

PROMOTION AND TENURE PROCEDURES & CRITERIA
DEPARTMENT OF ACCOUNTING AND MANAGEMENT INFORMATION
SYSTEMS
UNIVERSITY OF DELAWARE

I. Procedures

A. Organization & Responsibilities

This Policy applies to all cases of promotion or contract renewal in the Department, including initial appointments to rank and periodic review of faculty.

A terminally qualified faculty member (hereafter also referred to as “candidate”) has the right to apply for promotion to higher professorial ranks at any time (subject to the provisions described in the "University Guidelines for Promotion and Tenure") and has the sole right to advance or withdraw the dossier from the promotion process. Faculty not holding terminal degrees advance in accordance with University Policy. The candidate and relevant departmental steps will follow the schedule and format indicated in the "University Guidelines for Promotion and Tenure." No part of this document is intended to contradict these University guidelines.

There are two authoritative and independent steps in the departmental promotion and tenure process: the Department Promotion and Tenure Committee and the Department Chairperson. The timetable for each step in the process follows the “University Guidelines for Promotion and Tenure.”

1. Definition of Promotion and Tenure Committee for Tenure Track Faculty

For tenure track (TT) faculty, the Department Promotion and Tenure Committee (hereafter, Committee) is responsible for making recommendations on (1) promotion in rank; (2) the granting of tenure; (3) contract renewals for untenured faculty; (4) appointment rank for new hires; and (5) post tenure review. For TT cases, the Committee shall consist of those tenured members of the department who are senior in rank to the particular faculty member applying for the recommendation, and all tenured faculty when the recommendation involves granting tenure only. However, if the number of faculty in the department at the rank being sought or reviewed is

less than five, then the Chairperson of the Department Promotion and Tenure Committee must invite additional faculty at the rank being sought from other departments in the University to serve for purposes of considering a candidate to that rank. The minimum number of faculty for a promotion and tenure committee shall be five. During post-tenure reviews, the committee shall consist of tenured faculty members at or above the rank of the faculty member under review. With concurrence of the Committee, the Chairperson of the Committee may appoint a smaller subset of at least three of the qualifying committee members for purposes of post tenure review; the composition shall be subject to the agreement of the Department Chairperson and faculty member under review. The Chairperson of the Department Promotion and Tenure Committee shall be a Full Professor elected by the committee by the end of the Spring semester preceding the academic year.

2. Definition of Promotion Committee for Continuing Track Faculty

For Continuing Track (CT) faculty, the Committee responsible for making recommendations on 1) initial appointment, 2) contract renewal, 3) promotions, and 4) periodic review. The Chairperson shall be the same as defined in I.A.1. above. For promotion cases and contract renewal, the Committee shall consist of those TT and CT faculty members of the department who are senior in rank to the particular faculty member applying. If there is not at least one CT faculty on the Committee at the rank being sought by the candidate, then one shall be appointed from another department. During the periodic review of CT faculty and any recommendations necessary for an initial appointment, the committee shall consist of TT and CT faculty members at or above the rank of the faculty member under review. With concurrence of the Committee, the Chairperson of the Committee may appoint a smaller subset of at least three of the qualifying committee members for purposes of the review; the composition shall include at least one CT faculty member and one TT faculty member, and be subject to the agreement of the Department Chairperson and faculty member under review.

The quorum for all Committee votes is $2/3$ of those eligible members not on official leave, except as noted for post tenure or continuing review.

Faculty members holding administrative positions that have subsequent standing in the process¹ [i.e., Department Chairperson, Dean] are not eligible for membership on the Committee. Eligible Committee members who are members of a College or University Promotion and Tenure Committee may not vote at the Department level if they intend to participate at the College or University committee levels. The recommendations of the Department Promotion and Tenure Committee, a numerical record of the committee vote, and the promotion file shall be forwarded to the Department Chairperson for inclusion in the promotion file of the candidate. When they arise, signed minority opinions may be forwarded as appendices to the Department Promotion and Tenure Committee's recommendations.

The Department Chairperson reviews the evidence submitted by the candidate, the report of the Department Promotion and Tenure Committee, and the stated criteria, and makes a recommendation supporting or failing to support the candidacy. The Department Chairperson shall explain, in writing, the decision to the candidate and to the Department Promotion and Tenure Committee. The results and rationale of the recommendations of the Department Promotion and Tenure Committee and the Department Chairperson shall be made available to the faculty member in accordance with the University schedule for such procedures in effect during the specific evaluation year.

All deliberations, documents, results of voting, appeal documents and decisions from any and all Committee and Chairperson steps, including the decisions, documents and votes from subsequent steps are confidential. Disclosure to the candidate shall only occur through the formal communications required in each step as transmitted to the subsequent level. Disclosure of confidential information to third parties is forbidden except to the extent required by law or administrative procedure. The Committee Chairperson may brief the Department Chairperson on voting outcomes and summarize rationale prior to the transmittal of formal communications. Copies of the formal communications for all stages shall be confidentially maintained in the department office for review by committee members, however formal communications shall not

¹ Standing in the process is defined in the most restrictive manner to mean submitting a subsequent opinion that is included in the Candidate's dossier. Faculty performing some administrative functions [including but not limited to Associate Chair, Program Director, Associate Dean, Assistant Dean, Area Head, or similar] and that do not submit their own subsequent opinion or participate in a subsequent opinion are permitted to participate on the Committee.

be distributed to members of the Committee, other than the Chairperson, who is normally provided a copy by subsequent steps.

B. Appeals

Appeals will be conducted in accordance with University Guidelines.

C. Application Content

Outside peer evaluation is an important indicator of a candidate's achievement and must be solicited for candidates as specified below. The solicitation of these evaluations must follow certain guidelines. The candidate may submit a list of reviewers, but the Committee can suggest additional names. While the candidate must be informed of all potential reviewers and have an opportunity to comment on them, the Committee makes the final selection. Insofar as reasonable and possible only reviewers without personal ties to the candidate shall be selected. The report of the referees is confidential in that only those individuals making or reviewing a decision have access to it. This includes the Department Chairperson, the Dean of the College, the Department, College and the University Promotion and Tenure Committees, and the Provost.

The Department will make every attempt to make promotion recommendations to the Assistant, Associate, and Professor rank according to the criteria described below. It is the responsibility of the faculty member (candidate) to insure that evidence concerning performance in the areas of teaching, scholarship, and service be included in a dossier and that the dossier be up-to-date on the date of submission to the Department Promotion and Tenure Committee and in the format specified in the "University Guidelines for Promotion and Tenure." At any stage in the process information may be added to the dossier with the candidate's knowledge and approval. It is important that the dossier be well organized and carefully prepared. The Department Promotion and Tenure Committee can give advice to the candidate, whenever possible, on the organization and content of the dossier. It is the candidate's responsibility to present the best case for promotion since she/he is most clearly involved in the outcome.

II. Faculty Evaluation & Voting Procedures

Evaluations will result in separate ratings of performance in the areas of (1) teaching, (2) scholarship, and (3) service according to Department criteria (see Section III below). The evaluation will result in an assessment of the strengths and weaknesses of the candidate.

The evaluation must consider information available in the faculty member's dossier.

Each faculty member shall be responsible for ensuring that his or her dossier is current by the time specified by the University schedule in effect during the evaluation year. Committee meetings to discuss the dossier of a candidate prior to the complete submission of the dossier are not allowed. No decision can be made on a candidate's dossier prior to the review of the complete dossier, which is to include external review letters.

Committee members must complete a thorough review of a candidate's dossier prior to voting or discussing the candidate's performance. Members who have not done so may not participate in the vote or discussion. Voting by absentee ballot is not permitted unless the member has been able to participate in the discussion of the dossier. Discussion includes electronic presence by video and/ or voice connections. Members who did not participate in the original vote may not participate in a subsequent vote should there be an appeal.

III. Promotion and Tenure Criteria

A. Prologue

The evaluation of faculty members by the Committee in each of the areas of teaching, scholarship, and service shall culminate in their being rated as:

Excellent

High quality performance

Below criteria

The evaluation of a faculty member's contribution in the three areas must be made with reference to the departmental mission of increasing the general level of understanding of all

aspects of accounting, management information systems (MIS), or business law. In general, this mission can best be accompanied by: (1) outstanding undergraduate and/or graduate teaching; (2) theoretical and applied scholarly research on problems related to accounting, management information systems, or business law; and (3) the dissemination and interpretation of results to a wide audience. Service at all levels--department, college, University, academic community, profession, community, or governmental agencies--is also an integral part of the University's mission and must not be neglected on the grounds that scholarship and teaching have higher priority. The definitions of excellence in teaching, scholarship, and service given below shall serve as a frame of reference for promotion decisions. Excellence should be achieved in the predominant area of the faculty member's workload. Expectations in other areas should also be aligned with workload.

To be rated as excellent in teaching, a candidate must meet the high standards expected in a department that particularly stresses high quality teaching. The effectiveness of the candidate's teaching should be evaluated with respect to not only effort (soundness, rigor, quality, and depth), but also to learning outcomes for students.

Excellence in scholarship is measured relative to a constantly evolving standard. To be rated as excellent in scholarship, a candidate must have established an impactful research program. This program should be primarily evidenced by publications in prominent refereed academic journals. The candidate's research should have received favorable review by recognized scholars from other universities and indicate unmistakable promise of continuing scholarly productivity.

The service category is important. To be rated excellent in service, a candidate must have demonstrated a high level of achievement in substantive service assignments. The candidate is expected to demonstrate commitment and initiative in carrying out these assignments to the department, to the University, to the profession, to the academic community, and public service to the community².

B. Qualifications for Promotion and Tenure- Tenure Track Faculty (TT)

² As specifically defined in evidential matter section of this document.

1. Assistant Professor

To be eligible for departmental recommendation for appointment or promotion to the rank of Assistant Professor, a faculty member must have been awarded a terminal degree in their field (Ph.D. or its equivalent) and show the potential for future growth and accomplishment in areas of teaching, scholarship, and service. For contract renewal at the rank of Assistant Professor, the candidate must be judged to be making demonstrable progress towards promotion.

Contract renewal and peer reviews occur at intervals specified by the University. Typically, this occurs at years 2 and 4, with the tenure application considered no later than the sixth year. In addition to Departmental review of contract renewals, a Provost and other levels of College and University review also occurs with the tenure application.

2. Associate Professor

To be eligible for department recommendation for appointment or promotion to the rank of Associate Professor, the candidate must at a minimum have achieved ratings of excellence in scholarship and high quality performance in all other categories. Furthermore, there should be clear indications that the individual will continue to progress in each area.

3. Professor

To be eligible for department recommendation for appointment or promotion to the rank of Professor, the candidate must at a minimum have achieved ratings of excellent in scholarship, and high quality performance in all other categories. The overall record is important but particular attention is paid to achievements since promotion to Associate Professor. Promotion to this rank requires an established reputation in the candidate's field and excellent contribution to his or her profession and the University mission. There should be unmistakable evidence of significant development and achievement in teaching, scholarship, and service since the last promotion. Achievements of the candidate for the rank of Professor should be compared with those in similar academic environments.

4. Tenure

Tenure eligibility is defined in the Faculty Handbook. All decisions to grant tenure shall follow review of credentials both by appropriate faculty committees and by administrative officers. Tenure is granted or withheld solely on the basis of merit as determined both by appropriate faculty committees and by administrative officers.

5. Post-tenure review

When called for, the post tenure review of faculty members shall consider the teaching, scholarship, and service accomplishments of the faculty member since the last formal review.

C. Qualifications for Continuing Track Renewal and Promotion (CT)

1. Appointment

To be eligible for Departmental recommendation for appointment to the rank of CT Instructor, a faculty must show the potential for future growth and accomplishment in teaching and advising or other service. Instructors usually have minimal or no scholarship responsibility.

To be eligible for Departmental recommendation for appointment to the rank of CT Assistant Professor, a faculty must hold a terminal degree and show the potential for future growth and accomplishment in teaching, scholarship, and/or service.

To be eligible for Department recommendation for appointment to the rank of CT Associate Professor, the candidate must at a minimum have a level of distinction warranting the appointment. Furthermore, there should be clear indications that the candidate will continue to achieve excellence consistent with his or her workload.

To be appointed to the rank of CT Full Professor, the candidate will be expected to have sustained a level of accomplishment sufficient to be judged as demonstrating excellence in teaching, and excellence or high quality performance in the other areas defined by the workload. This rank denotes exemplary potential in instruction, demonstrated continued scholarship and service, and significant contributions to student education.

2. Contract Renewal

To be eligible for Department recommendation for renewal, CT faculty must at a minimum have achieved ratings of excellent in the emphasis³ of their academic workload and high quality performance in all other categories that are recognized as part of their workload. Furthermore, there should be clear indications that the individual will continue to perform at these levels. In addition, CT faculty must be able to sustain academic and/or professional engagement according to AACSB International standards, as defined by the Department.

For CT faculty, peer review for recommendations on contract renewal occurs at intervals specified by the University. Typically this occurs at years 2, 4, 6, 9, 13, and at 5 year intervals thereafter. In addition to Departmental review of renewals, Provost approval is required at years 6 and 13.

A full peer-review will be conducted at years 6 and 13. Evaluations and recommendations from the Committee and the Chairperson will be conducted at this time. Successful peer reviews at these stages will result in advancement to the titles of Associate Instructor and Senior Instructor, respectively.

To receive a positive sixth and thirteenth year review, CT faculty will be expected to have sustained a level of accomplishment sufficient to be judged as (1) demonstrating excellence in teaching; (2) excellence or high quality performance in the other areas specified in the most recent contract and or workload agreement; and (3) continued growth as a teacher of one's discipline. The individual must also demonstrate ongoing professional development, active service to the University of Delaware community, leadership in the University and profession, and effective student engagement. The overall record in these areas is important, but particular attention is paid to achievements since the last renewal. Advancement within this rank denotes exemplary instruction, and professional development, and significant contributions to undergraduate education. In addition to teaching courses, a CT faculty can have considerable responsibility in student advising, overseeing course development, or managing administrative or

³ Emphasis for continuing non-tenure track faculty is normally "teaching." The existence of a research expectation is determined by the weights assigned in the faculty member's workload in their most recent contract, as described in the approved Departmental Workload Agreement.

service responsibilities related to the instructional program, or special instructional initiatives. All of these activities reflect his or her role as an instructional leader.

a. Promotion of CT Faculty with Terminal Degree

To be eligible for Departmental recommendation for promotion to the rank of CT Assistant Professor, a faculty must hold a terminal degree and show the potential for future growth and accomplishment in teaching, scholarship, and/or service.

To be eligible for Department recommendation for promotion to the rank of CT Associate Professor, the candidate must at a minimum have achieved ratings of excellent in teaching and instructional activity, and high quality performance in all other categories that are recognized as part of their workload. Furthermore, there should be clear indications that the candidate will continue to achieve excellence in the instructional program and high quality performance in all other categories consistent with his or her workload.

To be promoted to the rank of CT Full Professor, a CT Associate Professor will be expected to have sustained a level of accomplishment sufficient to be judged as demonstrating excellence in teaching, and excellence or high quality performance in the other areas specified in the most recent contract and or workload agreement. The overall record in these areas is important but particular attention is paid to achievements since promotion to CT Associate Professor. This rank denotes exemplary accomplishment in instruction, demonstrated continued scholarship and service, and significant contributions to student education. In addition to teaching courses, a CT Associate Professor can have considerable responsibility in student advising, overseeing course development, or managing administrative or service responsibilities related to the instructional program, or special instructional initiatives. All of these activities reflect his or her role as an instructional leader.

4. Periodic Review

CT faculty will undergo periodic review after a successful 13th year peer review. This review normally occurs every 5 years, and will be conducted in a manner similar to the post tenure review of TT faculty.

D. Other Appointments

1. Joint, affiliated, or secondary appointment

Faculty from other University departments seeking joint, affiliated, or secondary appointment at any rank in the Department of Accounting and MIS will be evaluated in the same manner as those with primary appointments. These appointments will be reviewed every three years for renewal.

2. Adjunct & Visiting Appointments

Faculty seeking visiting faculty appointment at any rank in the Department of Accounting and MIS will be evaluated in the same manner as those with primary, full-time appointments. Adjunct faculty do not receive rank but the appointment status will be reviewed for renewal annually by the Department Chairperson, and can be referred to the Committee for deliberation. Visiting or research scholars do not receive academic rank and may be nominated by any full time faculty member acting as their sponsor. Visiting or research scholar status requires approval of the Department Chairperson and the Dean, as well as applicable administrative units within the University.

3. Delegation

The Department Promotion and Tenure Committee may delegate to the Department Chairperson an authority to act on its behalf with regard to other appointments as specified in III. D.

IV. Evidence to be considered in Rating Departmental Faculty Members

Appraisal in each of the three categories is based upon performance on some or all of the following measures. These measures are provided as examples and are not collectively exhaustive. It is the responsibility of the candidate to make the best case in categorizing and

documenting his or her accomplishments. The burden is on the faculty member to clearly make the case for tenure or promotion in his/her dossier.

Regardless of whether a faculty member is hired predominantly for a research role or instructional role, the principal evidential matter for establishing excellence in scholarship should document contributions to discipline-based research in their field. Learning and pedagogical research may also serve as evidential matter for scholarship, however, learning and pedagogical research alone cannot be the basis for establishing excellence in scholarship. Learning and pedagogical research may be used as evidence for both scholarship and teaching if there is contribution to both areas. Scholarly research may also serve as evidential matter for teaching, to the extent that candidate's scholarly contributions are used to inform course content and achieve course objectives.

Evidence for teaching, scholarship, and service has been listed below. For teaching, evidence has been grouped into two categories: Required and Optional.

A. Teaching Evidence

1. Required :

- Student course evaluations. This information includes the detailed quantitative data and the written comments from students in the student course evaluation, course names and numbers, class sizes, response rates, statistics and graphs showing changes over time, and comparisons to some reference groups. The department will provide summary statistics for comparison purposes. The candidate must provide detailed course evaluation results from the University system as background data to support any summaries.
- Samples of course materials such as syllabi, exams, and class assignments that highlight innovations (e.g., major revisions or improvement) in content, pedagogy, and curriculum development.
- Evidence of learning outcomes.

- Independent peer evaluations of teaching or other instructional activities. Cases for excellence in teaching require external evaluations from experts in instructional domains.

3. Optional (Order has no significance):

- Published textbooks, instructional cases, or workbooks. The faculty member must include documentation of adoption rate and/or other success metrics.
- Articles published in recognized prominent refereed pedagogical journals and conference proceedings.
- Written evaluations by graduates.
- Development of significantly new and innovative approaches to teaching (new or novel methods as well as new courses) that expand, integrate, and enrich the education experience.
- An evaluation of individual studies directed.
- Formal recognition of excellence in teaching by some external reputable agencies or groups outside the department.
- Inclusion of the candidate's scholarly work to achieve course objectives.
- Invited presentations on teaching, such as teaching workshops in peer or higher institutions.
- Proceedings in recognized, highly regarded conferences related to pedagogy*.
- External examiner or committee member of a graduate student.

B. Scholarship Evidence

- Scholarly articles published in prominent journals. The importance of a journal corresponds with its stature in a field. Candidates are responsible for providing evidence of a journal's stature, especially in fields other than accounting or management information systems. The departmental journal list for annual appraisals provides guidance for ascertaining a journal's stature.
- Well-regarded scholarly books and published monographs. Candidate must provide evidence that the book/monograph is impactful. Examples of such evidence include adoption rate, citations, prominent publisher, etc.
- Competitive grants from external agencies or highly competitive grants from the University.

- Service on editorial boards or as referees of - prominent scholarly journals. The importance of the editorial role corresponds with the journal's stature.
- Papers presented at or published in proceedings of highly regarded academic conferences,* such as the annual and sectional meetings of the AAA and AIS-affiliated conferences (e.g., ICIS, AMCIS).
- Invited research presentations (panels) at AAA and AIS-affiliated meetings or similar highly regarded conferences.
- Invited research presentations at peer or aspirant institutions for the University of Delaware or at regional colloquia.

* Candidates are responsible for providing objective evidence that the conference is highly regarded. Examples of such evidence include acceptance rate, presentations by prominent scholars, etc.

C. Service Category

- Committee work at the Department, College, and University level.
- Service to the academic community, profession, or governmental agencies.
- Public service related to the role of scholar and teacher(e.g., board participation, pro bono consulting, student centered community activities)
- Invited papers or speeches of a general nature on substantive issues.
- Organization of and participation in symposia or lecture series directed toward students, the academic community, business, or government audiences.
- Book reviews published.
- Administrative duties within the University.

V. Amendments

Amendments to the Department Promotion and Tenure Policy & Procedures may be made by a majority vote of tenured and tenure track faculty members, according to the voting procedures

outlined in the Department Bylaws. For amendments pertaining to I.A.2, III. C., IV.A., and IV. C. those eligible to vote will also include CT faculty.

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