



Department TPR and PTR Documents Routing Sheet
Requirements based on 2020-2021 Faculty Manual

In accordance with the Faculty Manual, each department's TPR document must be approved by the regular departmental faculty, department chair, college dean, and Provost (Chapter V,D1d).

This document is intended to support the documentation of the required approvals.

Department: _____

College: _____

Department Faculty Meeting at which the attached TPR documents were approved:

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Faculty Manual Consultant

I have reviewed this document for conformance to the Clemson University Faculty Manual.

Comments are attached immediately following this cover sheet.

Department Chair

Approved Signature _____

Revision Required (see comments) Name _____ Date _____

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Dean

Approved Signature _____

Revision Required (see comments) Name _____ Date _____

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Provost

Approved Signature _____

Revision Required (see comments) Name _____ Date _____

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Requirements for DEPARTMENTAL TPR and PTR DOCUMENTS – 2020-2021 *Faculty Manual*

Department: School of Accountancy

Date

2/5/2021

NOTE: The TPR document must be approved by the regular departmental faculty, department chair, college dean, and Provost (Chapter V, D1d).

This list may be useful to ensure departmental TPR and PTR documents conform with the *Faculty Manual*. Updated 8/12/2019.

Compliance

NOTE: Principal lecturers must be incorporated into department TPR documents by August 1, 2021

	Requirement	Reference	Yes	No	N/A
0	Consistent otherwise with the <i>Faculty Manual</i> and internally and with departmental bylaws	Ch III, A1c	X		
1	The TPR document is distinct from departmental bylaws	Ch V, D1c	X		
2	Criteria for tenure	Ch V, D1b	X		
3	Process for tenure	Ch V, D1b	X		
4	Consistent with the requirement that tenure applications, once submitted, cannot be withdrawn (New in 2018-2019 <i>Faculty Manual</i>)	Ch V, C3	X		
5	Qualifications (criteria) for reappointment	Ch V, D1c			
5a	* assistant and untenured associate professor	Ch V, D1b	X		
5b	* research faculty	Ch IV, B2e & B2b, i(3)			X
5c	* extension faculty	Ch IV, B2e & B2b, ii(4)			X
5d	* clinical faculty	Ch IV, B2e	X		
5e	* lecturer	Ch IV, B2e; Ch V, C2b, i	X		
5f	* senior lecturer	Ch IV, B2e; Ch V, C2c	X		
5g	* principal lecturer (Can delay until Aug 1, 2021)	Ch IV, B2e; Ch V, C2d	X		
5h	* Professor of Practice	Ch IV, B2e	X		
6	Processes for reappointment (annual except as noted below)	Ch V, D1c			
6a	* assistant and untenured associate professor	Ch V, D1b	X		
6b	* research faculty	Ch IV, B2e			X
6c	* extension faculty	Ch IV, B2e			X
6d	* clinical faculty	Ch IV, B2e	X		
6e	* lecturer	Ch IV, B2e; Ch V, C2b, i	X		
6e, i	* including feedback from senior and principal lecturers	Ch V, D1g	X		
6f	* senior lecturer	Ch IV, B2e; Ch V, C2c	X		
6f, i	* including feedback from senior and principal lecturers	Ch V, D1g	X		
6f, ii	* at least every three years and in penultimate year	Ch V, C2c, i	X		
6g	* principal lecturer (Can delay until Aug 1, 2021)	Ch IV, B2e; Ch V, C2d	X		
6g, i	* including feedback from principal lecturers	Ch V, D1g	X		
6g, ii	* at least every five years and in penultimate year	Ch V, C2d, i	X		
6h	* Professor of Practice	Ch IV, B2e	X		
7	Qualifications (criteria) for promotion	Ch V, C4a, i			
7a	* to associate professor	Ch IV, B1f, iii	X		
7b	* to full professor	Ch IV, B1f, iv	X		
7c	* research faculty ranks	Ch IV, B1e			X
7d	* extension faculty ranks	Ch IV, B1e			X
7e	* clinical faculty ranks	Ch IV, B1e	X		
7f	* to senior lecturer	Ch IV, B1e & B2i, iv(3),(b)	X		
7g	* to principal lecturer (Can delay until Aug 1, 2021)	Ch IV, B1e & B2i, iv(4),(b)	X		
8	Processes for promotion	Ch V, D1c			
8a	* to associate professor	Ch V, D1c	X		
8b	* to full professor	Ch V, D1c	X		
8c	* research faculty ranks	Ch V, D1c			X
8d	* extension faculty ranks	Ch V, D1c			X
8e	* clinical faculty ranks	Ch V, D1c	X		
8f	* to senior lecturer	Ch IV, B2i, iv(3),(b)	X		
8f, i	* including feedback from senior and principal lecturers	Ch V, D1g	X		
8g	* to principal lecturer (Can delay until Aug 1, 2021)	Ch IV, B2i, iv(4),(b)	X		
8g, i	* including feedback from principal lecturers	Ch V, D1g	X		

Procedures and committee structure of departmental TPR committees, adhering to *Faculty Manual* requirements to include at least the following:

9	• Procedures the TPR Committee must follow	Ch V, D1c	X		
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10	• The composition of the TPR committee shall be defined in the TPR document (change from 2018-2019; this committee need not be elected)	Ch V, D1e, i	X		
11	• The TPR committee's members shall not be appointed by the department chair (new in 2019-2020)	Ch V, D1e, i	X		
12	• Voting rights on a committee making tenure recommendations are limited to tenured regular faculty	Ch V, D1e, ii	X		
13	• The Committee shall be composed of full-time regular faculty members excluding individuals who as administrators, have input into personnel decisions such as appointment, tenure and promotion	Ch V, D1e, ii	X		
14	• Voting rights on a committee making a recommendation concerning promotion to rank or appointment at a rank are limited to regular faculty with equivalent rank or higher	Ch V, D1e, iii	X		
15	• The Committee must have a minimum of three departmental members, and a mechanism to elect additional regular faculty members from outside the unit (by the regular faculty of the unit).	Ch V, D1e, iv	X		
16	• Departmental procedures for peer evaluation shall be in writing in the TPR document and shall be available to the faculty, the chair, the dean, and the Provost	Ch V, D1f, i	X		
Guidelines providing details of the PTR process adhering to <i>Faculty Manual</i> requirements to include at least the following:					
17	Post tenure review criteria and processes are documented in the TPR document	Ch V, G3a	X		
18	• Specific guidelines	Ch V, G3a	X		
19	• Specification of ONE option for external representation	Ch V, G6a	X		
19a	• Process for <i>selecting</i> an external PTR member if this is part of the Post-tenure review process	Ch V, G6a, ii	X		
19b	• If external letters are required for post-tenure review, there must be at least four letters, two from list of six submitted by faculty member	Ch V, G6e	X		
19c	• Allow each faculty member under review the option of either having external letters solicited or incorporating the external committee member in the review process	Ch V, G6a, iii	X		
20	• Procedures for creating the Post-Tenure Review Committee (need not be separate from the TPR Committee; need not be elected)	Ch V, G4a	X		
21	• Only tenured faculty may serve on the PTR Committee	Ch V, G4b	X		
22	• The PTR Committee shall have a minimum of three members	Ch V, G4c	X		
23	• Faculty members in Part II of PTR are not eligible to serve on the PTR committee	Ch V, G4d	X		
24	• The PTR Committee shall elect its own chair	Ch V, G4e	X		

Comments

STANDARDS FOR GOAL SETTING, ANNUAL PERFORMANCE REVIEWS, TENURE, PROMOTION, REAPPOINTMENT, AND POST-TENURE REVIEW

FACULTY OF THE SCHOOL OF ACCOUNTANCY

**COLLEGE OF BUSINESS
CLEMSON UNIVERSITY**

FOREWORD

The following *Standards for Goal Setting, Annual Performance Reviews, Tenure, Promotion, and Reappointment* derive their authority from the *Clemson University Faculty Manual* (as dated August 2020), that states in part:

Because the regular faculty of a department or equivalent academic unit is the primary judge of the qualifications of its members, peer evaluation is essential in recommendations for appointment, reappointment, tenure, and promotion. All peer recommendations regarding any individual holding regular or special faculty rank in a department shall, therefore, originate within the regular faculty of that department. (IV-A)

All faculty should apprise themselves of the sections of the *Faculty Manual* that deal with goal setting, annual performance review, tenure, promotion, and reappointment.

GOAL SETTING AND ANNUAL PERFORMANCE REVIEWS

At the beginning of each academic year, all faculty members will prepare performance goals for teaching, research, and service, as applicable by contract. Upon finding that the goals and percentage of effort applicable to each category are acceptable, the Director shall approve them.

The goals and anticipated percentage effort of each untenured, tenure-track faculty member will be reviewed and approved by the Director, and then reviewed by the Tenure, Promotion, and Reappointment Committee (TPR Committee) during their annual evaluation process. Changes to goals and/or percentage of effort may be made at the beginning of the following semester. Once initial approval has been given, the Director must notify the TPR committee of any subsequent changes prior to re-approval.

Annual reviews are based upon:

1. The goals approved by the Director as entered into the University's evaluation/advisory system,
2. The year-end summary of efforts, as entered in the University's evaluation/advisory system by the faculty member, and
3. Documentation to support the activities and accomplishments entered in the University's evaluation/advisory system (for example see the indicators of distinguished and marked success included in this document in the respective sections on teaching, research and service).

The Director shall evaluate the evidence submitted by the faculty member for each performance dimension. A weight may be placed upon performance in each area consistent with the percentage of

effort agreed upon for that activity when the faculty member's goals were approved or subsequently adjusted with approval. We use the scale for annual performance review provided by Clemson University. Each performance dimension will be rated and the faculty member assigned an overall rating consistent with the percentage of effort as agreed upon.

A faculty member's annual review shall be one factor considered by the Director and the TPR Committee in making tenure, promotion and reappointment decisions. However, the Director and the TPR Committee shall look at all relevant facts and are expected to exercise professional judgment in tenure, promotion and reappointment decisions.

TENURE, PROMOTION AND REAPPOINTMENT

Applicability

The Department does not have Research or Extension Faculty. The segments of the *Faculty Manual* pertaining to those ranks are therefore inapplicable herein.

TPR Committee

1. **Composition:** This committee shall be composed of all tenured School of Accountancy regular faculty members. One of the members will be elected annually by the committee as chair. In the event there are fewer than three (3) such tenured professors, qualified tenured professors from other academic departments may be nominated for election to this committee by any member of the TPR Committee and shall be voted on by the regular faculty in the department. Faculty members in Part II of ex post tenure review are not eligible to serve on the TPR committee.
2. **Term:** NA
3. **Duties:** This committee will provide recommendations for promotion, reappointment, and the granting of tenure of School of Accountancy faculty based on standards approved by the Voting Members (i.e., TPR Document). Procedures of this committee shall follow the Faculty Manual and the TPR Document. Recommendations will be provided to the Dean of the College. The voting outcomes, including tie votes, of this committee's deliberations will be reported as such in all letters of recommendation. The members will diligently review the electronic file and materials prepared by each person under review and perform their tasks free of bias.
4. **Restrictions:** The associate professor members of this committee will not be included in meetings concerned with promotion to, or tenure for, rank of professor.
5. **Deliberations:** The deliberations of the committee will remain confidential at all times except when testifying before a grievance board of the University or when compelled by a court subpoena.
6. **Exclusions:** The Department Chair (or any other administrative appointment, if applicable) may not participate in the deliberations of the TPR committee, but may upon request of the committee, serve as a resource for it.
7. The TPR Committee also serves as the committee for post tenure reviews and is subject to all criteria above.

Overview

The performance criteria and standards set forth in this part are intended to establish indicators of distinguished and marked success for teaching, research and publication, and service to the profession, the institution, and the public, and to outline the School's policy with respect to reappointment, promotion, and tenure recommendations. The standards provide information which may be useful for faculty career planning and development. The primary goals of the standards are to promote faculty performance and development and to enable the School to achieve national recognition in the disciplines of accounting and law. The standards recognize that performance expectations and reappointment, promotion, and tenure standards may change over time. Thus, decisions made in one year are not necessarily precedents for decisions made in subsequent years.

Dimensions of Performance

Tenure, promotion, and reappointment decisions are based on three dimensions: teaching, research and publication, and service to the profession, the institution, and the public. Each faculty member, in collaboration with the Director of the School, is responsible for setting individual goals and agreeing upon the distribution of effort among teaching, research and publication, and service responsibilities (see previous section titled, "Goal Setting and Annual Performance Reviews"). The standards consist of success measurements for the teaching, research and publication, and service performance dimensions. There are two categories of success measurements: *indicators of distinguished success* and *indicators of marked success*.

Teaching

Teaching is the fundamental responsibility of each faculty member and marked success in teaching is a minimal requirement for reappointment, promotion, or tenure. Teaching performance must be documented with student evaluations; at least one other source is recommended.

High quality teaching is academically rigorous, technically current, and effectively delivered. Faculty should encourage maximum student learning and prepare students to think critically, solve problems effectively, and interact successfully with their peers. Performance in class is the most visible manifestation of a faculty member's teaching effectiveness, but it is not the only one.

Examples of Indicators of Distinguished Success in Teaching:

- Evidence of a high level of scholarly course content, instructional skills, and rigor in grading. Sources of such evidence include:
 - Student evaluations of the course on the standardized University class evaluation survey
 - Evaluations by peers of teaching or teaching portfolios, including classroom observations by Director or peers
 - Evaluations by students in exit interviews, exit surveys, or focus groups
 - Recommendations by former students, especially if unsolicited
- Receipt of a professional, University, College, or School teaching award.
- A significant leadership role in major curriculum changes and other instructional programs. Leadership roles include:
 - Development of a new course to aid the School's teaching mission
 - Dissemination of materials describing the design and implementation of new courses
 - Significant contributions to committees charged with designing and implementing curriculum changes

- Textbooks, written cases with instructional materials, instructional software, and similar works that are widely adopted or acclaimed
- Taking on new and/or multiple preparations that significantly aids the School's mission.

Examples of Indicators of Marked Success in Teaching:

Evidence of a scholarly course content, instructional skills, and rigor in grading. Sources of such evidence are provided above in the first major bullet point listed above

- Completion of programs or workshops resulting in improved teaching methods
- Major revisions of existing courses
- Taking on a leadership role in teaching activities, including (but not limited to):
 - Coordination of multi-section courses
 - Directing a teaching workshop
 - Development of instructional cases, software, and other materials

It is important to note that the interpretation of scores on teaching evaluations is difficult. While guidance is provided above, it is expected that the Director and the TPR committee will apply professional judgment to the interpretation of such scores considering such factors as the nature and level of the course.

Research and Publication

Research is an integral part of a faculty member's job, and it is the primary activity which keeps the content of education current, pertinent, and challenging to students. The professional reputation of the School is enhanced primarily through its basic and applied research productivity. Therefore, research published in high-quality refereed academic publications (in accordance with guidance provided in annual TPR letters) is a critical performance dimension in faculty reappointment, promotion, and tenure decisions. This TPR document mentions the phrase "high-quality journals" in several places. Faculty members should review annual TPR letters for specific guidance regarding which journals are considered "high quality".

Both the quality and quantity of research and publications are important. However, quality of contribution to the body of knowledge in a faculty member's area of interest in the disciplines of accounting or law is the major criterion. External funding for research is noteworthy. Collaboration in research and publications is desirable, but faculty members should develop a publication record that also includes lead-contributor or single-authored works.

Examples of Indicators of Distinguished Success in Research and Publication:

The threshold for distinguished success in research and publication is:

- Publication of articles in high-quality refereed academic journals, primarily in accounting or law journals.

Activities that help round out a record of distinguished success in research are:

- Publication of scholarly research monographs or books or chapters in such publications
- Research or publication awards conferred by journals or professional associations
- Citations
- Presentation of a plenary at a national or international conference
- Invitations to visit and present research at peer (and higher) institutions
- Publication of articles in other refereed academic journals.

Examples of Indicators of Marked Success in Research and Publication:

The threshold for marked success in research is:

- Progress (appropriate for years of service towards tenure) towards publication of articles in high-quality refereed academic journals, primarily in accounting or law journals

Activities that help round out a record of marked success in research and publication are:

- Publication of technical reports by research sponsors
- Publication of articles in widely recognized journals of practice
- Presentation of refereed papers at international or national meetings
- Publication of articles in other refereed academic journals

It is important to note that making an assessment of the quality and impact of research is difficult. While guidance is provided above, it is expected that the Director and the TPR committee will apply professional judgment when making an assessment of research performance.

Service to the Profession, the Institution, and the Public

As a professional school in a land-grant academic institution, the faculty of the School serves various constituencies, for example the students, the academic profession, the University and the College, the accounting, legal, and business communities, and the citizens of South Carolina. Faculty members are expected to serve consistent with their levels of appointment and consistent with the missions of the College and School. The extent of contributions will be considered when reappointment, promotion, and tenure decisions are made by the TPR Committee. Acceptable service activities include those that benefit and enhance the School's relationships with academic, accounting, legal, and business organizations, state, federal, and local government agencies, and other units within the University.

Examples of Indicators of Distinguished Success in Service:

The threshold for distinguished success in service is:

- Exceptional service on or Chair of a School, College, or University committee
- Providing a leadership role in accreditation
- Providing other significant service to the School, College, or University

Activities that help round out a record of distinguished success in service are:

- Officer of a national academic or professional organization
- Editorship of high-quality refereed academic journal
- Editorial board member of a high-quality refereed academic journal
- Program, division, track or area chairperson of a national or international meeting
- Service on a major government commission, task force, or board
- Chairing a AAA (or section) committee
- Obtaining significant external resources

Examples of Indicators of Marked Success in Service:

- Supporting student and professional events
- Service on dissertation or thesis committee
- Service on School, College, or University committee
- Fostering firm relationships
- Service on AAA (or section) committee
- Ad hoc reviewer for a high-quality referred academic journal
- Other journal editorial activity

- Reviewer or discussant for international or national meetings
- Grant reviewer for national research organization
- Advisor to student organization
- Outside reviewer for promotion and tenure decisions at other institutions
- Contribution to external development efforts
- Speaking to academic or practitioner group
- Significant community service that utilizes professional skills

It is important to note that assessing performance on service is difficult. While guidance is provided above, it is expected that the Director and the TPR committee will apply professional judgment to the interpretation of such criteria. For example, while certain activities are provided as indicators of marked success, extensive service on multiple dimensions could rise to the level of distinguished success.

Tenure, Promotion, and Reappointment Requirements and Processes

The School's TPR Committee is responsible for making tenure, promotion, and reappointment recommendations in accordance with the procedures set forth in the Clemson University *Faculty Manual*. As a faculty member's career progresses, it is expected that his or her work will place greater emphasis on the indicators of distinguished success. It is important that there be continuous, sustained performance as the faculty member's career progresses.

The faculty manual sets forth minimum expectations for promotion. Importantly, it also states, in part:

These standards are not imposed rigidly, however. Further, it should be understood that satisfying the minimal education and experiential requirements does not in itself necessarily justify advancement in rank. .. (I.C.)

For all tenure, promotion, and reappointment decisions, a written assessment will be provided by the School's TPR Committee to the Dean, with a copy to the faculty member. For each decision, teaching, research and publication, and service are to be assessed independently. Again, we use the performance evaluation scale provided by Clemson University. An overall assessment rating, using the same scale, is to be stated also.

Reappointment:

Reappointment decisions for tenure-track faculty are based on judged progress toward promotion to Associate Professor and tenure. In the early years with respect to the official evaluation year (as opposed to the employment year) for the tenure-track faculty, reappointment decisions may be made in part on the basis of inputs, activities, and potential. Beginning in the third year there should be substantial evidence of progress and promotion and tenure projectable given trends in teaching, research and publication, and service.

Examples of Indicators of Substantial Progress Suitable for Reappointment (in each of the areas of research, teaching, and service):

- Revise and resubmits at high-quality refereed academic journals (in year three; late round revise and resubmits in later years)
- Publications at high-quality refereed academic journals
- Performing at a marked level of success in teaching
- Performing at a marked level of success in service

Tenure and/or Promotion to Associate Professor:

The School of Accountancy is committed to maintaining and enhancing its collaborative and inclusive community. All faculty members are expected to be collegial members of the School with respect to teaching, service, and research activities. The importance of collegiality stems from Clemson's unique vision of 'family'. Clemson University's Mission Statement states in part:

Our distinctive character is shaped by a legacy of service, collaboration, and fellowship forged from and renewed by the spirit of Thomas Green Clemson's covenant (1.A. of the faculty manual). The distinctive character of Clemson is reflected in the culture of collegiality and collaboration among faculty, students, staff, the administration, and the university board" (1.A.1. of the faculty manual).

Collegiality is the willingness to contribute as needed to the effectiveness of the School; being a good team member in all areas.

Examples of Collegial Behaviors Include (but are not limited to):

- Attending and contributing to brown bags and research workshops, student, firm, and School events.
- Willingness to provide assistance and/or work with colleagues on teaching, research, and/or service activities.
- Being available, open, and facilitating of interactions with students and colleagues.
- Being respectful and inclusive of differences in methodologies, interests, and points-of-view.

The granting of tenure implies a long-term commitment on the part of Clemson University and is, consequently, the most critical decision the University makes regarding a faculty member. Although collegiality is not a dimension of performance that is quantitatively rated, it provides the foundation upon which the tenure decision rests. Without such foundation, tenure will not be granted.

Conferring of tenure implies that the faculty member has shown promise for future accomplishments. The minimum requirements for promotion to associate professor according to the University's faculty manual are "marked success in teaching, research, and/or public service, as specified in the department's TPR criteria" (1.D.3)

The School's specific requirements for tenure and/or promotion to associate professor include:

- Should hold the PhD, DBA or other appropriate terminal degree in accounting, law, or other appropriate field.
- Should have at least six years total experience in a baccalaureate institution, four of which must be in a tenure track position.
- The School is committed to the University's mission statement characterizing itself as a research university at a high level. The expectation, therefore, is that the faculty member will have a documented record of distinguished success in research and be on track for establishing a national or international reputation in their area of specialization. Distinguished success in research must include a portfolio of high-quality academic journal articles in a diverse set of refereed outlets primarily in the disciplines of accounting or law.
- While research activities are important, the School is also committed to the University's vision of service to the student. Accordingly, the expectation is that the faculty member will have demonstrated a commitment to, and a capacity for, delivering a quality product. At a minimum, this may be demonstrated by a documented record of at least consistent marked success in

teaching.

- Should have consistently achieved a rating of at least marked success on service.
- Should contribute to the productivity of the faculty as a whole.
- Requests for tenure must be accompanied and supported by reviews from faculty at peer institutions. The purpose of the reviews is to obtain an independent, outside evaluation of the quality of the faculty member's research/publication outputs. At least four reviews are required, two of which may be obtained from a list of reviewers provided by the faculty member. At least two of the four reviews should be from reviewers that are independent of the candidate (i.e., no co-authors or members of dissertation committees).

This document purposely does not state specific numbers (e.g., number of publications, teaching evaluation scores, etc.) required for tenure and promotion decisions. Each person will create a unique research portfolio, teach different courses in different locations, and engage in different service activities. Thus, the TPR committee will assess each person as a unique case. In doing so, the TPR committee will apply professional judgment to the entire package that the individual presents at the time of tenure and/or promotion.

Promotion to Professor:

Promotion to full professor is a significant accomplishment. To earn this promotion, a faculty member is expected to be a leader in the School of Accountancy, the Profession, and/or the University. The minimum requirements for promotion to full professor according to the University's faculty manual are: "significant scholarly or creative accomplishment... [which] is granted on the basis of distinguished success in all areas of assigned responsibility in teaching, research, and/or public service" (1.D.4)

The School's specific requirements for promotion to professor include:

- Should hold the PhD, DBA or other appropriate terminal degree in accounting, law, or other appropriate field.
- Should have at least 10 years total experience in a baccalaureate institution, with at least four years as Associate Professor.
- Should have a documented record of consistent distinguished success in research. The record must include a portfolio of high-quality academic journal articles in a diverse set of refereed outlets primarily in the disciplines of accounting or law. The record should result in national or international recognition in the area of specialization. Examples of evidence supporting the establishment of a national or international reputation include (but are not limited to): the quality and quantity of publications in high-quality journals, being the lead contributor on collaborations with junior faculty, being asked to be on an editorial board or serving as an ad-hoc reviewer for high-quality journals, engaging in consistent service as a discussant and presenter in national academy meetings, or having highly cited articles. As a general guideline, the total research record at Clemson should reflect a doubling of the current research expectations for tenure. Faculty members will be evaluated on their total record with an expectation of continued research productivity.
- Should have a documented record of consistent distinguished success in both teaching and service. Moreover, promotion to full professor signifies that the faculty member has demonstrated significant leadership in at least one of the areas. Examples of leadership activities in teaching include (but are not limited to): developing a new course that benefits the School of Accounting and/or disseminating course materials. Examples in service include (but are not limited to) chairing a significant School of Accountancy committee, performing

- significant administrative activities, or serving as an Editor at a high-quality journal.
- Requests for promotion to Professor must be accompanied and supported by reviews from faculty at peer institutions. The purpose of the reviews is to obtain an independent, outside evaluation of the quality of the faculty member's research/publication outputs. At least four reviews are required, two of which may be obtained from a list of reviewers provided by the faculty member. Two of the four reviews should be from faculty who are independent of the candidate.

This document purposely does not state specific numbers (e.g., number of publications, teaching evaluation scores, etc.) required for tenure and promotion decisions. Each person will create a unique research portfolio, teach different courses in different locations, and engage in different service activities. Thus, the TPR committee will assess each person as a unique case. In doing so, the TPR committee will apply professional judgment to the entire package that the individual presents at the time of tenure and/or promotion.

Post Tenure Review:

(Note: The School's post tenure review is primarily taken directly from the Faculty Handbook). Post Tenure Review is a two-part process. Part I consists of the Post-Tenure Review committee's review of the ratings on the most recent available series of five years of annual performance reviews. All tenured faculty members receiving no more than one (of five) annual performance rating of "fair," "marginal," or "satisfactory" in Part I of the Post Tenure Review process receive a Post-Tenure Review rating of "satisfactory." These faculty members are thereby exempt from Part II of Post-Tenure Review.

Part II of Post-Tenure Review consists of additional review by the Post-Tenure Review committee and the Director of those identified in Part I as subject to further review (see detailed *Post-Tenure Review Standards and Procedure*). All tenured faculty receiving two or more annual performance ratings of "fair," "marginal," or "unsatisfactory" will be reviewed under Part II of Post Tenure Review.

1. In order to ensure adequate external representation in the Part II Post-Tenure Review process, each faculty member under review has the option of either having external letters solicited or incorporating an external committee member in the review process.
 - i. The Post-Tenure Review committee is required to obtain a minimum of four reference letters of which at least two must come from the list of six submitted by the faculty member. The reference letters should come from universities the school has identified as "peer institutions."
 - ii. The external committee member or professional equivalent from outside the school must hold the rank of professor and receive a majority vote from tenured faculty not under Part II review.
2. The faculty member undergoing Part II of Post-Tenure Review must provide, at a minimum, the following documents to the Post-Tenure Review committee and the Director:
 - i. A recent copy of the curriculum vita (paper or electronic);

- ii. A summary of student assessment of instruction for the last 5 years including a summary of statistical ratings from student assessments of instruction (if appropriate to the individual's duties);
 - iii. A plan for continued professional growth;
 - iv. Detailed information about the outcomes of any sabbatical leave during the preceding five years; and
 - v. If the faculty member under review selects the external letters option, the faculty member must provide names of six reviewers outside the school who the Post-Tenure Review committee could contact for references. At least three of the external referees should be from "peer institutions" as identified by the school.
 - vi. To evaluate the faculty member, the post-tenure review committee will primarily use the performance criteria related to teaching duties outlined for promotion to the faculty member's current rank, along with the material received in point 1 above (of this section) and the plan for continued professional growth (2.iii of this section) as a basis for forming the candidate's final rating. If the final rating is satisfactory, the dean will forward that information to the Provost in summary form without appending any candidate materials. If the candidate's final rating is unsatisfactory, the dean will forward all materials to the Provost."
 - vii. Remediation must occur when individuals receive a rating of Unsatisfactory so there is time to correct deficiencies detailed in the Post-Tenure Review reports. The Director in consultation with the Post-Tenure Review committee and the faculty member will provide a list of specific goals and measurable outcomes the faculty member should achieve in each of the next three calendar years following the date of formal notification of the unsatisfactory outcome. The University will provide reasonable resources (as identified in the Post-Tenure Review reports and as approved by the Director and the dean) to meet the deficiencies. The Director will meet at least twice annually with the faculty member to review progress. The faculty member will be reviewed each year by the Post-Tenure Review committee and the Director, both of whom shall supply written evaluations. At the end of the three-year period, another post-tenure review will be conducted. If the outcome is again Unsatisfactory, then the faculty member will be subject to dismissal for unsatisfactory performance. If the review is Satisfactory, then the normal five-year annual performance cycle will resume.
 - viii. Dismissal for Unsatisfactory Professional Performance, when recommended, will be subject to the rules and regulations outlined in the Part IV, Section F "Resignation, Termination, and Dismissal" of the *Faculty Manual*.
3. The Director must provide the Post-Tenure Review committee with copies of the faculty member's annual performance reviews covering the preceding five years.

4. The role and function of each faculty member, as well as the strength of the overall record, will be examined by the Post-Tenure Review committee. If the faculty member under review selects the external letters option, the Post-Tenure Review Committee is required to obtain a minimum of four reference letters of which at least two must come from the list of six submitted by the faculty member under review.
5. The Post-Tenure Review committee will provide a written report to the faculty member. The faculty member should be given at least two weeks to provide a response to the committee. Both the committee's initial report and the response of the faculty member will be given to the dean of the academic unit. The Director will submit an independent written report to the faculty member who will then have two weeks to provide a response. The Director's original report and the faculty member's response will be forwarded to the college dean. The ratings of either Satisfactory or Unsatisfactory will be used in all stages of the review by the Post-Tenure Review committee and the Director.
6. If both the Post-Tenure Review Committee and the Director, or either the Post-Tenure Review Committee or the Director, rates the faculty member as satisfactory, the faculty member's final rating shall be satisfactory. If both the Post-Tenure Review Committee and the Director rate the candidate as unsatisfactory, the faculty member's final rating shall be unsatisfactory.

Reappointment and Promotion to Senior Lecturer:

Criteria and Processes for Reappointment as Lecturer

Lecturers will be evaluated annually by the TPR committee and by the Department Chair. The TPR committee will review lecturers based on the materials input to their electronic file and assess performance against the criteria specified above (dimensions of performance for teaching and service). The TPR committee will consider judged progress toward promotion to Senior Lecturer. The TPR committee will solicit at least one assessment from Senior Lecturers and/or Principal Lecturers in the Department to provide a peer assessment for the reappointment request. The assessment will cover collegiality and knowledge of teaching and/or service performance, if aware of such. Following the fourth year of service, the TPR committee will either respond to a request for promotion or advise the lecturer of progress towards promotion to senior lecturer. If a lecturer is not promoted to senior lecturer before or during the eighth year of service, the lecturer will not be reappointed following the ninth year (i.e., a terminal year).

Promotion to Senior Lecturer

Decisions for promotion to senior lecturer are based on the requirements stated in the University Faculty Handbook, which states in part, "Accordingly, length of service is, itself, not a sufficient criterion for promotion to senior lecturer." The promotion decision is based on achieving a consistent record of at least marked success in teaching and at least marked success in service. Lecturers should provide detailed evidence supporting the request for promotion. The TPR committee will solicit at least one assessment from Senior Lecturers and/or Principal Lecturers in the Department to provide a peer assessment for the promotion request. The assessment will cover collegiality and knowledge of teaching and/or service performance, if aware of such.

Criteria and Processes for Reappointment as Senior Lecturer

The TPR committee and the Department Chair will evaluate Senior Lecturers once every three years. The TPR committee will review Senior Lecturers based on the materials input to their electronic file and assess performance against the criteria specified above (dimensions of performance for teaching and service). The TPR committee will take into account judged effectiveness as a Senior Lecturer. The TPR committee will solicit at least one assessment from Senior Lecturers and/or Principal Lecturers in the Department to provide a peer assessment for the reappointment request. The assessment will cover collegiality and knowledge of teaching and/or service performance, if aware of such. Following the fourth year of service, the TPR committee will either respond to a request for promotion or advise the Senior Lecturer of progress towards promotion to Principal Lecturer.

Promotion to Principal Lecturer and Reappointment:

Promotion to principal lecturer is a significant accomplishment. Decisions for promotion to principal lecturer are based on the requirements stated in the University Faculty Handbook, which states in part, "Accordingly, length of service is, itself, not a sufficient criterion for promotion to principal lecturer. Instead, the process and criteria for promotion from senior lecturer to principal lecturer are determined by departments/schools and shall be described in their TPR document". The promotion decision is based on achieving a consistent record of distinguished success in teaching, leadership in teaching, and distinguished success in service. For examples of distinguished success in teaching, see examples provided earlier in this TPR document. Examples of leadership in teaching for promotion to principal lecturer include (but are not limited to) the following: (1) Development of a new course within the School of Accountancy; (2) textbooks, pedagogical articles, published cases with instructional materials, instructional software, and similar works that are widely adopted or acclaimed; (3) significant leadership to other faculty regarding online and innovative/emerging instructional techniques (e.g., significant leadership with developing online courses); (4) regular presentations of teaching methods and/or discussions of pedagogical papers at conferences. Regarding service, applicants should demonstrate a significant and consistent program of service that is strategically selected and aligns with the department, college, and university strategic plans. This focused and programmatic approach to service should also include mentoring lecturers and assisting with special events, projects, or other activities sponsored by the department, college, and/or university. Examples of distinguished success in service for promotion to principal lecturer include (but are not limited to) the following: (1) taking on a significant leadership role within the School of Accountancy (e.g., leading the graduate program); (2) taking on a significant leadership role within an accounting student organization (e.g., leading the BAP chapter); or (3) providing substantial, ongoing service on department, college, or university committees beyond basic committee membership (e.g., leading the external relations committee, serving on the faculty senate, etc.). The TPR committee will solicit at least one assessment from Principal Lecturers (if any) in the Department to provide a peer assessment for the promotion request. If there are no Principal Lecturers in the Department, then at least one Senior Lecturer will provide an assessment. The assessment will cover collegiality and knowledge of teaching and/or service performance, if aware of such.

Criteria and Processes for Reappointment as Principal Lecturer

To maintain their status as a principal lecturer in the School of Accountancy, principal lecturers must maintain and continue excellence in the areas of teaching and service. This means a continued demonstration of evidence of excellent teaching, as well as the performance of significant and programmatic service to the mission of the department, college, and university

consistent with that which led to their promotion to principal lecturer. The TPR Committee and the Department Chair will evaluate Principal Lecturers at least once every five years. The TPR committee will solicit at least one assessment from Principal Lecturers (if any) in the Department to provide a peer assessment for the reappointment request. If there are no Principal Lecturers in the Department, then at least one Senior Lecturer will provide an assessment.

Reappointment and Promotion of Clinical Faculty to Associate and Full Clinical Professor:

Reappointment decisions for clinical faculty are based on an assessment of performance against the stipulated contractual obligations. The TPR committee and the Department Chair will evaluate Clinical Faculty annually (or as stipulated in the employment letter). The review will be based on the materials input to their electronic file and will assess performance against the criteria specified above (dimensions of performance for research, teaching, and service). The TPR committee will take into account judged progress toward promotion to Associate and Full Clinical Professor, using the same timeline as for tenure-track faculty. However, Clinical Faculty may remain as Assistant for an unlimited time period.

For promotion to the level of associate, the clinical faculty member is expected to have a documented record of consistent distinguished success in one of the three areas of responsibility (teaching, service, and research) and a documented record of consistent marked success in the other two areas. Additionally, for promotion to the level of associate, the clinical faculty member is expected to maintain scholarly academic (SA) status under AACSB requirements as specified by the College of Business. For promotion to the level of full, the clinical faculty member is expected to fulfill the same criteria for teaching, service, and leadership described earlier in this document for promotion to full professor of tenure-track faculty, and the clinical faculty member is expected to achieve a consistent record of at least marked success in research. To achieve marked success in research, Clinical Faculty are encouraged, but not required, to meet the first criterion as indicated earlier in this document and are expected to maintain scholarly academic (SA) status under AACSB requirements. Similar to the tenure and/or promotion decision for Tenure Track Faculty, collegiality is the foundation upon which the reappointment and promotion decisions rest.

Criteria and Processes for Reappointment of Professor of Practice:

In accordance with the University's Faculty Handbook, the TPR committee will undertake an annual review of all faculty members with the designation of 'Professor of Practice'. The annual review will be based on the duties specified in the letter of appointment as well as the items listed in this paragraph. The letter of appointment "must be initiated by the host department(s) in accordance with departmental bylaws and approved by the Dean and Provost" (Part III, E, 12). For annual reappointment, the professor of practice is expected to fulfill the duties specified in the employment letter along with the following requirements: (1) to encourage a high level of engagement with students which requires maintaining regular on-campus office hours at least three days per week; and (2) to maintain a consistent record of at least marked success in teaching and a consistent record of distinguished success in service. For examples of marked success in teaching, see examples provided earlier in this TPR document. Examples of distinguished success in service for professors of practice relate primarily to the promotion of student engagement outside of the classroom, which could include: (1) taking on a significant leadership role within the School of Accountancy (e.g., leading the graduate program); (2) taking on a significant leadership role within an accounting student organization (e.g., leading the BAP chapter); or (3) providing substantial, ongoing outreach with accounting firms (e.g., leading the external relations committee).

Documentation for TPR Committee Decisions

Required Documentation Package:

Each candidate for tenure and/or promotion must provide the TPR Committee with a "Documentation Package" which contains at least the following items:

1. Letter requesting reappointment, promotion, and/or tenure
2. Detailed vita
3. Specific evidence in support of teaching, research and publication, and service activities, including the following items:
 - a. A brief statement of the candidate's teaching philosophy
 - b. A copy of summary sheets of the teaching evaluation forms for all classes taught and a reasonable number of student comments sheets (in this regard, the candidate may wish to develop and include summary statistics)
 - c. Course syllabi
 - d. Other evidence of teaching success, e.g., senior exit survey results, alumni surveys, faculty peer review comments, etc.
 - e. A brief statement of the candidate's research and publication philosophy
 - f. Evidence of research activities not addressed in the detailed vita, e.g., a copy of a letter from a journal indicating receipt of a paper, a revision, etc., or a copy of a published journal article not readily available
 - g. A brief statement of the candidate's service philosophy
 - h. Evidence of service activities not addressed in the detailed vita
4. Where candidates believe it appropriate and helpful, their linkage between a dimension of performance (teaching, research and publication, service) and a success measurement (indicator of marked success or indicator of distinguished success)
5. Statements of short and long-term goals, if not reflected in the philosophy statements above in items 3a, 3e, and 3g
6. Any other clarifying statements or additional information the candidate wishes to include

Other Documentation:

The candidate may provide other documentation in the "Documentation Package." Here are examples of other documentation for each of the performance dimensions.

Teaching:

1. Letters documenting teaching awards or honors
2. Summaries of course grades and comparisons with departmental norms
3. Self-evaluation and future directions
4. Other documentation on teaching success that the faculty member believes is relevant

Research and Publication:

1. Reviews or critiques written by others on the faculty member's journal publications and scholarly books
2. Reprint requests and unsolicited letters which evaluate research and publication
3. Information on journals in which the faculty member has published (e.g., topical content, scope, editorial policies, and acceptance rates)
4. Self-evaluation and future directions
5. Other information that documents research and publication productivity and impact, e.g., citation analyses

Service to the Profession, the Institution, and the Public:

1. Documentation of outreach efforts to the accounting and business community
2. A listing of academic and other professional organizations in which the faculty member has held offices
3. Documentation of awards or honors received through service efforts
4. Published reviews/critiques written by the faculty member on the scholarly works of others
5. A listing of activities at national and regional meetings
6. Identification of work performed as a committee chairman or member, e.g., how often the committee met, work done outside of the committee meeting, work done in the committee meeting, and required time commitment (a copy of committee minutes might be helpful)
7. Self-evaluation and future directions
8. Other documentation on service to the profession, institution, and the public

CONCLUSION

These criteria and standards constitute the goal setting, annual performance review, tenure, promotion, reappointment, and post-tenure review standards, and communicate specific examples of indicators of distinguished success and marked success in teaching, research and publication, and service to the profession, the institution, and the public.

Adopted by the faculty of the School of Accountancy April 18, 2016 and revised on February 5, 2021 by faculty vote