

# **Criteria and Procedures for Tenure and Promotion**

## **School of Accounting**

### **Moore School of Business**

**January 2002**

Tenure and promotion procedures are set forth in *The Faculty Manual* of the University of South Carolina. Though *The Faculty Manual* provides guidelines for tenure and promotion unit policy, it is the responsibility of each unit to formulate specific criteria and procedures for tenure and promotion. This document details the criteria and procedures to be used by the School of Accounting in the Moore School of Business.

### **Criteria for Tenure and Promotion**

Awarding of tenure and promotion in the School of Accounting in the Moore School of Business is based on a candidate's contribution in the areas of scholarship, teaching, and service, and on the candidate holding the earned doctorate. The requirements to be met in the areas of scholarship, teaching, and service for tenure and promotion are specified below. The evidence to be considered in evaluating whether the criteria have been met is also specified. The recommendations of eligible faculty regarding tenure and promotion must be based on the requirements and evidence of record detailed in this document. The criteria are intended to ensure that these recommendations and evaluations are made in accordance with clear standards and are based on professional merit.

Teaching and scholarship are weighed most heavily in tenure and promotion decisions. Service is necessary but not sufficient for tenure and promotion.

In all three areas of contribution, performance will be reviewed for the entire academic career of the candidate with primary attention given to the period during which the candidate was at the current rank. Consistency and durability are relevant factors in evaluating faculty for tenure and promotion. Thus, length of service completed by a faculty member at a given rank is a valid consideration in formulating recommendations.

Requirements for tenure at the associate professor and professor levels are the same as for promotion to those ranks. These requirements also apply to a faculty member who is being considered for tenure upon hiring. In that case, scholarship, teaching, and service will be evaluated on the basis of performance in prior positions.

## **Evidence of Record**

This section describes the evidence to be considered in evaluating a candidate's record. In evaluating specific evidence, consideration must be given to both quantity and quality.

### *Scholarship*

A record of sustained, effective involvement in this area is required of all tenure and promotion candidates. Scholarship is contribution to the store of knowledge in an area through (a) theoretical analysis or (b) systematic collection, classification, and/or analysis of data. Scholarship includes the presentation of new ideas, the synthesis of existing ideas, the communication of existing ideas to a new audience, the definition/recognition of a new problem area, or progress toward the resolution of business and accounting problems.

Both the quantity and quality of a candidate's scholarship are important. However, the quality of the scholarship shall be the major criterion for its evaluation. For the purposes of evaluation, quality is defined in terms of (1) importance of the information revealed, (2) conceptual/theoretical sophistication, and (3) methodological rigor.

Evidence of a candidate's contribution to scholarship, ranked in order of importance by categories, includes, but is not limited to, the following:

#### Category 1

Publication of articles in refereed academic journals (with emphasis placed on high quality research journals), and publication of scholarly books.

#### Category 2

Publication of scholarly book chapters or monographs, publication of articles in non-refereed and professional journals, and acquisition of research grants and contracts from outside the University.

#### Category 3

Publication of papers in refereed proceedings, presentation of papers at academic and professional meetings, chairing research sessions or discussing research papers at such meetings, and presentation of papers as an invited speaker in workshops.

#### Category 4

Preparation of bona fide research proposals, preparation of working papers, and preparation and publication of case collections.

Candidates are not expected to have made a contribution in each category. However, evidence must exist that the candidate has made a contribution in category 1. Evidence from categories 2, 3, and 4 is not sufficient to show acceptable scholarship in the absence of evidence from category 1.

Articles in non-refereed sections of refereed journals receive less credit than do articles in refereed sections.

The quality of a book/monograph shall be the major criterion for its evaluation. Readings, edited books, or proceedings shall be given less importance than books/monographs that extend the frontiers of knowledge. Special credit will be given to items in the latter category as compared to textbooks that compile and organize existing knowledge. In general, books/monographs are not required for acceptable performance in the area of scholarship.

While deserving of recognition, the acquisition of research grants and contracts from outside the University is not required for acceptable performance in the area of scholarship.

Generally, papers presented at national meetings of academic societies shall be evaluated higher than papers presented at local or regional meetings. Additionally, the value assigned to professional papers is flexible and will be determined by such factors as: (a) the quality of the paper, (b) the nature of the competition, and (c) whether or not the paper was invited. However, neither competitive nor invited papers will be considered as substitutes for refereed journal articles. Papers presented at professional meetings shall be considered desirable but not sufficient to be considered an acceptable performance in this area.

### *Teaching*

Teaching is a multifaceted activity that includes in-class performance, student development, curriculum development, teaching material development, and professional executive education.

Teaching evidence falls into three categories as outlined below. Items within each category are presented in no particular order. Candidates are not required to have made a contribution in each item in each category. Evidence of a candidate's contribution to teaching, ranked in order of importance by categories, includes, but is not limited to, the following:

#### Category 1

Course Content: Analysis of syllabi, texts, exams, and other course materials for rigor and current development.

In-Class Performance: Evaluations of a candidate's teaching performance by students and faculty, and honors and awards received for teaching.

#### Category 2

Student Development: Chairing of dissertation and thesis committees, serving on dissertation and thesis committees, and involvement with students in non-dissertation research projects.

Course and Course Material Development: Development of new courses; development of instructional material and methods including but not limited to textbooks, work books, cases and exercises, visual media, and computer software that are related directly to the candidate's teaching. Of these, widely used textbooks will be given more weight.

Amount of Teaching: Course load (number of courses taught per year), course level (undergraduate, masters or doctorate), number of students, and number of different courses taught.

#### Category 3

Student Advising: Involvement in student counseling and advising at undergraduate, masters and doctoral levels, and participation in student organizations.

Professional Seminars: Seminars and presentations that deal with pedagogy, curricula, or similar educational issues.

Professional Executive Education: Evaluations of a candidate's teaching performance by participants, design/renovation of programs, and awards and honors received for teaching.

### *Service*

Service includes service to colleagues, the School of Accounting, the Moore School of Business, the University of South Carolina, the State of South Carolina, the academic accounting profession, and the local and business community. It is expected that each faculty member will serve in those areas best suited to the faculty member's interests and abilities. Not all faculty members are expected to provide the same quantity or types of service. However, each faculty member is expected to work constructively with colleagues and to make a service contribution to the School of Accounting.

The quantity of service should increase with rank. Very little service is expected of the assistant professor, more is expected of the associate professor, and still more is expected of the full professor.

Evidence of a candidate's contribution to service includes, but is not limited to, the following areas:

- Service to the School of Accounting: Performance on School of Accounting committees; cooperation with colleagues on research projects and teaching assignments; attendance and participation in workshops, faculty meetings, and other functions sponsored by the School of Accounting.
- Service to the University and the State: Performance on committees of the Moore School of Business, and the University of South Carolina; administrative responsibilities and functions; and special projects for the University and state government agencies.
- Service to the Academic Community: Leadership roles in the administration of academic and professional organizations; editorial review board membership and review work for academic journals; reviews of papers for academic organizations; service as an external reviewer for promotion and tenure at other colleges/universities; and book reviews.
- Service to the Local and Business Community: Pro-bono consulting for, academically based presentations to, and involvement with, community and business groups; testimony before governmental bodies; and consulting that contributes to the faculty member's professional growth, enhances instruction, or enhances the reputation and stature of the University of South Carolina.

### **Requirements for Tenure and Promotion**

The School of Accounting's evaluation of faculty for tenure and promotion is based on a candidate's

record in the areas of teaching, scholarship, and service as described above. The level at which a candidate shall perform to be granted tenure at, or promoted to associate or full professor shall be based on the quality and quantity of activities in each area, with quality being the primary consideration. The following describes requirements for tenure at or promotion to the associate professor and professor levels.

#### Tenure at or Promotion to Associate Professor

The School of Accounting is committed to excellence. Therefore, tenure at or promotion to the associate professor level requires that a candidate be judged as excellent in all three areas of performance. The following, taken as a whole, describes excellent performance in the three areas as relates to tenure at or promotion to the associate professor level.

#### *Scholarship*

- a. candidate has a sustained and consistent record of scholarship and shows promise of continuing scholarship
- b. candidate has demonstrated progress toward developing national or international stature as a scholar in the field of accounting
- c. candidate has begun to define one or more areas of scholarship

#### *Teaching*

- a. candidate has demonstrated effective teaching in at least two different courses
- b. candidate's involvement in course development is positively regarded
- c. candidate works effectively with students in a variety of roles

#### *Service*

- a. candidate makes a regular, conscientious, and valuable service contribution to the School of Accounting
- b. candidate has begun to make a valuable service contribution in at least one other area

## Tenure at or Promotion to Professor

Tenure at or promotion to the professor level requires that a candidate be judged as excellent in all three areas of performance. The following, taken as a whole, describes excellent performance in the three areas as relates to tenure at or promotion to the professor level.

### *Scholarship*

- a. candidate has a sustained and consistent record of scholarship, beyond that of the associate professor level, in the form of publications
- b. candidate has developed national or international stature as a scholar in the field of accounting
- c. candidate has clearly defined one or more areas of scholarship

### *Teaching*

- a. candidate has demonstrated effective teaching in both upper division undergraduate and graduate level courses
- b. candidate has taken a leadership role in teaching-related activities, such as curriculum development and the development or dissemination of effective teaching methods
- c. candidate works effectively with students in a variety of roles
- d. candidate is an effective mentor to junior faculty

### *Service*

- a. candidate makes a regular, conscientious, and valuable service contribution to the School of Accounting and in at least one other area
- b. candidate has assumed a leadership role in at least one area of service
- c. candidate has begun to make a valuable service contribution externally

## **Procedures for Tenure and Promotion**

The tenure and promotion procedures to be followed by the School of Accounting (SOA) are described below. The procedures are designed to ensure that the evaluations and recommendation for tenure and promotion are based on professional merit. The SOA Tenure and Promotion Committee shall supervise all matters related to tenure and promotion.

### Eligibility for Tenure and Promotion

All non-tenured tenure-track faculty members are considered for tenure and all tenure-track faculty members below the rank of professor are considered for promotion each year. Each eligible faculty member in the Moore School of Business (MSB) will receive annual written notification from the Dean of the MSB asking if the individual wishes to be considered for tenure or promotion. The SOA Tenure and Promotion Committee will consider and vote on all eligible faculty members in the SOA except those who, in writing, waive consideration until the following year. The SOA Tenure and Promotion Committee must consider for tenure each faculty member in the penultimate year of a probationary appointment.

The SOA tenure and promotion procedures will comply with the timetable issued by the Office of the Provost and with the times defined in *The Faculty Manual* of the University of South Carolina, Columbia Campus. The Chair of the SOA Tenure and Promotion Committee shall notify each faculty member eligible for promotion or tenure of the date the candidate's file materials are due. The notice must be in writing and must be sent at least one month before the candidate's file is due.

### Responsibility for Candidate's File

The candidate bears primary responsibility for preparation of the file on which the decision will be based. This includes maintaining the records and documentation that eventually will be needed for the file. In addition to the tenure and promotion file, the candidate also will provide specific materials requested by the Chair of the SOA Tenure and Promotion Committee that will be required for external reviewers or other uses in the tenure and promotion process. Such materials include a current curriculum vita and copies of published articles and current working papers to be sent to external reviewers, and copies of student teaching evaluations to be used by the SOA Tenure and Promotion Committee in providing a synthesis of the candidate's teaching performance.

Candidates should follow University Committee on Tenure and Promotion guidelines for putting their files together. The candidate is responsible for delivering the completed file to the Chair of the SOA Tenure and Promotion Committee by the date specified in the letter from the Chair. The Chair of the SOA Tenure and Promotion Committee will be available to advise in the assembly of the candidate's file, but the ultimate responsibility is that of the candidate.

### Composition of School of Accounting Tenure and Promotion Committee

Only tenured members of the SOA (excluding professors holding emeritus rank) may vote on an application for tenure or promotion. Faculty members of equal or higher rank may vote on a candidate for tenure but only faculty of higher rank may vote on promotion. In this regard, faculty on official leave (e.g., on sabbatical or for medical reasons) are eligible to serve on the SOA Tenure and

Promotion Committee. A faculty member on official leave may vote if he or she has notified the Director of the SOA in writing of a desire to do so before beginning the leave and he or she is familiar with the evidence. A faculty member in the SOA required to make a tenure and/or promotion recommendation at a higher administrative level will not be a member of the SOA Tenure and Promotion Committee.

The SOA Tenure and Promotion Committee shall elect a Chair subsequent to the Committee's vote on tenure and promotion applications in the Fall semester but at least by April 15. The newly elected Chair shall serve a term of two years in length. The outgoing Chair of the SOA Tenure and Promotion Committee will notify the Director of the SOA, the Dean of the MSB, the Provost of the University, the Chair of the University Committee on Tenure and Promotion, and the Faculty Senate the name of the new Chair by May 15. The Chair is required to be a tenured full professor. The SOA Tenure and Promotion Committee must consist of at least five (5) members. If necessary, the SOA Tenure and Promotion Committee members eligible to vote shall develop a policy to select additional qualified members from other disciplines within the MSB to achieve at least five (5) voting members. This policy must be submitted to the University Committee on Tenure and Promotion for approval.

#### Responsibilities of School of Accounting Tenure and Promotion Committee

Internal and external evaluations will be used to assist in the evaluation of a candidate's research, publications, and other professional and scholarly activities. At least five (5) external reviewers shall be secured from a field of scholars who have expertise in the candidate's field of research. The candidate will be asked by the Chair of the SOA Tenure and Promotion Committee to submit two (2) names of individuals to serve as external reviewers. The Chair will also ask members of the SOA Tenure and Promotion Committee to submit names of potential reviewers. The Chair is responsible for selecting a sufficient number of reviewers from the combined list provided by members of the SOA Tenure and Promotion Committee and the candidate to ensure that at least five (5) external reviews are provided. At least one reviewer will be chosen from the list submitted by the candidate. Only external reviewers who do not have a close personal relationship with the candidate (e.g., former advisor, doctoral dissertation committee members, co-author, relative) will be chosen. The identity of the external reviewers will not be disclosed to the candidate.

The Chair of the SOA Tenure and Promotion Committee is responsible for contacting the outside reviewers and securing their agreement to participate in the review process. The Chair of the SOA Tenure and Promotion Committee will provide the outside reviewers with the candidate's vita, all or a representative sample of the candidate's research papers, and a copy of the SOA Tenure and Promotion Criteria. The Chair will encourage the external reviewers to submit their reviews, curriculum vitae, and, if available, short biographical sketches by the specified deadline. The Chair will place the completed reviews, copies of the letters requesting the reviews, and copies of the external reviewers' vitae in the candidate's file. The Chair will indicate the evaluators recommended by the candidate, and, if needed, place in the file a justification for why the external review process was not conducted in accordance with the stated procedures. Confidentiality of the external reviewers' letters will be respected, to the extent allowed by law.

The SOA Tenure and Promotion Committee is responsible for providing a synthesis of evaluations of the candidate's teaching performance and a summary of supporting evidence for the candidate's

file. The Chair of the SOA Tenure and Promotion Committee will designate a member of the committee to provide this synthesis and summary.

Peer and student evaluations of teaching must be included in the candidate's file. The Director of the SOA should arrange for senior faculty members to observe the classroom teaching of faculty members below the rank of Professor to build a peer review file over a period of time. Peer reviews should consider such factors as effective lecture style, class syllabus, appropriateness of the exam process, efforts to provide creative and effective learning experiences, and evidence of the faculty member's growing mastery of the subject matter.

Once the candidates' tenure and/or promotion files are complete, the Chair of the SOA Tenure and Promotion Committee will notify in writing the eligible members of the SOA Tenure and Promotion Committee that the files are available for review. The Chair also will schedule a meeting of the committee members eligible to vote on each candidate. Both the Dean of the MSB and the Director of the SOA shall be notified by the Chair of the SOA Tenure and Promotion Committee of the pending meeting of the committee. Meetings at which candidates are considered for promotion and/or tenure are generally closed to everyone except those individuals eligible to vote on the candidate. A meeting may, however, by vote of the committee, be opened to anyone the committee wishes to be present at the meeting. At the scheduled meeting or by subsequent date determined by the Chair of the committee, each eligible faculty member will, by secret ballot, either vote to abstain, or vote yes to support or no to reject each candidate's application for tenure and/or promotion. Eligible faculty members need not be present at the meeting at which the candidate is considered in order to vote. In such cases, if votes are taken at the scheduled meeting, sealed absentee ballots delivered in advance of the meeting to the Chair of the committee are allowed. Each eligible faculty member must provide written justification for his/her vote. These justifications, which need not be signed, must be based on and should make specific reference to the SOA Tenure and Promotion Criteria. A unit vote in support of a candidate's application for tenure and/or promotion will consist of more than 50 percent of the voting committee members, excluding abstentions. That is, abstentions or failures to vote will not be counted in determining a majority vote.

The Chair of the SOA Tenure and Promotion Committee will count the votes along with the Director of the SOA. The Chair of the SOA Tenure and Promotion Committee will notify all candidates in writing as to whether their application was supported or not supported. The Chair also will notify the eligible faculty members of the SOA Tenure and Promotion Committee of the decision(s). The vote count will not be revealed to the candidate or the Committee members. All deliberations of the SOA Tenure and Promotion Committee and materials, including outside evaluators' letters and written justifications of the Tenure and Promotion Committee, shall remain in strictest confidence and be available only to those entitled to access the candidate's file.

If the SOA Tenure and Promotion Committee vote is in support of tenure and/or promotion, the Chair of the committee will place the recorded votes and written justifications in the candidate's file and forward the file to the Director of the SOA. The Director of the SOA will enter a vote of yes for support or no to reject each candidate's application for tenure and/or promotion. The Director of the SOA also will write a letter to justify his/her vote and place this letter in the candidate's file. The Director of the SOA will forward the file to the Dean of the MSB.

If the unit vote does not support tenure and/or promotion, except as noted below, the candidacy will

not be considered further beyond the SOA Tenure and Promotion Committee. The Chair of the SOA Tenure and Promotion Committee will inform the Director of the SOA and the Dean of the MSB of the negative vote. Candidates not recommended shall be informed by the Chair of the SOA Tenure and Promotion Committee of appeal procedures as specified in the *Faculty Manual* of the University of South Carolina, Columbia Campus.

Upon written request of a candidate not recommended, the Chair of the SOA Tenure and Promotion Committee will place the recorded votes and written justifications in the candidate's file and forward the file to the Director of the SOA. The Director of the SOA will enter a vote of yes for support or no to reject and write a letter to justify his/her vote. The Director of the SOA will forward the file to the Dean of the MSB.

#### Revision of School of Accounting Tenure and Promotion Criteria and Procedures

The tenured faculty members of the School of Accounting are responsible for formulating the specific criteria and procedures for tenure and promotion applicable to faculty of the SOA. Revisions to these criteria and procedures will be made in accordance with the procedures specified in *The Faculty Manual* of the University of South Carolina, Columbia Campus. Proposed revisions must be approved by more than 50 percent of the SOA tenured faculty with abstentions and failures to vote not being counted in determining a majority vote. The date of the most recent revision of the SOA Criteria and Procedures for Tenure and Promotion will be included as part of the document. At a minimum, the SOA Criteria and Procedures for Tenure and Promotion shall be reviewed for possible revision every five years.