

Department of Economics
Evidence of Meeting Promotion and Tenure Criteria
February 2010

This document is intended to provide guidance regarding the evidence that is weighed by the Department of Economics in making its recommendations for promotion and tenure. All matters discussed here do not supplant any University regulations, rules, or procedures but should be considered as providing supplementary information.

As a reference, University regulations regarding appointment, reappointment, promotion, and the granting of tenure are found at <http://www.uky.edu/Regs/ar.htm>. Specifically, section AR 2:1-1 describes general procedures, section AR 2:2-1 discusses Regular Title Series appointments, and sections AR 2:4 and AR 2:5 discuss Special Title Series appointments and Research Title Series appointments, respectively.

This document extracts quotes from the University's administrative regulations (AR) for expositional purposes and the document and its quotes should not be interpreted as containing all relevant information on promotion and tenure.

Regular Title Series

To provide context, selected sections of the University's administrative regulations are presented. Regarding the criterion for promotion, the University's stated criterion for appointment or promotion to Associate Professor is given in AR 2:2-1, with a selected section quoted here:

“Appointment, reappointment, or promotion to associate professor shall be made only after a candidate has met the criteria for assistant professor and has demonstrated high scholarly achievements commensurate with his other assignment in areas of: (1) teaching, advising and other instructional activities; (2) research or other creative activity; (3) professional, university and public service. Particularly, an indication of continuous improvement and scholastic contributions should be evident as documented by the candidate. Further, the individual should have earned external recognition for excellence in her or his scholarly activities. Where appropriate, this recognition should be on a regional or national level as appropriate to the field of assignment.”

The criterion for Professor is given in the same AR, with a selected quote given here:

“Appointment, reappointment, or promotion to full professor shall be made only after a candidate has met the criteria for associate professor and has demonstrated high scholarly achievements commensurate with his or her assignment in areas of: (1) teaching, advising, and other instructional activities; (2) research or other creative activity; (3) professional, university and public service. Particularly, such an appointment implies that, in the opinion of colleagues, the candidate's scholarship is excellent and, in addition, she or he has earned a high level of professional recognition. Where appropriate, this recognition should be on a national or

international level in the field of assignment. It is further emphasized that this rank is in recognition of attainment rather than length of service.”

Thus, for faculty with Regular Title Series appointments, three areas of activity are evaluated: (1) teaching, advising and other instructional activities; (2) research or other creative activity; (3) professional, University, and public service. AR 2:2-1 also gives statements to serve as a guide for evaluating the accomplishments in these areas of the faculty member who is candidate for promotion. Each of these is discussed below in turn, along with Departmental practices in implementing University guidelines.

(1) Teaching, Advising and Other Instructional Activities

University regulations provide the official guide for evaluation of the teaching accomplishments of the promotion candidate. Quoting from AR 2:2-1:

“1. Teaching involves creating a learning environment, as well as transmitting, transforming and extending knowledge. Superior teaching and advising shall be recognized as integral components of the evaluation for promotion and tenure as appropriate given the faculty employee’s assignment. Educational activities extend far beyond the classroom, and the University of Kentucky acknowledges the importance of educating citizens, both on and off campus, as part of its land grant mission. Recognition also shall be given to a faculty employee’s contribution to student welfare through service on student-faculty committees, as an advisor to student organizations, or other instructional activities enumerated in the Teaching Portfolio (AR 3:10). Teaching, advising, and other instructional activities shall be documented through the Teaching Portfolio.

2. Objective evidence of the quality of teaching shall be included in the final dossier. Such evidence should include: (a) reports by colleagues qualified in the field; (b) evaluations by students and, if available, graduates; and (c) when appropriate, the subsequent accomplishments of graduates whose major work has been supervised by the individual under consideration.

3. Colleges shall evaluate the quality as well as the quantity of academic advising done by each faculty employee. The results of this evaluation shall be considered in the annual performance review and in the decisions concerning retention or promotion of each faculty employee.”

Note that point 1 above gives suggestions of items that might be considered as evidence and point 2 give required items to be considered.

Items that are commonly used and relied upon by the Department to evaluate teaching are the following:

- Information regarding student teaching evaluations. This includes numerical scores and, where possible, summaries of students’ written comments on course evaluations.
- Comments by former students who have been selected to provide written letters of testimony regarding the promotion candidate’s teaching effectiveness.
- The candidate’s teaching may have been observed and evaluated by other faculty members and this evaluation will be considered.

- The extent of involvement in the graduate program, both in teaching graduate courses, serving on dissertation committees, and serving as a dissertation chair.

Other evidence considered by the Department may include, but is not limited to:

- Unsolicited comments from students about the candidate's teaching.
- Significant mentoring and contribution to the professional development of students.
- Excellence of placement of the candidate's graduate students or other measures of outstanding accomplishments of these students.
- Selection for a significant outstanding teacher award.
- Scholarly publications about teaching.
- Receiving external grant support for teaching/learning projects.
- Outside reviewers evaluations, where they are in a position to assess the candidate's teaching skills.
- Developing a new and/or novel course that fills an identified need in the curriculum or is particularly noteworthy.
- Invitation to teach at institutions of recognized excellence.
- Outstanding performance as a departmental undergraduate advisor
- Successful participation at teaching workshops, conferences, or institutes.
- Receipt of competitively-awarded internal funding for teaching.

These lists of items are intended to illustrate how candidates may provide evidence for promotion and tenure, but the candidate is not expected to accomplish any particular subset of them.

The Department recognizes that these various items of evidence are likely to be more or less important for candidates for promotion to associate professor relative to professor. For example, those being considered for promotion to associate professor normally have less time in service, therefore are likely to be less fully integrated into the graduate program than candidates for professor and, thus their service on dissertation committees will be lower. Accordingly, there is a stronger expectation of more involvement in this regard among those considered for promotion to professor. The manner that service on doctoral committees is accomplished may differ depending in the candidate's field of specialization within economics. Also, there often is a period of adjustment to teaching at the university level that results in modest teaching evaluations. It is understood that this occurs and this period will be a larger part of associate professor candidate's record than professor candidates. Appropriate account will be taken of this issue in formulating the Department's evaluation. Similar comments may apply to the other items of evidence.

(2) Research or Other Creative Activity

AR 2:2-1 also provides the official guide for evaluation of the research accomplishments of a candidate for promotion. Quoting from this AR:

"1. Faculty employees have a responsibility for the creation of knowledge. Scholarship related to research or creative endeavors shall be original, of high quality, and validated by rigorous peer review. Communication of the work's significance to the scholarly community and to the

public at large is a component of the mission of the University and, therefore, its evaluation is an integral part of the promotion and tenure process. The documented quality of research and/or creative scholarship shall be an integral component of the promotion and tenure evaluation process as appropriate given the faculty employee's assignment.

2. Evidence of recognition of research or creative activity and its long-lasting merit and worth is expected. Normally, publication in the form considered as appropriate for the field will constitute this evidence.

3. In addition to the more traditional methods of presentation, examples of creative scholarship include public performances and exhibitions, audio and visual recordings, applications of technical innovations and other products.”

In implementing these guidelines, the Department of Economics views that the most important way to demonstrate the scholarship necessary for promotion is through publication of high-quality and original research in academic outlets that are peer-reviewed and have high professional standing. The quality and quantity of this work is evaluated by the Department of Economics faculty who are eligible to participate in this deliberation. Department members' evaluations and assessments of the candidate's research is critical to the Departmental recommendation regarding promotion. An additional critical component of the Department's recommendation is the evaluation of outside reviewers of the candidate's research accomplishments. These are weighed carefully by Department faculty.

In the economics profession, the demonstration of scholarship is most often accomplished by the publication of the candidate's original research in highly regarded academic journals. Given the broad scope of the profession, the appropriate set of journals may vary with the candidate's field of specialization. A less common way to accomplish this is through publication of chapters in books edited by reputable scholars and/or published by well-known academic presses or publication of books by recognized academic publishers. The reputation of the journals and publishers is important, as well as the assessments of the outside reviewers, but ultimately the evaluation of the candidate's scholarship rests on the judgment of the Department's faculty.

Other evidence that the Department may consider regarding the quality of the candidate's research includes, but is not limited to the following.

- Participation in profession conferences as presenter, session organizer, session chair, or discussant.
- Presentation of research findings at other universities or institutions.
- Papers invited for publication.
- Evidence of an ongoing research program through maintaining a “pipeline” of working papers, works in progress, and work under review.
- Receipt of competitive research grants from prestigious organizations.
- Acquisition of extramural funding.
- Frequency of citation of publications.
- Publications and/or summaries of research in non-refereed or non-academic but widely-recognized journals/periodicals.

- Editing a scholarly book.
- Significant publication and/or funding outside mainstream economics resulting from collaborative efforts with researchers in other fields.
- Receiving a major fellowship or research award.
- Receiving a best paper award from reputable journal.
- The pattern and trajectory of research and publications.

As with teaching, this list of items is intended to illustrate how candidates may provide evidence for promotion and tenure, but the candidate is not expected to accomplish any particular subset of them.

The view of the Department is that the items listed immediately above frequently occur as a consequence of and coincident with academic research and publication. Thus, they should not be construed to be a substitute for original, high-quality academic scholarship and publication. Rather, they should be considered as complementary to one's academic record.

The Department is likely to weigh some of the above listed evidence for promotion differently for candidates considered for associate professor and tenure relative to candidates for professor. Some activities are simply less likely to have taken place for associate professor candidates since they typically have few years of service in the profession. For this reason, for example, associate professor candidates probably will not have a significant set of citations to their work. Therefore, this is expected to matter less for these candidates. Similarly, the set of working papers and papers under review likely comprises a larger portion of an associate professor candidate's research portfolio and so is apt to weigh more heavily. Related to this, assessing the trajectory of a candidate's research perhaps is more important for an associate professor candidate's case due to the fewer years in the profession and also because this normally is also the tenure decision. Similar comments may apply to the other items of evidence. For some items of evidence, the expectations may be higher for candidates for promotion to professor due to their more lengthy experience.

(3) Professional, University, and Public Service

As noted previously, AR 2:2-1 is the official guide for evaluation of the service accomplishments of a candidate for promotion. Again quoting from this AR:

"1. A service component is a normal part of a faculty employee's obligation to the University. Formation of educational policy, participation in faculty governance, and effective performance of administrative duties, shall be taken into consideration in the evaluation process.

2. Faculty employee's are expected to engage in service related to their professional role as scholars for the benefit and development of local, state, national, international, and the University communities. Documented scholarship related to service that is directly associated with one's special field of knowledge, expertise, and professional role within the University shall be evaluated as positive evidence.

3. Citizenship activities of faculty employee's and projects unrelated to their professional roles in the University, while laudable, do not constitute evidence for academic appointment, reappointment, promotion, or the granting of tenure."

Note that points 1 and 2 provide examples of evidence for promotion.

The Department considers service to be an important component of its recommendation for promotion and tenure. An educational unit relies on the goodwill, cooperativeness, and efforts of its faculty in this regard, especially its senior faculty, in order to operate effectively and to advance the goals of the Department. Promoting candidates who make strong contributions in this respect is important.

Aspects of services that are frequently observed for promotion candidates are the following:

- Service on Departmental committees such as those dealing with undergraduate education, the graduate program, the recruitment of graduate students, faculty recruitment, and other administrative and governance issues.
- Leadership in undertaking and completing the tasks of a committee.
- Participation in and organizing Departmental workshops and related activities.
- Service on College committees.
- Service on University committees and in other capacities in University governance.
- Reviewing manuscripts for journals or other publications.

Other evidence of service includes, but is not limited to:

- Serving as editor or member of editorial board of a major journal.
- Serving as a program chair or organizer of conferences or sessions for conferences.
- Serving as a member of a review panel for major organization.
- Being an officer in a significant professional organization.
- Serving on a major governmental commission, task force, board, or in related capacities.
- Professional service to the local community and public at large.
- Significant consulting activities.

Again, these lists of items are intended to illustrate how candidates may provide evidence for promotion and tenure, but the candidate is not expected to accomplish any particular subset of them.

Additionally, the Department's view is that there is an intangible aspect to service that is difficult to quantify, yet important to evaluate. Thus, it is necessary to rely on faculty judgment in this evaluation.

As in each of the previous categories of evaluation, there are different expectations for candidates for promotion to associate professor than to professor. The former are much less likely to have been asked to take on major leadership roles in committee work or service on College and University committees, or to have much service outside the University. The expectation for service is to be adjusted accordingly. The converse holds for professor

candidates, where the expectation is that more committee work has been accomplished, as well as off-campus service. In either case, there is still the expectation of serving well regarding the intangible aspects of service.

Special Title Series

Special Title Series faculty members have distributions of effort that are designed to meet specific responsibilities and needs in certain areas. The University has guidelines and procedures for appointment, reappointment, promotion, and tenure for this title series given in AR 2:4.

Quoting a section from that AR:

“IV. Guidelines and Procedures for Appointment, Reappointment, Promotion, and the Granting of Tenure

A. Before an individual can be appointed to a position in the Special Title Series, the position must have been approved by the Provost.

B. The Special Title Series is not intended to serve as a means for appointing and promoting individuals who are unable to qualify for appointment or promotion in the Regular Title Series because of demonstrated lack of research competence.

C. The procedures for handling recommendations for appointment, reappointment, promotion, and the granting of tenure in the Special Title Series are the same as those for processing similar recommendations related to the Regular Title Series. (AR II-1.0-1 Pages I-III) However, the pertinent special criteria associated with the approval of a Special Title Series position shall serve as guidance for evaluators in matters related to appointment, reappointment, promotion, and the granting of tenure.”

Note that section C of the above AR indicates that the criteria associated with the approval of the Special Title Series position is to serve as guidance for promotion and tenure evaluation.

The Special Title Series positions are created for particular circumstances and a major difference from Regular Title Series positions often is the substantially different distribution of effort across teaching, research, and service. When this is the only major difference, the criteria for promotion in each of these areas of activity can still be used, with the appropriate weights applied. In cases where there are other major differences, the specific language in the document creating the position will be relied on.