



Kogod School of Business

Guidelines for Recommending Promotion to Associate Professor with Tenure and for Hiring Tenured Associate Professors

Based upon the American University *Faculty Manual* and recognizing the importance of career development more broadly, the tenure-line faculty of the Kogod School of Business (KSB) adopts the following guidelines for recommending promotion to Associate Professor with tenure and for hiring tenured Associate Professors. These guidelines are meant to reflect a high level of performance in three separate components: (a) research/scholarship, (b) teaching and student engagement, and (c) service. It is not necessary for all elements within the three components listed in this document to be included in each candidate's application for promotion with tenure. Nonetheless, some elements are necessary, as indicated. These guidelines are intended for use by those involved in the promotion and tenure evaluative process, i.e., external reviewers, department faculty, department chairs, Rank and Tenure Committee, and the Dean.

The faculty member is responsible for providing clear and convincing evidence of a high level of performance in research/scholarship, teaching and student engagement, and service. Strong performance in one component cannot compensate for deficiencies in another.

Research/Scholarship

A candidate for promotion and tenure must demonstrate research/scholarship at the highest level of his/her discipline. There is no simple formula for determining the quality of research/scholarship. There is no magic number of publications that will ensure promotion and tenure.

At the time of consideration for promotion to Associate Professor with tenure, the candidate must have a portfolio of scholarly publications with demonstrated quality and impact or potential for impact. The quality of the research will be determined by assessment of the content itself as well as other factors. An important indicator of research quality is the prominence of the journals in which a candidate's papers appear. The Kogod Target Journals List¹ is an exemplar of premier and high-quality journals that can be used by the candidate to establish a journal's prominence. For a journal that is not listed as a premier journal on the Kogod Target Journals List, the candidate needs to make the case for the journal's prominence using several objective measures such as impact factor and journal position on well-documented rankings or lists of top, peer-reviewed, academic journals. As discussed below, other important indicators are comments by external reviewers, citations of the candidate's published work, research grants, and other forms of recognition. If books are part of the faculty member's portfolio, book reviews are also considered. Furthermore, a

faculty member's portfolio should contain an active pipeline of work-in-progress as evidence that strong performance in research/scholarship will continue. In reviewing a file for action, emphasis will be given to work completed during the time that the candidate has been an American University faculty member. A candidate who brings credit towards tenure must show evidence of continued high-quality intellectual productivity during the time that the candidate has been an American University faculty member.

In accordance with the April 2015 guidelines of the Committee on Faculty Actions (posted on the website of the Dean of Faculty), "Candidates may update information already mentioned as in process in the File for Action, including the candidate's own material if that material has been externally reviewed. Material is eligible if it is new information, if it pertains to an aspect of the file that is already mentioned in it and if such information significantly changes the status of the file in some way (e.g. a book or journal acceptance for an item that was already referenced in the file, or an award or other recognition)." This means that the date of submission of the candidate's file for action to the first-level reviewer is the last date for placement of scholarship material in the file, other than updates reporting acceptances of materials already referenced in the file.

Journal Articles

A faculty member must have published (or have had accepted for publication) a portfolio of journal articles that would normally include publications in top, peer-reviewed, academic journals. The entire portfolio and its impact or potential for impact are considered.

External Letters

External reviewers are in a strong position to assess the impact or potential impact of the candidate's research/scholarship in the field. External experts play a crucial role in determining the impact of the candidate's research and its contribution to the advancement of knowledge. Information for soliciting external letters is typically found in the Guidelines for Submitting Files for Action of the Committee on Faculty Actions that is posted on the website of the Dean of Faculty. External reviewers will be provided with a copy of these guidelines.

When considering the credibility of the external letters, the following must be evaluated:

- a) Reviewer's independence.
- b) Reviewer's accomplishments, reputation, and institutional affiliation.
- c) The depth of the reviewer's analysis.

The reviewer's assessment should also demonstrate familiarity with the literature and be able to provide context regarding the significance and potential impact of the portfolio of research and the candidate's impact on the profession/field.

Citations and Impact Analyses

KSB considers the overall impact of the faculty member's research/scholarship using measures that are both qualitative and quantitative. These include citation measures such as SSCI and Google Scholar and the prominence of the journals in which a candidate's papers appear. The Kogod Target Journals List is an exemplar of premier and high-quality journals that can be used by the candidate to establish a journal's prominence. For a journal that is not listed as a premier journal on the Kogod Target Journals List, the candidate needs to make the case for the journal's prominence using several objective measures such as impact factor and journal position on well- documented rankings or lists of top, peer-reviewed, academic journals. The candidate must present data on acceptance rates and impact factors for all journals in which he or she has published including journals on and off the Kogod Target Journals List. Impact applies to all research/ scholarship including articles, book chapters, books, cases, and others. The faculty member is responsible for providing this information. KSB recognizes that citations may take several years to materialize and that evidence of citation record may therefore be limited at the time of consideration for promotion to Associate Professor with tenure.

Books, Book Chapters and Cases

Although publication of high-quality books (academic and/or professional) is a scholarly activity more appropriate for senior faculty, occasionally a junior faculty member may have a book as part of his or her research portfolio. Measures of the quality of a book include, but are not limited to: the reputation of the publisher, sponsorship of the book, favorable book reviews, citation analysis, impact factors, external assessments, and success of the book in the marketplace as measured by qualitative and quantitative measures. High- quality, high-impact books should be considered as an important, but not necessary, element of the overall scholarship portfolio. Book chapters and cases may also be an important part of the overall portfolio of research activities and will be evaluated using the same approach as used in evaluating books.

Papers Presented at Conferences

Papers presented at conferences serve as additional indicators of a faculty member's research portfolio, with greater consideration given to those conferences generally recognized within the profession as high quality and highly selective.

Grant Awards

Being awarded a grant is an indicator of research impact. Criteria for evaluation of grants include the competitiveness of the fund-granting institution and the specific granting mechanism.

Other Scholarship Activities

Other examples of scholarly activities appropriate for junior faculty include receipt

of awards, presentations, discussant invitations and appointment to editorial review boards. This list is by no means exhaustive and other activities may be recognized.

Teaching and Student Engagement

High-quality teaching is an important factor in the promotion and tenure decision. KSB and American University emphasize the importance of personalized teaching, experiential education, and direct faculty involvement with students, both inside and outside the classroom. In evaluating faculty for promotion to Associate Professor with tenure, KSB values the entire portfolio of learning-related activities including very good classroom performance; organization, development, and articulate presentation of subject matter; an ability to motivate and involve students in the learning process; an appropriate respect for the intellectual needs of students, and evidence of engagement with students through a range of activities outside of the classroom.

Classroom Activities

Many ways are available to assess a faculty member's effectiveness in the classroom. One metric is the student evaluation of teaching (SET). At the time of consideration for promotion to Associate Professor with tenure, a faculty member's portfolio of SET scores is evaluated both in an absolute and relative context. Although in KSB an emphasis is placed on SET measures relating to overall teaching effectiveness of the instructor, overall quality of the instructor's courses, and how demanding the course is, other SET items and other forms of evaluation may be considered. Factors affecting course evaluations include a faculty member's teaching experience, the number of course preparations, and the distribution of grades, among others. A variety of evidence of the trend in teaching effectiveness over time is considered in the promotion decision. Innovation in the classroom is also an important aspect of the assessment of teaching effectiveness. Classroom-related activities may include, but are not limited to, development and/or major revisions of courses, introduction of new technologies and techniques, and development of instructional materials such as cases, problems, workbooks, laboratory manuals, and audio-visual materials. A faculty member shall provide timely, fair, and objective assessment of student performance.

Non-classroom Activities

Classroom activities alone do not suffice for the teaching and student engagement portion of the portfolio. Prior to promotion to Associate Professor with tenure, KSB has modest expectations about the amount, but not the quality, of non-classroom activities. Non-classroom activities include, but are not limited to: collaborating with students in research activities, developing new programs and/or program emphases; coordinating courses across all sections; finding innovative ways to engage students; receiving awards, honors, or recognition; development activities, such as improving teaching skills or expanding areas of expertise; advising and placement of students; assisting participants in academic competitions; supervising student work such as internships, independent studies, and group field projects; and assisting with students' career development. A candidate for promotion to Associate Professor

with tenure is expected to have made contributions to student learning outside the classroom by engaging in some of these activities.

Service

Service activities demonstrate commitment and engagement to KSB and AU, the profession, and the broader community. Service provides a sense of the faculty member's contribution and leadership, and serves as a measure of peer recognition. Because Assistant Professors must focus on developing their research programs during their initial years, KSB has modest expectations about the amount, but not the quality, of service activities prior to promotion to Associate Professor with tenure. There are two categories of service activities, which include, but are not limited to, activities such as those listed below.

- **Internal Service to the Kogod School of Business and American University**
 - Serving on and making substantive contributions to the work of department, school, and university-wide committees and task forces
 - Participating in university-wide programs
 - Advising student organizations
 - Facilitating and participating in research seminar series.

- **External Service to the Profession or Discipline**
 - Peer review for journals, publishers, grant/contract applications, or awards. Providing service to scholarly or professional societies, for example as a committee member or manuscript reviewer
 - Conducting workshops
 - Media appearances.

In both types of service, the importance and duration of the assignment together with the extent and effectiveness of participation are considered. Receiving service awards or honors in recognition of service is another indicator of service contributions.

Hiring Tenured Associate Professors

The guidelines in this document will be followed in hiring tenured Associate Professors. In some exceptional instances a candidate may be considered with components missing (e.g., teaching) in which case accommodations will have to be made.

Note

1 The Kogod Target Journals List was created with a view toward rigor, with the explicit aim of reflecting promotion and tenure practices at peer and aspirant schools. The Kogod Target Journals List was extensively benchmarked. Benchmarking sources included: numerous refereed journal articles documenting, in each discipline, the quality and impact of publications in academic journals; journal lists used by departments at

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peer or aspirant business schools in the United States; top journal lists published by business-school councils in countries where such councils exist; top business-journal lists published by foreign equivalents of the National Science Foundation; journal rankings published by business schools if they are referenced at multiple institutions; lists published by high-profile business publications (*Financial Times*, *Businessweek*). The Kogod Target Journals List was approved by the faculty on March 16, 2010. The Kogod Target Journals List is a living document with a petition process that has been in place since April 201

