

GUIDELINES FOR THE EVALUATION OF FACULTY APPLICATIONS FOR PROMOTION AND TENURE IN THE LEWIS COLLEGE OF BUSINESS AT MARSHALL UNIVERSITY

INTRODUCTION

The purpose of these guidelines is to refine and clarify the requirements for promotion and tenure as established by the University of West Virginia System Board of Trustees and promulgated in *The Greenbook*. These guidelines are not intended in any way to modify the established policies; they are being presented only to facilitate the preparation of all required documents. The final authority in all cases rests in the Policy Bulletins of the Board of Trustees. This statement is subject to annual review. All proposed modifications will be reviewed by the Promotion and Tenure Committee and approved by the Dean in consultation with the LCOB faculty. Approved modifications will be incorporated into subsequent statements of these guidelines. In the absence of approved modifications, this statement will stand as a policy document of the Promotion and Tenure Committee.

IT IS THE RESPONSIBILITY OF THE CANDIDATE TO ASSURE THAT POLICY BULLETINS ARE COMPLIED WITH AND THAT ALL REQUIRED MATERIALS ARE SUBMITTED IN A TIMELY MANNER.

GENERAL GUIDELINES

1. Candidates for promotion and/or tenure should study the relevant portions of Board of Trustees Policy Bulletin 36, which is presented in Chapter XII of *The Greenbook*, portions of which also are presented in Chapter IV of *The Greenbook*. Note that in addition to those qualitative requirements, there are minimum service requirements that must be met for the different faculty ranks, and that there is a maximum service requirement relating to tenure. All Candidates must satisfy these requirements before the Lewis College of Business Promotion and Tenure Committee will consider any application.
2. Policy Bulletin 36 makes several references to the "terminal degree" held by Candidates. For the purposes of promotion and tenure in the Lewis College of Business, a terminal degree can be any of the following:
 - a) A doctoral degree in the teaching area.
 - b) A JD degree when teaching business law courses.
 - c) An LLM/CPA or JD and an accounting masters degree when teaching taxation.
 - d) Degrees other than those mentioned above may be considered terminal degrees if the Candidate shows evidence of relevant academic preparation, applied research, and/or practical experience. In such cases it will be the responsibility of the Candidate to furnish the necessary evidence to unambiguously substantiate his professional qualifications.

3. Decisions on promotion shall be made solely on the basis of the Candidate's activities in his¹ present rank.
4. All applications must be submitted in a timely manner. Policy Bulletin 36 establishes fixed dates for the receipt of information and notification. These dates are not flexible. The College Committee will make every effort to assure the efficient processing of materials once they have been received by the Committee.
5. Policy Bulletin 36 requires that Candidates for promotion and tenure be evaluated in the following categories:
 - a) Teaching and Advising
 - b) Scholarly and Creative Activities
 - c) Service to the University
 - d) Service to the Community

The Marshall University Greenbook notes specific requirements concerning these categories for promotion to various ranks and for tenure. The Lewis College of Business Vision and Mission Statement notes that the relative emphasis will be sixty-five percent teaching (category "a"), twenty percent intellectual contributions (category "b"), and fifteen percent service (categories "c" and "d"). This emphasis will be followed by the Lewis College of Business process at all levels in the evaluation process. Individual faculty members may negotiate variations in this relative emphasis and this must be documented in the individual's personnel file. Therefore, for the purposes of promotion and tenure in the Lewis College of Business, the following clarification of Policy Bulletin 36 will be used:

- | | |
|--------------------------------------|-------|
| a) Teaching and Advising | 65 % |
| b) Scholarly and Creative Activities | 20 % |
| 1. Intellectual Contributions | |
| -- Instructional Development | |
| -- Applied Scholarship | |
| -- Basic Scholarship | |
| 2. Professional Recognition | |
| 3. Professional Development | |
| 4. Professional Experience | |
| c) Service to the University | { 15% |
| d) Service to the Community | |

Rewards must be linked to supporting achievement in the University and College missions and goals (see "Goal 3, *LCOB Mission and Vision*")

¹ Throughout this paper, the masculine pronoun will be used in lieu of forms such as his/hers or he/she.

and goals (see "Goal 3, "LCOB Mission and Vision Statements and supporting Goals). Such rewards will include salary considerations (base pay, merit pay, etc.) as well as decisions involved with promotion and tenure. Reward systems must be consistent with the mission and goals.

6. All applications must include an updated vita. Candidates are advised to prepare a notebook which begins with the vita and utilizes a Table of Contents to outline materials in the four categories listed under (5.) Above. Only information contained in the application can be considered, so Candidates are urged to make their application packages as complete as possible. All relevant faculty activities are subject to consideration. Completeness notwithstanding, candidates are strongly advised to-keep sections to a reasonable length. Consider the use of Appendices if supporting material is extensive.

Each of the sections below expands upon the broad categories listed under (5.) Above to illustrate types of material that will assist the Committee in making its evaluation. These listings are not intended to be exhaustive, and all Candidates are urged to build the strongest possible case in their application. If there are relevant factors not mentioned in these categories, Candidates should include them where appropriate. Whenever possible, multiple sources of evidence may be used.

TEACHING AND ADVISING

Teaching is the primary mission of Marshall University; thus, the major goal of the LCOB is to recruit and retain effective classroom teachers. Colleges and universities which achieve distinction as excellent teaching institutions do not do so by accident: they define standards of teaching excellence and develop instruments which measure progress toward this goal. Formal evaluations of classroom performance can take many forms. To be useful, they must provide feedback from students, faculty, and administrators which identify not only the Candidate's strengths, but also areas where improvement is required. Consequently, the formal evaluation process must have enough structure to: 1) identify specific strengths and weaknesses, and 2) measure progress made toward improving areas of weakness over time.

While formal evaluations are an important source of information on teaching performance, it is understood that many valuable teaching activities may not be adequately addressed by them. Teachers can utilize any number of alternative and valuable teaching methods which enable students to advance their reasoning abilities. Furthermore, activities such as student advising and student mentoring (both formal and informal) represent a valuable extension of teaching effort which extends beyond the classroom and beyond academic matters. All candidates for promotion and tenure should accumulate evidence which documents activities which are not documented in the formal evaluation process.

SOURCES OF INFORMATION ON TEACHING ON EFFECTIVENESS

The following have access to information regarding efforts made by a Candidate to become an effective classroom teacher:

- a) the Candidate
- b) the students in the Candidate's classes
- c) the Candidate's Division Head
- d) the College Promotion & Tenure Committee
- e) the Dean of the Lewis College of Business

Although each of these has a distinct purpose and perspective on how to evaluate the Candidate's teaching effectiveness, each also has an obligation to develop a consistent set of criteria which define teaching effectiveness, and whenever possible, design methods to collect information which can be used to measure the Candidate's progress toward this goal. While a single evaluation instrument is incapable of providing all the information which these units need to evaluate teaching excellence, resource limitations mandate that they coordinate efforts to collect information whenever possible. Efforts to design effective evaluation instruments useful to each of these units must be an ongoing process.

We can anticipate as many as five distinct evaluations of teaching effectiveness:

- a) Student Evaluations
- b) Division Evaluations
- c) College Promotion and Tenure Committee Evaluation
- d) College Dean Evaluation
- e) Candidate's Self-Evaluation

The Candidate should seek annual evaluations from each of these potential sources to document efforts toward achieving teaching excellence. These evaluations should be collected with other evidence in a Teaching Portfolio, described below.

THE TEACHING PORTFOLIO

Candidates for promotion and tenure should develop and maintain a "teaching effectiveness portfolio" to be submitted with the candidate's application for promotion and tenure. This teaching portfolio should provide a short description (two or three pages) that accurately conveys the scope and type of the candidate's teaching endeavors. A model portfolio might include videotapes of classroom teaching, appraisal of teaching performance by students, appraisal by colleagues of student evaluations, colleagues' observations, and details of relevant inservice courses and/or workshops attended. The portfolio should contain facts on teaching duties related to all courses.

The portfolio should also document informal teaching activities. These include tutorials (individual and group), keeping current in curriculum changes, advising students, serving on teaching/learning committees and in a learning resource center, attending summer research institutes, serving on regional accreditation teams, and participating in state and national academic conferences.

The Candidate should collect evidence of all efforts to contribute to development of the College or Division mission, which can include special classroom assignments, divisional

contributions (seminar participation, student development activities, joint projects with students, and Division or College curriculum development).

Supervision of graduate and honors students and independent studies are teaching responsibilities and should be documented in the Teaching Portfolio. Students whose later achievements can be traced back to the supervising teacher should be noted in the Candidate's Teaching Portfolio.

The following list provides suggestions of items which the Candidate may want to include in their Teaching Portfolio. Except for these items in the first section below (marked with an asterisk), all items are offered as suggestions only. The Candidate should not feel constrained either to limit the Teaching Portfolio to these items or to provide documentation for each activity listed. The use of a Teaching Portfolio is suggested because it can serve as a useful resource for preparation of the Teaching and Advising section of the application for promotion and/or tenure.

1. Evaluations and grade distributions (* Required Items)

- * a) Annual Grade Distributions / Drop Rate.
- * b) Annual Student Evaluations
- * c) Annual Evaluations by Division Head and Dean
- * d) Faculty Member Self-Evaluation Planning Page for Faculty Job Performance (from Annual Report)
- * e) Supervisor's Evaluation of Faculty Member (from Annual Report)

2. Background on Course Assignments and Students

- a) Student Enrollment
- b) Student Level (upper or lower division)
- c) Student Motivation (required or elective course)
- d) Student Examination Performance

3. Information on Specific Teaching Activities

- a) Candidate's Self-Evaluation.
- b) Teaching Materials (syllabi, statements of course objectives, homework assignments, handouts, lecture notes, innovative assignments, readings, examinations and grading, or teaching methods).
- c) Description of any course development (revision of course material) or documentation of extraordinary effort.
- d) Responsibility for laboratory work or noncredit seminars.

4. Division and Colleague Assessments

- a) Division mentor's evaluations of Candidate.
- b) Results of colleagues classroom observations.
- c) Comments of colleagues teaching the same students in subsequent courses.

d) Comments of colleagues in team teaching.

5. Evidence on Student Advising, Mentoring

- a) Indications that student career choices were effectively assisted by the Candidate.
- b) Division exit interviews of students completed prior to graduation.
- c) Student enrollment in elective courses taught by the Candidate

6. Other Evidence

- a) Awards or other recognition for quality teaching.
- b) Letters from former students, parents, alumni, or others.

PROMOTION/TENURE APPLICATION REQUIREMENTS

When preparing the Teaching and Advising section of the Promotion / Tenure Application, the Candidate should begin with a clear, concise statement of the agreements, formal or informal, between the teacher and the Division Head or academic Dean regarding teaching responsibilities and indices of teaching mastery. The statement should contain such data as the number of courses taught, the kind or level of courses, the yardsticks employed to measure student progress, and specifics on teaching methods and content. It should contain facts on teaching duties relating to all courses and document efforts to contribute to development to College or Division mission, which can include special classroom assignments, divisional contributions (seminar participation, student development activities, joint projects with students, and Division or College curriculum development).

To facilitate the Promotion and Tenure Committee's review of this section of the Candidate's application, this statement of agreements should be followed with records documenting the first five items (marked with an asterisk in the list above). This information **MUST BE INCLUDED** in the Teaching and Advising section of all Candidate's application. Beyond this specific requirement, the candidate is free to develop evidence on teaching effectiveness in any format desired.

Note, however, that quantity should not be confused with quality. Much of the material which is collected on teaching effectiveness will be of a supporting nature, and should be placed in appendices in order to streamline this section of the application. Emphasis should be placed on organizing the material which is submitted. The quantity of material presented should be carefully screened; avoid duplication whenever possible (i.e., if you have developed a number of innovative handouts, problem sets, or case studies, include only one example and provide a list of others which you have maintained as a file -- available to the Promotion and Tenure Committee upon request).

SCHOLARLY AND CREATIVE ACTIVITIES

In addition to the classroom function of transmitting knowledge, professors have the responsibility to expand existing knowledge through research or some other appropriate form of creative activity. Producing intellectual contributions represents a core set of responsibilities of higher education for business. Such contributions improve management theory and practice, and

support the present and future quality of instruction in the Lewis College of Business. Our *Mission and Vision Statement* influences the relative emphasis among the types of intellectual contributions in the following order: instructional development, applied scholarship, and basic scholarship. A wide variety of intellectual contributions are acceptable as long as they are on a continuing basis, appropriate to the mission of the Lewis College of Business, and meet the test of “available for public scrutiny by academic peers and practitioners.” It will be the responsibility of the individual faculty members to justify or document how a particular activity supports the *Lewis College of Business Mission and Vision Statements* and is available for review by academic peers and/or business practitioners. It is recommended that such accomplishments be regularly maintained in each faculty member’s Portfolio and reported during the annual evaluation process. This book is to be kept by the faculty member and/or in a file maintained by the divisional secretary. Such a file will facilitate work on annual reports and other required documents in addition to assisting in the preparation of applications for promotion and/or tenure.

The College will phase in the AACSB minimum requirements in the evaluation of research performance of candidates. The phase-in will be according to the following schedule:

| Level of Performance | Academic Year | |
|----------------------|---|---|
| | 2000-2001; 2001-2002, 2002-2003 | 2003-2004 |
| Satisfactory | 2 refereed, nationally circulated publications and 8 other intellectual contributions (Total contributions must be at least 10) over the current five year period | 3 or more refereed, nationally circulated publications and 7 or more other contributions (Total contributions must be at least 10) over the current five year period |
| Excellent | 3 or more refereed, nationally circulated publications and no fewer than 7 other contributions (Total contributions must be 10 or more) over the current five year period | 4 or more refereed, nationally circulated publications and no fewer than 6 other contributions (Total contributions must be 10 or more) over the current five year period |

The Lewis College of Business recognizes that faculty may make other important intellectual contributions involved with scholarly and creative activities which may be more difficult to document but which should be considered. It is the responsibility of the faculty member to produce an “audit trail” for such presentations, discussant comments, reviews, etc. If such cannot be developed, then these activities would be credited as service, not as intellectual contributions.

Intellectual contributions that will be considered under scholarly and creative activities for promotion and/or tenure decisions in the Lewis College of Business at Marshall might be grouped in the following non-exhaustive listing:

INTELLECTUAL CONTRIBUTIONS

Instructional Development -- The enhancement of the educational value of instructional efforts of the Lewis College of Business and/or the discipline.

- * Textbooks
- * Chapters in texts or readings books
- * Publications in pedagogical journals
- * Written cases with instructional material
- * Instructional software
- * Publicly available materials describing the design and implementation of new courses or teaching methodologies
- * Presentations at workshops/symposiums/ tutorials
- * Proceedings from pedagogical meetings (national, regional, or state)
- * Papers presented at pedagogical meetings
- * Publicly available discussions and evaluations of innovative teaching

Applied Scholarship -- The application, transfer and interpretation of knowledge to improve management practice and/or teaching.

- * Publications in professional journals
- * Books (written or edited)
- * Chapters in books
- * Papers in Proceedings (national, regional, or state)
- * Professional presentations
- * Reports to government or scientific bodies
- * Published trade journals
- * Presentations to practitioners
- * In-house journals
- * Published book reviews
- * Papers presented for faculty development workshops

Basic Scholarship -- The creation of new knowledge.

- * Publication in scholarly journals (refereed)
- * Research monographs
- * Scholarly books (written or edited)
- * Chapters in scholarly books
- * Proceedings from scholarly meetings (national, regional, or state)
- * Papers presented at academic meetings
- * Reports to government or scientific bodies
- * Publicly available research working papers
- * Papers presented at research seminars/workshops/symposiums

PROFESSIONAL RECOGNITION

In the course of research and creative activities, Candidates may achieve recognition in various forms. Such recognition represents a third-party review of the Candidate's work and should be documented in the application as evidence of professional activity. Examples of such recognition might include:

- * Awards (international, national, regional, state, or local).
- * Fellowships or grants (including summer research grants).

- * Offices in professional organizations.
- * Professional committee membership.
- * Service at professional meetings (session chair / discussant).
- * Certification or licensure.
- * Requests for consultation.
- * Reviewer of other's research work.

PROFESSIONAL DEVELOPMENT

Creativity by its very nature is a continuous process. Candidates who are engaged in developmental activities should cite them as evidence of professional growth. Examples of professional development activities would include:

- * Attending professional meetings
- * Taking additional coursework
- * Travel relative to the candidate's field
- * Internships

Candidates who are employed in their fields during periods when they have no responsibilities to the university (such as during the summer) might want to offer such employment as evidence of professional development.

PROFESSIONAL EXPERIENCE

Business is an applied social science, and teaching is a particular discipline regardless of the field taught. Experience in the business world and experience in teaching both serve to make a professor better able to integrate the knowledge of the discipline into the classroom. Candidates should present their previous work/teaching experience and identify and explain those experiences that have improved the candidate's professional capabilities. These experiences would include jobs in business, government, or other educational institutions.

SERVICE TO THE UNIVERSITY

The effectiveness of a University and its constituent Colleges depends to a great part on the faculty of the University. The faculty is the University, and it is incumbent upon the faculty to provide guidance for the institution. Due to the complex nature of the University, service can take many forms. Candidates should present all instances in which they provided University service.

When describing committee service, the candidate should indicate whether the committee was standing or ad hoc, whether the committee was elected or appointed, and whether the candidate served a committee function such as chair or secretary. The levels of committee work that will be considered include

- 1) University committees
- 2) College committees
- 3) Divisional committees

Candidates who have been active in other types of work beneficial to the University, such as fund raising or working with student organizations, should also document those activities (note dates of service).

SERVICE TO THE COMMUNITY

Since the University is a member of the larger community, activities of faculty members for the benefit of the community are also considered in the evaluation for promotion and tenure. Community service can be at many levels, to public or private organizations, for civic or business groups, either compensated or pro bono. Any service to the community will be considered, so candidates are encouraged to provide a full listing of their activities.

PROCEDURE

In order to facilitate the application process, the following procedure has been established for use within the Lewis College of Business. This procedure is not intended to supersede Policy Bulletin 36, but rather is meant to establish a process for timely review and tracking of documents.

Any member of the Lewis College of Business faculty who is considering applying for promotion and/or tenure is requested to study the requirements and procedures outlined in The Greenbook and Policy Bulletin 36. Candidates also should be familiar with the mission statements of Marshall University and the Lewis College of Business.

Please note that The Greenbook outlines specific requirements for academic ranks along with specific areas that are to be evaluated in the promotion/tenure process. The Mission Statement of Marshall University further emphasizes the importance of teaching, research and service. It is strongly recommended that all candidates prepare their applications with these points in mind and assure that any claims can be substantiated. Candidates also should be aware that the granting of tenure is a two level decision. The candidate must first establish his qualifications, and then the University must determine whether the candidate will fill a continuing need for the school.

COMMITTEE STRUCTURE

Division Heads are responsible for the establishment of Divisional Promotion and Tenure Committees. Heads will notify in writing the College Promotion and Tenure Committee and the Dean of the membership of these committees. The Dean of the College is responsible for the establishment of the College Promotion and Tenure Committee. The membership of the College committee will be elected by the tenured and tenure-track members of each Division with each Division having two representatives. For the academic years 1997-98 and 1998-99 two faculty from the South Charleston campus will serve on the Promotion and Tenure Committee. The membership will be limited to tenured faculty and, where possible, to full professors. This committee will elect its chairperson. If a Division has no tenured faculty, a non-tenured faculty member may serve on the College committee.

THE EVALUATION PROCESS

1. The Candidate seeking promotion and/or tenure shall initiate the evaluation process by submitting a "Letter of Intent" to his Division Head and to the College Promotion and Tenure Committee no later than **the first Friday in October**.
2. Candidates are responsible to coordinate with the Office of the Dean to assure that student evaluations will be completed in time to be part of the application package.
3. Division Heads are responsible for observing the classroom performance of the Candidate.
4. Divisional committees and the College Committee are responsible for observing the classroom performance of the Candidate. The details of these observation sessions will be left to the discretion of each committee.
5. The Candidate will submit his application package to the Division Head no later than **the Second Monday in November**. The Candidate will notify the College Committee in writing when the package has been submitted.
6. The Division Head will insure that the divisional committee processes the application and makes a written recommendation. Divisional Promotion and Tenure Committees will be made up of all tenured faculty in that Division except the Division Head, the representatives to the College Promotion and Tenure Committee, and the Dean of the College. All committee members may vote on a tenure recommendation. **To vote on a Candidate's promotion, committee members must be at the level of or higher than the rank being sought. If there are not at least three Full Professors in the Division, the Division Head will consult with the Candidate and the committee to bring in outside Full Professors to make up the required three.**

Divisional committees must hold formal meetings and select a chair. The Divisional committee must conduct a secret ballot for each decision. Ballots will be sealed and held securely for one year in the Office of the Dean. The Divisional committee will within five working days send memos to the candidate, the Division Head and the Dean indicating the recommendation in his case and the vote count. The Divisional committee chair and each member of the committee will also receive an information copy of that memo. No meeting minutes of the Divisional meetings are required. Tie votes will be reported as such. There will be no procedures established for breaking a tie vote.

The committee will submit its recommendation to the Division Head before the Thanksgiving break. The Division Head will then review this recommendation and make his own independent written recommendation. The application package and Divisional recommendations must be forwarded to the Dean no later than the first Friday in December. The Division Head shall notify the College Committee in writing when the package has been forwarded to the Dean.

7. The Dean will submit all application packages and recommendations to the College Committee no later than **the Monday following the first Friday in December**. The College Committee will review all applications and make its written recommendations to the Dean. A

letter will be sent by the College committee chair informing the candidate of the College committee's recommendation. Committee members should receive an information copy of the letter sent by the College committee chair to candidates informing them of the committee's recommendation on their application. These letters are to contain the vote count of the committee. All applications and recommendations will be returned to the Dean by **the first Friday in February.**

8. The Dean will review all applications and recommendations and make his recommendations to the Vice President for Academic Affairs no later than **February 15.** A letter informing the candidate of his recommendation will be sent to the candidate, the College committee chair and the Division Head.
9. If, at any stage, the candidate receives a negative recommendation for promotion or tenure, the responsible parties must provide a detailed, objective statement of the grounds for the negative recommendation. This will allow the candidate to withdraw from the process, if so desired, and will inform him of deficiencies to be addressed. Conversely, the candidate will be notified in writing that a positive recommendation has been sent forward at each stage. In any case, deliberations and voting will be in strictest confidence as will be any vote totals.
10. All committee decisions shall be by majority rule and secret ballot. If the candidate has applied for tenure and for promotion, each vote will have separate secret ballots. In the event of a tie vote, the committee will hold one more round of voting. If the vote remains a tie they will forward the Candidate's application with the tie vote noted. The marked ballots will be sealed and retained for one year in the Dean's office. They will be available as evidence to the Institutional Hearing Panel in the event a Candidate files a grievance concerning the balloting process.
11. The President will notify all candidates of his decision by **March 15.**