

UMD Department of Accounting
Indices and Standards for Tenure and Promotion to Professor as Required by
Section 7.12 of the
Board of Regents Policy on Faculty Tenure (June 10, 2011) and
Indices and Standards for Promotion to Associate Professor
Approved by the Faculty on 01/25/2010
Approved by the Dean on 06/04/2010
Reviewed by the VCAA on 6/23/2010
Reviewed by the Sr VP August 13, 2011
Approved by the Chancellor on December 15, 2011

I. Introduction

This document describes with more specificity the indices and standards which will be used to evaluate whether candidates meet

- the general criteria for tenure as described in Section 7.11 (Appendix 1) of the *Board of Regents Policy on Faculty Tenure* (June 10, 2011) with revisions noted in the *Tenure Code Application to the UEA (University Education Association) Contracts*,
- The general criteria for promotion to associate professor and
- The general criteria for promotion to professor as described in Section 9.2 (Appendix 2) of the *Board of Regents Policy on Faculty Tenure* (June 10, 2011) with revisions noted in the *Tenure Code Application to the UEA Contracts*.

II. Departmental Mission

The Department of Accounting contributes to the broad teaching, research, and service responsibilities to which the LSBE and the University of Minnesota Duluth campus are dedicated as parts of the total University of Minnesota system. The Department recognizes the offering of quality undergraduate instructional programs as its primary mission. This mission is to provide students with the broad professional and cultural education necessary for leadership in either the private or public sector.

To accomplish this, the Department's goal is to achieve excellence in the creation and dissemination of knowledge in the fields of Accounting and Business Law. Knowledge may be created and disseminated through several methods, but the quality of teaching and scholarly endeavors is the most important factor in maintaining and improving the climate for learning in the Department. Service activities are also recognized as contributing to this mission. For the foreseeable future, the primary thrust of the Department and LSBE will be to remain oriented towards undergraduate education, with a secondary emphasis on graduate (MBA) education. Evaluation criteria and standards within the Department relate to the mission of the Department.

III. Criteria for Tenure

The General Criteria for awarding of indefinite tenure are included in Section 7.11 (Appendix 1) of the *Board of Regents Policy on Faculty Tenure* (June 10, 2011) and with revisions noted in the *Tenure Code Application to the UEA Contracts*. The

present document provides information that relates specifically to the indices and standards and to the evidence required to demonstrate that each criterion has been met. It should be noted that the criteria and evidence spelled out here apply to decisions regarding promotion, as well as to tenure. Recommendations regarding granting tenure, like all other evaluation decisions, begin at the department level. The granting of tenure is completed only when confirmed by the Board of Regents. Because of the importance of tenure decisions, it is crucial that all steps be taken deliberately and reflectively, with sufficient time for judgment to mature, and for the candidate's record to be firmly established.

The procedures outlined in the following paragraphs are designed to insure, insofar as possible, that determinations be made carefully, thoughtfully, and on the basis of the best evidence available. Each of the three basic areas is discussed within the framework of the University rules and regulations and the mission and needs of the Department.

All regular faculty members are expected to demonstrate effectiveness in teaching, scholarly productivity, and service. The question of the relative importance of each of the three areas must be considered. In all circumstances teaching and scholarship must be given primary emphasis; service alone cannot qualify the candidate for tenure. However, at the same time, teaching and advisement loads as well as other factors unique to each individual must be considered in justice and fairness to faculty members who are being evaluated. The total contribution of the individual to the University, including interdisciplinary

work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be factors to be considered, and will govern the final evaluation. The awarding of indefinite tenure presupposes that the candidate's record shows strong promise of his or her achieving promotion to professor rank. Individuals receiving a regular appointment at the rank of assistant professor upon completion of the earned doctorate who have no prior service toward tenure must establish an acceptable record of performance and achievement during their first six years of service. Assistant professors can expect to receive tenure by meeting the standards for performance outlined below. Only under the most unusual circumstances will an assistant professor be recommended for tenure without also being recommended for promotion. Continuous personal development through participation in professional development opportunities in all three domains is expected and encouraged.

A. Teaching

Each candidate will be reviewed by tenured colleagues at the rank of associate or full professor on such items as the candidate's statement of teaching philosophy, course materials, outlines, readings, examinations, and any other items bearing upon the quality and effectiveness of the candidate's teaching. Effective teaching is essential to achieving tenure. It is the candidate's responsibility to document and make available these materials.

- Assessment of teaching effectiveness will be based on a variety of factors such as courses taught, curricular developments, pedagogical innovations, evaluations (by students, advisees, peers, and alumni) and accessibility to students. A commitment to and passionate interest in teaching is expected.
- The creative and innovative efforts of the candidate will be specifically assessed. Such efforts might include introducing new teaching methods, bringing research and case study results into the classroom where appropriate, and discussing relevant journal materials.
- Advising is considered an integral part of one's teaching responsibilities. For effective advising to take place, the faculty member must create a welcoming environment for the advisees and be familiar with curricular requirements to assist advisees in planning their academic programs. While the ultimate responsibility for academic success rests with the student, the faculty advisor is expected to serve as a resource for assisting students in achieving their educational, career, and personal goals. Assessment of advising effectiveness will be based upon a variety of factors such as accessibility to students and evaluation by advisees.

B. Research

Another essential requirement in achieving tenure is demonstrated capability in research or other scholarly and creative professional activities.

Promotion and tenure requires that the candidate has completed work that extends the frontiers of knowledge or that applies knowledge to practical situations in novel or insightful ways.

- Consistent with LSBE’s mission statement, scholarly research can be applied, basic and/or pedagogical in nature.
- The candidate will submit a listing of all published materials (e.g. textbooks, journal articles, working papers,), evidence of successful completion of funded research, papers given at professional meetings, citations of previous work by other authors, and evidence of work in progress. Consideration will be given to the quality, quantity, and impact of the outlets in which a candidate’s work appears (e.g., acceptance rates, editorial boards).
- The candidate must demonstrate evidence of a continuous stream of scholarly activity as opposed to work that is sporadic or of a “flash-in-the-pan” nature. There must be evidence to suggest that scholarly activity will continue after the granting of tenure and promotion to associate professor (e.g., evidence of an active research program and a pipeline of scholarly activity.)

All forms of scholarly inquiry must be considered in the tenure decision, although some research efforts must be ranked higher than others. Contributions to peer-reviewed journals carry the most weight. In addition, a contribution to one of the more prestigious journals in a field may be worth more than contributions to

less prestigious outlets. In some circumstances a scholarly contribution such as a funded project or grant may be regarded as equivalent to a peer-reviewed academic journal article if it carries a similar level of prestige and requires similar level of effort. The Department encourages collaboration; however, the candidate must document the level of contribution for co-authored papers and projects. The impact of the research in the profession or in application will be the ultimate criterion in determining the value and significance of the activity.

- Outside review of a candidate's scholarly output is considered essential and mandatory to add to the objectivity and reliability of internal evaluation. The bulk of one's published scholarly activity should be focused on and appearing in outlets within one's discipline (Accounting or Business Law).
- Finally, the candidate should show substantial evidence of emerging intellectual distinction as demonstrated by internal and external review of the candidate's scholarly work. Several factors can contribute to the subjective assessment of emerging intellectual distinction, such as:
 - Whether a candidate's work extends the frontiers of knowledge, applies existing knowledge to generate practical solutions, or combines existing/new ideas to add to the storehouse of existing knowledge.

- Whether a candidate's work is important and valuable to some recognized audience (such as practicing accountants or lawyers).

C. Service

Candidates will also be reviewed on such items as their performance on committees, service engagements, and their contributions to the academy. In general, a candidate will be evaluated on the basis of:

- Demonstration of being a supportive and contributing colleague within the Department of Accounting, LSBE and the campus such as by providing service on an *ad hoc* basis, and being an active and willing participant on formal committees and subcommittees. Each faculty member is expected to attend department meetings, participate in the School Senate, serve on LSBE committees, and otherwise contribute to the ongoing governance and decision-making process of the University.
- Evidence demonstrating good citizenship (i.e., voluntary acts, which are intended to be positive/constructive in nature, and for which there is no evident *quid pro quo*) within the Department and LSBE.
- Evidence of community-oriented service. For example, faculty members may serve on state or local government commissions, may be active in working with business and organizations who are prospective future employers of the School's students or may share research and other professional areas of competence with the community.

- Evidence of working toward improving their profession by actively participating in the professional organizations related to their areas of expertise. Indications of such participation are membership in professional organizations or associations and service as a leader (officer, committee chairperson, committee member) in such organizations. Participating as a presenter, discussion leader, session chairperson, a program planner or the like at meetings or conferences of professional organizations is further evidence of service to the faculty member's profession. In addition, honors, awards, citations, and listing in professional registers are indications that one is recognized as a positive contributor to his or her profession. In summary, faculty members are expected to serve by giving time and assistance within the realm of one's expertise to one's discipline, professional associations, and colleagues both within and outside the university.

Appraisal of service must be based on more than mere listing of the number of committee assignments. It must include indication of effort, leadership and contribution to the purposes of the service unit (e.g., committee, department, etc.).

IV. Criteria for Promotion

a. Promotion to Associate Professor

To be promoted to associate professor, an individual must have a well-rounded portfolio documenting an established record of effective teaching, research

and service. Time-in-grade, taken in isolation from substantive criteria for promotion, is not considered a valid criterion. Since the standards for granting tenure are ordinarily at least as rigorous as those for promotion to associate professor, the granting of tenure to an assistant professor will ordinarily be accompanied by a promotion to associate professor. However, a grant of indefinite tenure need not be accompanied with a promotion in rank.

b. Promotion to Professor

The promotion to professor is regarded as more significant than the promotion from instructor to assistant professor or the promotion (exclusive of the separate tenure decision) from assistant to associate professor. Time-in-grade, taken in isolation from substantive criteria for promotion, is not considered a valid criterion. The general criteria for promotion to professor is described in Section 9.2 (Appendix 2) of the Board of Regents Policy on Faculty Tenure (June 10, 2011) with revisions noted in the Tenure Code Application to the UEA Contracts. Generally, the basis for promotion to the rank of professor is the determination that the candidate has (1) demonstrated the intellectual distinction and academic integrity expected of all faculty members, (2) added substantially to an already distinguished record of academic achievement, and (3) established a national or international reputation (or both) ordinarily resulting from such distinction or achievement. This determination is reached through a qualitative evaluation of the candidate's record of teaching, scholarly research or other creative work and service. The question of the relative importance of each of the three areas must be considered. In all

circumstances teaching and scholarship must be given primary emphasis; service alone cannot qualify the candidate for promotion. The total contribution of the individual to the University, including interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be factors to be considered, and will govern the final evaluation.

Under normal conditions, six years or more at the rank of associate professor will be needed to establish a sufficient record for promotion, yet the possibility exists for an unusual performance-based exception to this six year expectation. It should also be noted that while not all of the years at the rank of associate professor need to be served at the University of Minnesota Duluth, a reasonable time in rank within the Department of Accounting is necessary to thoroughly assess the credentials and performance of the faculty member. Like the decisions to grant tenure and to promote to associate professor, the decision to recommend promotion to professor is based on the criteria, standards, and performance expectations articulated below.

A. Teaching

- Excellence in teaching. Consideration will be given to courses taught, curricular developments (e.g., new courses designed), pedagogical innovations, evaluations by current students, advisees, and alumni, and accessibility to students.

- A commitment to and passionate interest in teaching, primarily at the undergraduate level, along with support of graduate (MBA) level education.
- Excellence in one's advising responsibilities and relationships.
- Support of students and student organizations.
- A demonstrated willingness to supervise theses, Undergraduate Research Opportunity Program projects, and/or independent study projects.

B. Research

- Consistent with the LSBE's mission statement, scholarly research can be applied, basic, and/or pedagogical in nature.
- Consideration will be given to the type of work (e.g., cases, empirical, theoretical) and its quality, quantity, outlets, and impact. In terms of quantity and quality of published works, the level should be in general greater than that which was demonstrated to achieve promotion to the rank of Associate Professor within the Department. While both dimensions are critical, the quality of that which has been produced is of greater importance than the quantity. Although research published in top journals is valued, there are no expectations that a faculty member must publish in his/her discipline's top journals in order to be promoted to professor.
- Some of the candidate's work must be judged as having advanced the discipline through empirical, theoretical, and/or conceptual (e.g., interpretative, integrative) contributions.

- Evidence of a continuous stream of scholarly activity (e.g., publication of one's scholarly works) is expected since achieving the rank of Associate Professor and indications that scholarly activity will continue after the promotion to professor (e.g., evidence of an active research program and a pipeline of scholarly activity) are expected.

C. Service

Candidates will be reviewed by tenured colleagues at the rank of full professor on such items as their performance on committees, service engagements, and their contributions to the academy. In general, a candidate will be evaluated on the basis of:

- Evidence of having provided assistance and support to one's more junior colleagues. It is expected that helping relationships directed toward more junior colleagues will evolve into the role of active mentorship (e.g., in the realm of teaching and research) subsequent to the promotion to professor.
- Demonstration of being a supportive and contributing colleague within the Department of Accounting and the LSBE, providing service on an *ad hoc* basis, and being a willing and active participant on formal committees and sub-committees.
- Evidence demonstrating good citizenship (i.e., voluntary acts, which are intended to be positive/constructive in nature, and for which there is no evident *quid pro quo*) within the Department and the LSBE.

- Evidence of providing meaningful campus and/or possibly university-wide service.
- Evidence of service to the academy (i.e., giving time and assistance within the realm of one's expertise to one's discipline, professional association, and colleagues both within and outside of the university).

V. Procedures

The Department complies with the procedures for promotion and conferral of indefinite tenure set forth in Section 201.000 of the *Collective Bargaining Agreement between the Regents of the University of Minnesota and the University Education Association* that is in effect at the time of the promotion and tenure review and decision.

Appendix 1

Section 7.11 General Criteria (for tenure). What the University of Minnesota seeks above all in its faculty members is intellectual distinction and academic integrity. The basis for awarding indefinite tenure to the candidates possessing these qualities is the determination that each has established and is likely to continue to develop a distinguished record of academic achievement that is the foundation for a national or international reputation or both [2]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service [3]. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision [4]. Demonstrated scholarly or other creative achievement and teaching effectiveness must be given primary emphasis; service alone cannot qualify the candidate for tenure. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. The awarding of indefinite tenure presupposes that the candidate's record show strong promise of his or her achieving promotion to professor.

[2] **“Academic achievement”** includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus.

[3] **“Scholarly research”** must include significant publications and, as appropriate, the development and dissemination by other means of new knowledge, technology, or scientific procedures resulting in innovative products, practices, and ideas of significance and value to society.

“Other creative work” refers to all forms of creative production across a wide range of disciplines, including, but not limited to, visual and performing arts, design, architecture of structures and environments, writing, media, and other modes of expression.

“Teaching” is not limited to classroom instruction, It includes extension and outreach education, and other forms of communicating knowledge to both registered University students and persons in the extended community, as well as supervising, mentoring, and advising students.

“Service” may be professional or institutional. Professional service, based on one's academic expertise, is that provided to the profession, to the University, or to the local, state, national, or international community. Institutional service may be administrative, committee, and related contributions to one's department or college, or the University. All faculty members are expected to engage in service activities, but only modest institutional service should be expected of probationary faculty.

[4] Indefinite tenure may be granted at any time the candidate has satisfied the requirements. A probationary appointment must be terminated when the appointee fails to satisfy the criteria in the last year of probationary service and may be terminated earlier if the appointee is not making satisfactory progress within that period toward meeting the criteria.

Appendix 2

Section 9.2 Criteria for Promotion to Professor. The basis for promotion to the rank of professor is the determination that each candidate has (1) demonstrated the intellectual distinction and academic integrity expected of all faculty members, (2) added substantially to an already distinguished record of academic achievement, and (3) established the national or international reputation (or both) ordinarily resulting from such distinction and achievement [7]. This determination is reached through a qualitative evaluation of the candidate's record of scholarly research or other creative work, teaching, and service. The relative importance of these criteria may vary in different academic units, but each of the criteria must be considered in every decision. Interdisciplinary work, public engagement, international activities and initiatives, attention to questions of diversity, technology transfer, and other special kinds of professional activity by the candidate should be considered when applicable. But the primary emphasis must be on demonstrated scholarly or other creative achievement and on teaching effectiveness, and service alone cannot qualify the candidate for promotion.

[7] “**Academic achievement**” includes teaching as well as scholarly research and other creative work. The definition and relative weight of the factors may vary with the mission of the individual campus. Not being promoted to rank of professor will not in itself result in special post-tenure review of a tenured associate professor.

References

1. Board of Regents Policy on Faculty Tenure (June 10, 2011)
2. Tenure Code Application to UEA Contracts
3. Collective Bargaining Agreement between the Regents of the University of Minnesota and the University Education Association.