating a candidate. The committee shall consider the entire context of the teaching environment, the various dimensions of teaching performance, and the totality of the evidence presented by the candidate.

Matrix 1A – Essential (Required) Elements of Teaching Effectiveness for Tenure and Promotion to Associate Professor, Promotion to Professor, Promotion to Clinical Associate Professor, Promotion to Clinical Professor, or Promotion to Senior Instructor

Knowledge (4.2.1.2.1): “Faculty members must be up to date and competent regarding the content of their courses”

Performance Standard for Tenure and/or Promotion	How Performance may be Demonstrated/Documented	*	**
Course content is relevant and reflects current developments in the area	~ Syllabi that describe relevant course goals, materials, and descriptions of relevant and current topics to be covered.		
Faculty member engages in activities to maintain current knowledge of the course material	~ Teaching narrative that documents engagement in activities to maintain current knowledge (e.g., continued education, attending conferences, workshops, seminars, and/or an ongoing research agenda related to courses taught)		

Teaching Strategies (4.2.1.2.2): “...faculty members should incorporate best practices in their classes to the extent possible.”

Performance Standard for Tenure and/or Promotion	How Performance may be Demonstrated/Documented	*	**
Specify learning objectives for each course	~ Syllabi that contain clearly defined course objectives.		
Ensure students understand how to achieve those objectives	~ Syllabi that communicate how to achieve objectives, including a grading scale and composition of total points in course.		
Use grading systems that reflect the degree to which students accomplish the objectives	~ Syllabi documents grading systems that reflect the degree of student accomplishment of objectives.		
Be appropriately accessible to students through a variety of means	~ Syllabi that contains office hours and provides information for multiple methods of contact. ~ Student feedback and/or peer observation indicates faculty maintains office hours, keeps appointments, responds to messages promptly, and is available and willing to assist students.		
Other teaching-related contributions	~Review of teaching narrative. Examples may include: engaging in activities to preserve academic integrity; developing new courses or assisting with curriculum development; innovative teaching methods or pedagogical research; providing experiential learning opportunities, leading Study Away Programs, or supervising an independent study or research project; teaching non-traditional modalities such as online or blended delivery; participating in the China Program, EMBA Program, and intersession or summer teaching; student mentoring regarding career and educational development; or providing assistance to other faculty in the area of teaching.		

Evaluation and Response to Feedback (4.2.1.2.5): “Faculty must ensure evaluation of their teaching through multiple means (e.g., self-reflection, peer and/or supervisor review, assessment of student outcomes).”

Performance Standard for Tenure and/or Promotion	How Performance may be Demonstrated/Documented	*	**
Obtains teaching performance feedback from multiple sources	~ Review of formal student evaluation summary numbers and student comments. ~ Review of informal student feedback and teaching narrative (e.g., student or other stakeholder emails, faculty created evaluations, focus-groups, classroom discussions). ~ Peer and/or supervisor observation and review of classroom teaching that indicates evidence of skill in classroom delivery. For Tenure and Promotion to Associate Professor, Promotion to Clinical Associate Professor, or Promotion to Senior Instructor: A minimum of two class observations/reviews that indicate evidence of skill in classroom delivery. One must be completed by the DH, the second may be completed by any tenured faculty member in the department. For new appointments, at least one observation should be conducted in the first year. For Promotion to Professor or Promotion to Clinical Professor: Class observation/reviews are optional.		
Considers teaching performance feedback and modifies as appropriate	~ Review of teaching narrative indicating faculty have considered and modified teaching-related activities in light of feedback received.		

*Candidate’s Description of Performance Related to Standard

**Documentation Location

Matrix 1B – Additional (Optional) Areas of Teaching Effectiveness for Promotion and Tenure

Accessibility (4.2.1.2.3) <i>“Where appropriate, faculty may extend the availability of education beyond the traditional classroom setting through activities that include, but are not limited to, offering online distance learning, online courses, public lectures or workshops, working with the community and public schools in providing access to education, and developing educational materials that address accessibility issues.”</i>			
Performance Standard for Tenure and/or Promotion	How Performance may be Demonstrated/Documented	*	**
Faculty engage in any of the activities listed above or an activity that is not listed above but that is consistent with the spirit of 4.2.1.2.3.	~ Review of teaching narrative and other documents demonstrating the faculty member has engaged in a relevant accessibility activity. ~ Review of feedback from stakeholders impacted by the faculty member’s accessibility efforts.		
Diversity (4.2.1.2.4): <i>“Special efforts to bring diversity to students’ educational experience which might include inviting guest speakers who offer diverse viewpoints, taking students to locations where they will be exposed to an unfamiliar environment, and requiring students to seek out diversity as part of their course requirements.”</i>			
Performance Standard for Tenure and/or Promotion	How Performance may be Demonstrated/Documented	*	**
Faculty engage in any of the activities listed above or an activity which is not listed above but that is consistent with the spirit of 4.2.1.2.4.	~ Review of teaching narrative and other documents demonstrating the faculty member has engaged in a relevant diversity activity. ~ Review of feedback from stakeholders impacted by the faculty member’s diversity efforts.		

*Candidate’s Description of Performance Related to Standard

**Documentation Location

D. Performance Category #2: Research (Intellectual Contributions)

1. Overview

The FRM Department's performance dimensions and standards for research are guided by two major sources: the FH and the AACSB's *2020 Business Accreditation Standards*. The FH states that the process of research (scholarly productivity) is an integral and indispensable part of the university's basic function to create, preserve, and transmit knowledge and otherwise facilitate student learning. Thus, research is an essential faculty role responsible for maintaining the individual faculty member's competence, contributing to the education of students, and advancing the interests of one's profession and the needs of society. Therefore, intellectual contributions or research productivity should be considered in tenure and promotion decisions (FH 4.2.2). FH 4.2.2.1 defines research, "*as the production and formal communication of creative scholarly work...To qualify as Research activities must produce outcomes that are disseminated and subjected to critical peer review or evaluation by the scholarly community, and those outcomes should serve the growth of knowledge in a field or be of significant practical use.*"

The AACSB's *2020 Business Accreditation Standards*, Standard 8, defines three categories of research:

- Basic or Discovery Scholarship is directed toward increasing the knowledge base and the development of theory.
- Applied or Integrative/Application Scholarship draws from basic research and uses accumulated theories, knowledge, methods, and techniques to solve real-world problems and/or issues associated with practice.
- Teaching and Learning Scholarship explores the theory and methods of teaching and advances new understandings, insights, content, and methods that impact learning behavior.

FH 4.2.2 provides a taxonomy of research that is substantially like that described in the AACSB's *2020 Business Accreditation Standards*, with Standard 8 describing intellectual contributions consistent with our mission. For this reason, the FRM Department incorporates elements of the AACSB's taxonomy into our criteria for tenure and promotion.

2. Descriptions of Performance Standards for Research

Research is generally only required of ranked faculty members. Scholarly engagement is not required for promotions related to clinical faculty or instructors. However, should these faculty members engage in scholarly activities, such activities may be used to help satisfy requirements for teaching, service, or professional engagement as appropriate.

FH 4.2.2.2 provides four goals and criteria for evaluating research. "*Item 1 (Matrix 2A) below is of paramount importance on this list, and any faculty member who, in order to succeed in the area of Research at Missouri State University and attain tenure and promotions, must succeed in item 1. Although items 2, 3, and 4 (Matrix 2B) are not individually prescriptive, they are inclusive of Research and may be considered. Success in one or more of these areas (2-4) is required to attain tenure and promotion from Assistant Professor to Associate Professor. Sustained success in one or more of these areas is required for promotion from Associate Professor to Professor.*"

Matrix 2A – Required Performance Research Standards for Tenure and Promotion to Associate Professor and Promotion to Professor describes the required aspect of expanding knowledge and/or demonstrating growth in an area of expertise. Of special importance, the FRM Department quantity and

quality requirements of research for tenure and promotion are described in Matrix 2A.

Matrix 2B –Contributing Performance Research Standards for Tenure and Promotion to Associate Professor and Promotion to Professor describes factors that are not required, but that may contribute to the evaluation of research for tenure and promotion. These contributing areas are the application of research to benefit University constituents, transmission, and involvement of students.

The examples in Matrix 2A and Matrix 2B are not meant to be either exclusive or exhaustive. The DPC shall exercise considerable professional judgment, both when deciding whether a faculty member's contribution fits a specific category, and on evaluating the significance of the contribution. The DPC shall use evidence from external reviews in its evaluation of relevant performance dimensions relating to the candidate's intellectual contributions.

Additionally, the academic world of publication and other forms of dissemination of research has changed in many ways in recent years. To this point, online journals and other forms of open access to research publications have increased and are widely utilized. Some are peer-reviewed, some are not, and for some online outlets, it is difficult to determine what degree of scrutiny the research publication has received. It is incumbent upon the candidate to thoroughly document the quality of all their publications, but this is particularly true if the publication outlet is online only and/or open access. Lack of demonstrable evidence of sufficient peer review (or editorial review, as appropriate) may result in a publication not being counted towards meeting tenure and promotion requirements. Inclusion on journal indices such as the Australian Business Deans Council (ABDC) list or Cabell's Journalytics is a credible signal of journal quality, but exclusion from these lists does not necessarily indicate a low-quality journal. Journals not appearing on these lists will require further evidence of their quality.

Publications (including final acceptances) that occur after a candidate submits an application for tenure and promotion to Associate Professor, but before the actual promotion to Associate Professor occurs, shall be treated as though they occurred after the promotion to Associate Professor and can therefore be used by the candidate toward meeting the requirements of promotion to Professor. This is provided, however, that any such publication or acceptance:

- (i) occurs after a candidate's materials have been submitted to external reviewers in connection with the candidate's application for tenure and promotion to Associate Professor, and;
- (ii) occurs before the actual promotion to Associate Professor.

However, under no circumstances may a publication be applied toward meeting minimum performance criteria for more than one promotion decision.

Matrix 2A – Required Performance Research Standards for Tenure and Promotion to Associate Professor or Promotion to Professor

1. Expand Knowledge and/or Demonstrate Growth in Area of Expertise: “Faculty members meet this goal if they have engaged in sufficient quantity and quality of peer-reviewed Research” in the areas of 1) basic or discovery scholarship, 2) applied or integration/application scholarship, and 3) teaching and learning scholarship.			
Required Research Performance Standard	How Performance is to be Documented and Evaluated	*	**
<p><u>Finance (Non-Law) Faculty</u></p> <p><u>Minimum Quantity Requirements:</u> The typical minimum quantity requirement is six (6) peer-reviewed (or editorial-reviewed) publications of average quality. However, publications of exceptional quality (as determined by the DPC) may reduce the required minimum, but in no circumstance can the minimum requirement be reduced below a total four (4) publications. For tenure and promotion to Associate Professor: 1) at least half of the publications should fall into the category of basic or discovery scholarship; and 2) the faculty should have a sole-authored publication OR demonstrate co-authorship with a variety of co-authors.</p> <p><u>Minimum Quality Requirements:</u> The best proxy for the quality of research is the reputation of the outlet in which it is published. Most articles should be published in journals listed in Cabell’s Journalytics or similar scholarly journal directories (See IV.D.2.). In addition, only articles published in journals with documented acceptance rates below 70% OR included in ABDC journal list will count toward minimum quality requirements. In addition, at least one article must be published in a journal with a documented acceptance rate of 20% or below OR rated as B or higher in the ABDC journal list. It is the responsibility of the candidate to thoroughly document the quality of their publications using measures such as information from journal indices such as Cabell’s Journalytics, ABDC, acceptance rates, impact factors, and citation counts.</p>	<p>~ Review of research vita and published articles verifying that the dimensions and the number meet minimum requirements.</p> <p>~ Review of candidate’s research statement/summary to evaluate indicators of research impact/quality including citation counts for each article published and evidence of the quality of the publication outlet (scope, acceptance rates, impact factors)</p> <p>~ Review of vita, articles, and research statement to evaluate indicators of the candidate’s contribution.</p>		
<p><u>Law Faculty</u></p> <p><u>Minimum Quantity Requirements:</u> The typical minimum quantity requirement is six (6) peer-reviewed (or editorial-reviewed) publications of average quality. However, publications of exceptional quality (as determined by the DPC) may reduce the required minimum, but in no circumstance can the minimum requirement be reduced below a total four (4) publications. For tenure and promotion to Associate Professor, at least one article must be sole-authored, at least one article must be co-authored, and at least one article must be a law review article.</p> <p><u>Minimum Quality Requirements:</u> The best proxy for the quality of research is the reputation of the outlet in which it is published. Most articles should be published in journals listed in Cabells Scholarly Analytics, Washington & Lee Law Review Rankings, ExpressO Law Review Rankings, or similar scholarly journal directories. In addition, only articles published in journals with documented acceptance rates below 70% will count toward minimum quantity requirements (Law Review and Bar Journal articles are acceptable). It is the responsibility of the candidate to thoroughly document the quality of their publications using measures such as Cabell’s Journalytics listing information, acceptance rates, impact factors, and citation counts.</p>	<p>~ Review of research vita and published articles verifying that the dimensions and the number meet minimum requirements.</p> <p>~ Review of candidate’s research statement/summary to evaluate indicators of research impact/quality including citation counts for each article published and evidence of the quality of the publication outlet (scope, acceptance rates, impact factors)</p> <p>~ Review of vita, articles, and research statement to evaluate indicators of the candidate’s contribution.</p>		

*Candidate’s Description of Performance Related to Standard

**Documentation Location

Matrix 2B – Contributing Performance Research Standards for Tenure and Promotion to Associate Professor or Promotion to Professor

<p>Tenure and Promotion to Associate Professor requires <u>success</u> in at least one contributing dimension. Promotion to Professor requires <u>sustained success</u> in at least one contributing dimension or a pattern of success when considering multiple dimensions.</p>			
<p>2. <u>Application of Research to Benefit University Constituents:</u> <i>“The criterion for this goal refers to the application of Research to solving problems or addressing situations significant to the public that require professional expertise.”</i></p>			
Contributing Research Examples	How Performance is to be Documented and Evaluated	*	**
Using one’s professional expertise in helping solve a problem or address a situation that is of public interest. This can most clearly be demonstrated by acting as a consultant to organizations (public or private) that serve the public interest. However, other examples may be considered. It is incumbent upon the faculty member to describe how their activities satisfy this criterion.	<p><u>Success:</u> Review of candidate’s research statement and other documents providing evidence of the use of the candidate’s professional expertise to help solve a problem or address a situation of public interest.</p> <p><u>Sustained Success:</u> Review of candidate’s research statement and other documents providing evidence of an overall pattern of activity in the use of the candidate’s professional expertise to help solve a problem or address a situation of public interest.</p>		
<p>3. <u>Transmission:</u> <i>“The criterion for this goal refers to transmission of Research product beyond that required for peer review in one’s field. Faculty members meet this goal if they can document accomplishments in sharing knowledge and creative work with a broader audience.”</i></p>			
Contributing Research Examples	How Performance is to be Documented and Evaluated	*	**
Interviews, presentations, panel discussions, or publications, that draw on the faculty members’ scholarly expertise and for which the audience members are practitioners, university groups, community groups, or the general public shall qualify as “transmission.”	<p><u>Success:</u> Review of candidate’s research statement and other documents providing evidence of transmission of research beyond that required for peer review.</p> <p><u>Sustained Success:</u> Review of candidate’s research statement and other documents providing evidence of an overall pattern of activity in the transmission of research beyond that required for peer review.</p>		
<p>4. <u>Involvement of Students:</u> <i>“Research is of added value in the University mission if the work involves students, either graduate or undergraduate, as active participants in the research process.”</i></p>			
Contributing Research Examples	How Performance is to be Documented and Evaluated	*	**
Involvement of students in research can range from providing students the opportunity to participate in research as research subjects to mentoring, advising, and coauthoring with students on publications.	<p><u>Success:</u> Review of candidate’s research statement and other documents providing evidence of the involvement of students in research.</p> <p><u>Sustained Success:</u> Review of candidate’s research statement and other documents providing evidence of an overall pattern of activity in the involvement of students in research.</p>		

*Candidate’s Description of Performance Related to Standard

**Documentation Location

E. Performance Category #3: Service

The FH states that service serves to support the academic tradition of shared governance, to support the professional and organizational needs of the disciplines, and to bring the products of University work to the public for its benefit (FH 4.2.3.1). Each faculty member is required to engage in service as one of the requirements for reappointment, promotion, and tenure.

FH 4.2.3.2 provides a taxonomy of service activity that forms the basis for the FRM Department's criteria for tenure and promotion. Service activities include (1) University Citizenship (which consists of departmental, college, and university-level service), (2) Professional Service, (3) Public Service, and (4) Professional Consultation. Specifically,

“...Item 1...is of paramount importance on this list, and any faculty member, in order to succeed in the area of Service at Missouri State University and attain tenure and promotions, must succeed in item 1. Although items, 2, 3, and 4 are not individually prescriptive, they are inclusive of Service, and may be considered. Success in one or more of these areas (2-4) is required to attain tenure and promotion from Assistant Professor to Associate Professor. Sustained success and documented leadership in one or more areas are required for promotion from Associate Professor to Professor.”

The faculty of the FRM Department acknowledge that early in a faculty member's career the primary emphasis should be developing their research and teaching. Service expectations increase as the faculty member becomes more experienced. Evidence of some leadership is expected in the later years of the appointment to Assistant Professor and is required for consideration for promotion to Professor. Candidates applying for promotion to Professor should have continued to participate in campus events and to serve on departmental, college, and university committees.

A description of each service dimension, the standards of performance for that dimension, and illustrative examples of each type of service are listed in Matrix 3A and 3B that follow. The examples that follow are not meant to be either exclusive or exhaustive. Other/additional activities can be considered service, but it is incumbent upon the faculty member to demonstrate how the activity satisfies the criteria for service. The DPC shall exercise considerable professional judgment, both when deciding whether a faculty member's contribution fits a specific category, and in evaluating the significance of the contribution.

Matrix 3A- Required Service Dimension for Tenure and Promotion to Associate Professor, Promotion to Professor, Promotion to Clinical Associate Professor, Promotion to Clinical Professor, or Promotion to Senior Instructor

<p>Tenure and Promotion to Associate Professor, Promotion to Clinical Associate Professor, or Promotion to Senior Instructor requires <u>success</u> in this dimension.</p> <p>Promotion to Professor or Promotion Clinical Professor requires <u>sustained success</u> in this dimension. Sustained success is determined by an overall pattern of activity.</p>			
<p>1. University Citizenship (4.2.3.2.1) <i>Faculty must recognize their responsibility to the organization and contribute fairly to the task of shared governance. This includes but is not limited to, service on program, departmental, college and university committees and task forces. Service activities supporting University citizenship may also include collaborations and contributions for the collegiate well-being such as providing professional development, participating in campus discussions, and expanding opportunities for shaping the learning environment.</i></p> <p>Citizenship activities relate to active participation in the shared governance structure of the Department, the College, and the University.</p>			
Examples Service Activities to Satisfy Requirement	How Performance is to be Documented and Evaluated	*	**
<ul style="list-style-type: none"> ~ Active membership on departmental committees ~ Active membership on college committees ~ Active membership on university committees ~ Frequent participation as a departmental, college, and/or university representative at campus events (e.g., Commencement, Showcase, Majors Fair, New-Student Convocation, Career Fair) ~ Providing assistance to colleagues with professional issues and problems ~ Advising or supporting student organizations ~ Other organizational citizenship behaviors (it is incumbent on the faculty member to show how the activity meets the description of University Citizenship) ~ Other activities as outlined in the appointment letter 	<p>Success: Peer review of the candidate’s service statement and other documents verifying a gradual increase from minimal to moderate levels of service engagement in a variety of citizenship behaviors related to shared governance. Service at the departmental, college, and university level are expected.</p> <p>Sustained Success: Peer review of the candidate’s service statement and other documents verifying (1) a continued overall pattern of engagement in a variety of citizenship behaviors related to shared governance and (2) leadership in some of these activities. Service at the departmental, college, and university level are expected.</p>		

*Candidate’s Description of Performance Related to Standard

**Documentation Location

Matrix 3B – Contributing Service Dimensions Considered for Tenure and Promotion

<p>Tenure and Promotion to Associate Professor, Promotion to Clinical Associate Professor, or Promotion to Senior Instructor requires <u>success</u> in one or more contributing service areas.</p> <p>Promotion to Professor or Promotion to Clinical Professor requires <u>sustained success</u> in at least one contributing area of service or a pattern of success when considering multiple contributing areas of service.</p>			
<p>2. Professional Service: (4.2.3.2.2), <i>the criteria for this goal refer to contributions to professional organizations within the faculty member’s field.” Additionally, this may include sponsoring, mentoring, or advising an active student organization, or providing opportunities for student experiences outside the expectations of teaching.</i></p>			
<p>Examples of Service Activities to Satisfy Requirement</p> <ul style="list-style-type: none"> ~ Active membership in professional associations ~ Editorial or review activities ~ Serving as a committee member, board member, division chair, or officer. ~ Involvement in a student organization ~ Sponsoring, mentoring or advising an active student organization ~ Providing student experiences outside the expectations of teaching ~ Other activities as outlined in the appointment letter ~ Other activities as classified under the COB faculty qualifications guidelines (Categories A, B, C, or D) ~ Other organizational citizenship behaviors to the profession (it is incumbent on the faculty member to show how the activity meets the description of Professional Service). 		<p>How Performance is to be Documented and Evaluated</p> <p>Success: Peer review of candidate’s service statement and other documents that verifies contributions to the profession.</p> <p>Sustained Success: Peer review of candidate service statement and other documents that verifies continued contributions to, and leadership within, the profession (e.g., multiple, repeated, or lengthy terms as an elected or volunteer officer for a professional organization, continued active membership in multiple professional organizations, serving as a track chair, lengthy commitment to a student organization, or repeated provision of opportunities for students experiences outside the classroom).</p>	
		*	**
<p>3. Public Service: (4.2.3.2.3), <i>faculty members meet this goal when they provide evidence of using their professional skills and expertise to serve community, state, national, or international public constituents.”</i></p>			
<p>Examples of Service Activities to Satisfy Requirement</p> <ul style="list-style-type: none"> ~ Serving as a board member, division chair, officer, editor, reviewer, or committee member of a public organization ~ Writing op-eds or other articles in newspapers or other print media or on television or radio. ~ Other activities as outlined in the appointment letter ~ Other activities than the ones outlined above can be considered Public Service but it is incumbent upon the faculty member to demonstrate how the activity satisfies the criteria for Public Service. 		<p>How Performance is to be Documented and Evaluated</p> <p>Success: Peer review of candidate’s service statement and other documents that verifies Public Service contributions.</p> <p>Sustained Success: Peer review of candidate service statement and other documents that verifies continued contributions to, and leadership within, Public Service.</p>	
		*	**
<p>4. Professional Consultation: (4.2.3.2.3), <i>faculty members meet this goal when they provide evidence of using their professional skills and expertise to serve community, state, national, or international public constituents.”</i></p>			
<p>Examples of Service Activities to Satisfy Requirement</p> <ul style="list-style-type: none"> ~ Provide professional expertise to business or industry groups ~ Provide professional expertise to schools or community organizations ~ Providing professional expertise to colleagues in other university programs ~ Consultation services to external constituents within the faculty member’s professional expertise ~ Other activities as outlined in the appointment letter ~ Other activities than the ones outlined above can be considered Professional Consultation but it is incumbent upon the faculty member to demonstrate how the activity satisfies the criteria for this dimension. 		<p>How Performance is to be Documented and Evaluated</p> <p>Success: Peer review of candidate’s service statement and other documents verifying Professional Consultation activities.</p> <p>Sustained Success: Peer review of candidate’s service statement and other documents verifying continued engagement in providing professional expertise to relevant stakeholders.</p>	
		*	**

*Candidate’s Description of Performance Related to Standard

**Documentation Location

V. Required Documentation for Tenure and/or Promotion

The candidate's evidentiary documentation in support of their application should be organized into three binders. An ordered and descriptive checklist is provided below for each binder. The contents and order of presentation of *Binder I* is required by the Provost, and it is the only binder that goes to the Provost's Office. It is imperative that each faculty member EXACTLY follow the *Binder I* organizational structure. The Provost's office will generally provide the binder and tabs to new faculty during orientation, but these may also be requested from the FRM Department. The contents of Binder II and Binder III contain supporting information and will be reviewed only by the DPC, the DH, and the Dean unless specifically requested for review by the Provost's office.

A. Tab Ordered Checklist for Binder I

Application for Promotion and/or Tenure Form – This Provost-required form is to be placed in front of Tab 1 at the front of the binder.

1. Departmental Matrix – The matrix (Parts 1A-3B) are specific to the FRM department. It represents an overview of the tenure and promotion criteria and contains the faculty member's point-by-point self-assessment of how the criteria are met, as well as the location of supporting material.

2. Personal Summary Statement – The candidate's description of who he or she is and his or her teaching, research, and service philosophies. It should describe what is important to the faculty member and how he or she assesses his or her roles, responsibilities, accomplishments, and objectives. Typically, the summary should not exceed five (5) pages.

3: Current Vita – An accurate, complete, and up-to-date academic vita *in which the research section is identical to the Table of Contents in the faculty member's Binder II - Research Supporting Documentation.*

4-6: The Annual Reappointment Reviews for Probationary Employees Reports – A copy of the annual reappointment reviews (for non-probationary faculty, this would be the annual review) from the **DPC** (Tab 4), the **DH** (Tab 5), and the **Dean** (Tab 6) for each year of the review period.

7: External Review Letters – (To be inserted by the DH) The FH requires four outside/external peer reviews as part of the tenure and promotion packets, with the DH responsible for obtaining sufficient reviewers (with collaborative input by the faculty candidate) (FH 4.8.2.2). Qualified external evaluators shall be tenured colleagues in the candidate's primary field of teaching/research and shall hold at least the rank sought. They should be from an AACSB-accredited institution at or above the level of MSU. The four evaluators should be independent (i.e., someone other than a co-author or close relative). External reviewers will normally be selected from comparable institutions; however, individuals whose expertise make them specifically suitable to serve as reviewers may also be selected. The list of reviewers will be submitted to the Dean, who will certify that the selection process has been followed (FH 4.8.2.2). The timeline for the process of securing external reviewers can be found in the Provost's Calendar.

It is then incumbent upon the DH to contact the reviewers, secure their written agreement to serve as reviewers, and follow up with reviewers to ensure letters are received in accordance with the timeline prescribed by the Provost's office. The peer review evaluation letters should be sent directly to the DH in a timely manner. The faculty member shall not be penalized if an evaluator who agreed to perform the review does not complete the review on time.

Evaluators should be instructed to assess the quality and quantity of research and professional contributions considering the candidate's teaching and service workload and the missions of MSU, COB, and the FRM Department. If student evaluation scores are sent to the outside evaluators, they should be accompanied by a statement indicating that in COB, a "5" is a high and "1" is a low score.

8: Departmental Guidelines - A copy of relevant *FRM Department Annual Review, Promotion, and Tenure Guidelines* applicable to the candidate. See FH 4.8.7 for additional guidance.

B. Checklist for Binder II - Research Supporting Documentation

1. **Table of Contents: A Numbered List of All Work** – Each item must be numbered and appear in the following order.
 - Peer-reviewed publications in reverse chronological order (most recent first)
 - Proceedings, paper presentations
 - Working papers and monographs
 - Submitted work under review
 - Works in process
2. **Research Agenda Summary and Description** – A table listing (in the following column order) current Project Descriptions, their Focal Area, their Stages of Completion, the Targeted Outlets with planned submission dates. Include a discussion elaborating on the information presented in the research agenda summary.
3. **Research Statement** – A self-evaluation summarizing the candidate’s research and addressing the degree to which standards described in Research (see Matrix Part 2A and 2B) have been met.
4. **Copies of All Works** - Include copies of **all** listed papers in the order of the Table of Contents. Separate each paper with tabs. Papers accepted for publication or those in press must include acceptance letters.
5. **Table of Indicators of Contribution and Quality** – Table that contains the following information (in column order): Complete Citation (indicating authorship order and containing comments regarding contribution if not consistent with authorship order appearance), Journal Rankings/Acceptance Rates, Journal Impact Factor, Citation Count, and Other Indicators of Quality. At least one indicator of quality should generally be listed for each publication.

C. Checklist for Binder III - Teaching and Service Supporting Documentation

1. **Table of Contents**
2. **Teaching Statement** - A self-evaluation summarizing the candidate’s teaching philosophy and activity and that addresses the degree to which standards described in Teaching (see Matrix Part 1 A and B) have been met.
3. **Course Documents**
 - Copies of the most recent course syllabi for each course taught
 - Samples of assignments, exams
 - Samples of student projects
 - Other documentation to support teaching effectiveness
4. **Stakeholder Feedback**
 - Summary table of all teaching evaluation results including ratings on items and dimensions of formal student evaluation forms

- Copies of all evaluation forms containing student's comments from all semesters during the period of review
- Peer reviews of classroom observations
- Student, alumni, and/or employer feedback or comments
- Student interviews or focus groups

5. Other Documentation Measures

- Summary report of the grade distributions for all classes taught and number of students in each section.

6. Service Statement - A self-evaluation summarizing the candidate's service activity addressing the degree to which the standards described in service have been met and the faculty member's contribution.

7. Supporting Service Documentation

- Any documents evidencing the contribution of the candidate to service activities.

APPENDIX
Review Process and FRM Evaluation Committees

The FRM Department Evaluation Committees shall be elected by a majority of the FRM ranked faculty as required. The Department Evaluation Committees consist of 1) The FRM Guidelines Committee and 2) The FRM Departmental Personnel Committee. Declining to serve on an evaluation committee for a particular year shall not be construed as refusing to assist in service to the department. Faculty members may be elected to one or more of the following evaluation committees, according to the criteria described below.

A. FRM Guidelines Committee

As required, but at least every three years, a committee of three tenured FRM faculty members (of any rank) shall be elected to review the FRM guidelines for annual review, tenure, and promotion and to recommend changes in these Guidelines. A simple majority vote of all FRM ranked faculty members is necessary to approve these Guidelines.

B. FRM Departmental Personnel Committee (DPC)

The DPC shall make the departmental faculty recommendations concerning reappointment, pre-tenure review, tenure, and promotion. The DPC may seek formal or informal input from other tenured FRM faculty members regarding the tenure, promotion, and reappointment of candidates. All tenured faculty members are entitled to vote on tenure applications, after reviewing the recommendations of the DPC. The DPC is required by FH 4.8.3. and shall have at least three members.

1. Composition and Selection

The DPC shall be composed of at least three tenured faculty members of Associate or Full Professor rank, excluding the DH, elected annually by a majority vote of all ranked faculty members. This committee should be selected in time to facilitate timely consideration of reappointments or by such deadline as specified in the University Academic Calendar. The committee shall serve through the academic year until a new committee is appointed for the following academic year. The chairperson shall be elected by members of the DPC.

If a candidate is applying for Full Professor, only Full Professors shall serve on that DPC. Both Full and Associate Professors are eligible to be on the DPC if the candidate is applying for promotion to Associate Professor or for tenure. A faculty member who is applying for promotion is not eligible to serve on the DPC.

COB faculty members from other departments should be selected by the COB Dean to serve as members of the FRM DPC only if the FRM Department lacks sufficient eligible FRM faculty members who are willing to serve. (See the FH and COB guidelines for selecting promotion and tenure committee members from outside of the home department.) A temporary committee member (appointed by the COB Dean) may be selected to join the FRM DPC for the consideration of a particular candidate only if the initial committee does not contain enough professors at or above the rank to which a candidate seeks promotion.

2. Committee Responsibilities

(a) Review and Report by DPC:

Each member of the DPC shall review the applications of faculty members, along with accompanying supporting documents. The DPC should refer to eligibility and qualifications set forth in these Guidelines, including documentation specified for application for reappointment, tenure, and promotion. The DPC's recommendation concerning reappointment should include comments concerning strengths and weaknesses to assist the candidate with progress toward tenure and promotion. The DPC's reappointment review shall state and provide supporting rationale for one of the following three positions, in accord with FH 4.6.5.1:

1. That progress toward tenure is satisfactory;
2. That progress toward tenure is questionable, identifying areas for improvement and providing specific suggestions;
3. That progress toward tenure is unsatisfactory, providing a specific rationale.

Each recommendation should state whether the faculty member is recommended for reappointment, tenure, or promotion, respectively, by the majority of the DPC and shall include an assessment of the faculty member's performance in each of the areas of teaching, research, and service.

The DPC report should accurately and specifically describe how the candidate's performance meets or fails to meet the departmental standards for tenure and promotion. This report should explicitly address any problem areas. The report should place the current year's review in the context of previous reviews, noting whether earlier recommendations were followed and whether the candidate's progress toward tenure is on track. This detailed assessment is especially important during the year four review for faculty members on a six-year tenure track.

The number of votes supporting, abstaining, or not supporting the recommendation shall be included. Each member of the DPC will sign the written evaluation. Those members who do not agree with the evaluation may include a separate evaluation. The DPC Chair shall provide a signed copy of the written evaluation report to the DH (who shall send a copy to the candidate and forward copies to other appropriate parties). See Section II.B as well as the other sections of this document related to tenure or promotion.

The DPC is also responsible for conducting pre-promotion reviews at the request of Associate Professors who anticipate applying for promotion to Professor in coming years (See Section III.D). The DPC is expected to provide detailed (nonbinding) feedback to Associate Professors seeking a pre-promotion review in a manner similar to the feedback provided for the reappointment of probationary faculty. The membership of a DPC conducting a pre-promotion review of an Associate Professor shall consist only of faculty at or above the rank of Full Professor.

(b) Forwarding of Evaluations, Recommendations and Application Packet and Faculty Vote

In accord with FH 4.6.1, copies of evaluations and recommendations at each level shall be provided to the candidate, who shall undersign those evaluations (to acknowledge receipt) before the evaluations, recommendations and accompanying packet is sent to the next level. (The candidate's signature does not imply that the candidate endorses each of the recommendations.)

The DH shall make a copy of the DPC's written evaluation available to each faculty member eligible to vote on tenure or promotion and the candidate shall sign the form. For tenure considerations, all tenured FRM faculty members are eligible to vote. For promotion considerations, only FRM faculty members who already hold equal or higher rank than the candidate is seeking are eligible to vote.

The DH's written review shall be separate from the DPC's written evaluation. Copies of both evaluations shall be placed in the faculty member's personnel file and the DH shall forward copies of each to the COB Dean, along with a record of the vote in addition to providing a copy to the candidate and the candidate's dossier and application packet.

The Dean shall make his/her evaluation and accompanying recommendation and forward the evaluations and recommendations from each level of review, along with Binder I of the dossier and application packet to the Provost.

3. Appeals

If the candidate disagrees with the recommendations of the DPC, DH, Dean, or Provost regarding Promotion, Tenure and Re-appointment, the faculty member can appeal promotion and tenure decisions in accord with FH 4.6.1 and 4.7. An appeal related to tenure or promotion is initiated with the Associate Provost for Faculty and Academic Affairs and filed in the Faculty Senate Office (FH 4.7.3.1.). Appeals are heard by the Provost's Personnel Committee (FH 4.7.3.3.).