

## Von Allmen School of Accountancy

### Evidences to be Used in the Evaluation of Faculty for Appointment, Reappointment, Promotion, and the Granting of Tenure for Regular Title Series Faculty

Preface: The evaluation of faculty for appointment, reappointment, promotion, and the granting of tenure is an extremely important process for the School, College, and University. While general guidelines can be established, the evaluation is based upon a review of a portfolio of materials. Each candidate's portfolio may have common attributes, yet the weights, emphasis, and accomplishments may be somewhat distinct. Accordingly, the guidelines must be general and cannot be considered exhaustive or exclusive.

The starting point for determining appropriate evidence is the University of Kentucky Administrative Regulations (AR 2:2-1 7/1/08)<sup>i</sup>, which provide the following guidance for promotion and tenure:

I. Three areas of activity are important in the evaluation of faculty for appointment, reappointment, promotion, and the granting of tenure in the regular title series: (1) teaching, advising and other instructional activities; (2) research or other creative activity; (3) professional, University, and public service. Evaluation of a faculty employee's performance in each area of activity should be commensurate with his or her approved distribution of effort agreement. Excellence in teaching, advising and other instructional activities, research or other creative activity, and in professional, University and public service are expected.

Since all appointment, reappointment, promotion, and tenure actions shall be made on the basis of merit. The following detailed statements regarding each of these areas will serve as a guide for evaluating the accomplishments of a faculty member.

#### A. Teaching, Advising, and Other Instructional Activities

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.

#### B. Research and Other Creative Activity

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.

### C. Professional, University and Public Service

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.

## II. Balance of Intellectual Attainment

A major consideration in any appointment, reappointment, promotion, or the granting of tenure is superior achievement in the various activities discussed in the preceding paragraphs. The proportion of these activities will vary in terms of the individual's assigned distribution of effort and specialty. Ideally, individuals selected for tenure should demonstrate superiority in all of the major criteria discussed here as reflected in their assigned distribution of effort. Care must be taken to insure that outstanding performance in a single activity does not receive undue consideration in relation to the other factors that should be considered in evaluating academic excellence.

## III. General Criteria for Ranks

The following general criteria for appointment and promotion serve as guidelines for persons involved in the decision process.

### B. Associate Professor

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.

### C. Professor

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.

General guidelines of evidences to be used by the Von Allmen School of Accountancy in evaluations of faculty for appointment, reappointment, promotion, and the granting of tenure:

The portfolio of evidence used in the evaluation process has common characteristics but should also allow for individual evidence of excellence in research, instruction, and service to be assessed. Diverse areas of excellence, as well as common components, should be considered.

Promotion to Associate Professor and/or the Awarding of Tenure:

#### 1) Teaching, Advising, and Other Instructional Activities

Evidences listed in the AR 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." Other evidence may include teaching awards, letters from graduates, and student performance on professional exams in the individual's area. Obtaining external teaching grant funding also indicates teaching proficiency. Continuous improvement might be demonstrated by improving student evaluations, use of innovative instructional methods, and staying current in the individual's area. Measurement of continuous improvement is ultimately determined by colleagues' letters. Consideration should be given to 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. Many of the evidences are expected to be captured in the candidate's teaching portfolio.

Academic advising is normally not a priority for assistant professors; however, participation on doctoral advisory committees and other doctoral program activities should be considered positively.

#### 2) Research and Other Creative Activity

An external reputation for excellence on a regional or national level is largely determined by outside letters from noted scholars. Internal evaluations are based on publications in refereed journals in the individual's area, to include journals outside of accounting, but within the individual's methodological domain. "Publications...should be evaluated, not merely enumerated"<sup>1</sup> Other factors that should be considered are invited presentations, regional or national awards, invitations to conferences, presentation at conferences or participation as a discussant. Serving as a journal reviewer, editorial board member, or editor also demonstrates evidence of a national reputation.

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<sup>1</sup> University of California, Los Angeles Appointment and Promotion—Review and Appraisal committees. P. 6

Obtaining external research grant funding is uncommon in accountancy, but would certainly be viewed positively.

### 3) Professional, University and Public Service

Scholarly service at the assistant professor level will be evidenced by participation in assigned committees, attendance at Von Allmen School, Gatton College, and University functions, workshops, brownbags as well as attending national and section accounting conferences.

#### Promotion to Professor

##### 1) Teaching, Advising, and Other Instructional Activities

Evidences in the AR 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.” In addition to formal student evaluations, these may include teaching awards or grants, letters from graduates, and student performance on professional exams in the individual’s area. Excellence might be measured by teaching awards or grants, use of innovative instructional methods, textbook authorship. Measurement of excellence is ultimately determined by colleagues’ letters.

Mentoring and advising doctoral students is critical to the success of the Von Allmen School and is essential for promotion to professor. Accordingly, evidence of these activities include serving as a dissertation chairperson or research advisor, coauthoring with doctoral students, serving on dissertation committees, as well as contributions to the general research environment through participation at workshops, brownbags, and other graduate student research events.

#### Research and Other Creative Activity

Excellence is determined by publication in refereed journals, national awards, and appointment as editor or membership on editorial boards of leading journals. The influence of one’s research is also considered, by referring to citations, participation on panels, authoring monographs or scholarly books. Primary evidence; however, consists of letters from scholars at leading universities. Other evidence includes presentation at national, sectional, or other prestigious conferences, attainment of major awards, invited presentations at similar or more prestigious institutions, invitation to serve on editorial boards, to review manuscripts for leading journals, to review grant applications for national funding agencies, and to evaluate candidates from other institutions for promotion and/or tenure.

### 3) Professional, University and Public Service (adapted from University of South Carolina)

The quantity of service to the School, College, University, and profession should increase with rank. Evidence of a candidate’s contribution to service across a broad spectrum of potential activities includes, but is not limited to, the following areas:

Service to the Von Allmen School: Leadership in performance on committees; cooperation with colleagues on research projects and teaching assignments; attendance and participation in workshops, faculty meetings, and other functions sponsored by the Von Allmen School; mentoring of graduate students and junior faculty.

Service to the University and the State: Performance on committees of the Gatton College and the University of Kentucky; 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; including AAA committees

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.

Appointment to prestigious national and regional boards, commissions, and governmental/regulatory entities.

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<sup>i</sup> <http://www.uky.edu/Regs/files/ar/ar2-2-1.pdf>