



## Kogod School of Business

### Guidelines for Recommending Promotion to Full Professor and for Hiring Full 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 Full Professor and for hiring at the level of Full Professor. A high level of performance is necessary in research/scholarship, teaching and student engagement, and service to receive a positive recommendation. In addition, the service component is substantially more important in receiving a positive recommendation for promotion to Full Professor than to Associate Professor. 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, while providing flexibility in terms of the evidence on which to base recommendations. In particular, the guidelines take a portfolio approach, emphasizing that these three components are not mutually exclusive but rather should complement and reinforce each other. Furthermore elements within each of the three components may vary. A portfolio approach signifies that not every element listed in this document necessarily will be represented in each component, although all three components are necessary. These guidelines are intended for use by those involved in the promotion evaluative process, i.e., external reviewers, full professors, department chairs, Rank and Tenure Committee, and the Dean.

A faculty member's responsibility is to provide clear and convincing evidence of a high level of performance in research/scholarship, teaching and student engagement, and service. The faculty member's entire record is considered in forming a recommendation. Strong performance in one area cannot compensate for deficiencies in another area.

Although the same three evaluation components are used for promotion to both Associate Professor and Full Professor, the guidelines for a recommendation to Full Professor differ in several dimensions. The promotion to the rank of Full Professor is not based upon length of service and recognizes a degree of visibility that goes beyond KSB and AU. The title signifies that the holder is a distinguished scholar who is broadly recognized as a research leader in his/her professional field(s), is a successful teacher, and has a record of outstanding service.

#### **Research/Scholarship**

In the area of research/scholarship, the faculty member must demonstrate that his or her research/scholarship has had a substantial and positive impact on his/her discipline(s), academic, and professional communities. Thus, the impact of the research/scholarship in the field is of considerable importance beyond having a portfolio of outstanding publications. The candidate's portfolio is viewed broadly and encompasses all research outlets that contribute to a significant scholarly reputation. As discussed below, there are

various ways to assess impact, such as quality of the publication outlets, evaluations provided by external reviewers, honors and awards, citation rates, external funding, impact analysis, and other forms of professional recognition for scholarly achievement.

As noted above, the faculty member must demonstrate a record of continuing distinction in research/scholarship. There must be clear evidence of continued intellectual productivity post-tenure. The faculty member's research/scholarship should be widely recognized as outstanding and as having a substantial impact on the field. Furthermore, a faculty member's portfolio should contain an active pipeline of research/scholarship work-in-progress in order to demonstrate continued excellence and visibility.

In evaluating faculty for promotion to Full Professor, KSB values the entire portfolio of scholarship including articles in refereed journals, books, conference papers, book chapters, cases, citation rates and impact analysis, research grants, awards, honors, and other recognition, among others. Some faculty at this level will publish and establish themselves as academics in areas that go beyond traditional business disciplines. In summary, KSB bases its recommendation on the entire research portfolio. 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. Each of the elements is listed and discussed below.

In accordance with the April 2015 guidelines of the Committee on Faculty Actions (posted on the web site of the Dean of Academic 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.

### **External Letters**

External reviewers are in a strong position to assess the overall impact of the candidate's research/scholarship in the field. External experts play a crucial role in determining the true 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 web site 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 demonstrated:

- a) Reviewer's independence.
- b) Reviewer's accomplishments and reputation (e.g., exemplary research record, chaired professor, editor or former editor of an

- outstanding journal), as well as 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 impact of the portfolio of research and the candidate's impact on the profession/field.

### **Journal Articles**

A faculty member must, since being promoted to Associate Professor, have published (or have had accepted for publication) a portfolio of outstanding, high-impact journal articles as part of his/her overall scholarship portfolio. The quality of the research will be determined by assessment of the content itself, the quality of publication outlet, independent external reviews, and metrics that assess the article's impact (detailed in the next subsection). All journal articles will be considered as components of the overall portfolio.

### **Impact Analysis and Other Research/Scholarship Measures**

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<sup>1</sup> 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 such information.

### **Books, Book Chapters, and Cases**

Publication of high-quality books (whether academic and/or professional) is a scholarly activity appropriate for senior faculty. Books have the potential to bring substantial visibility to KSB. 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, just as outstanding journal articles, should be considered as an important element of the overall scholarship portfolio. Book chapters and cases also may 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**

Receiving research grant awards and other funding awards serve as an indicator of research/scholarship impact and recognition. 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: appointment to a senior editorial position or distinguished societies indicates professional prominence. In addition, receipt of prestigious awards also will indicate research impact. Seminar and keynote speaking engagements, and discussant invitations also reflect recognition of a faculty member's contributions and impact. This list is by no means exhaustive and other activities may be recognized.

### **Teaching and Student Engagement**

For promotion to Full Professor a faculty member's portfolio must demonstrate outstanding teaching and active student engagement. 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 Full Professor, KSB values the entire portfolio of learning-related activities including superior 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 portfolio of activities outside of the classroom.

### **Classroom Activities**

Many ways are available to assess a faculty member's effectiveness in the classroom. One metric at AU is the student evaluation of teaching (SET). At the time of consideration for promotion to Full Professor, a faculty member's portfolio of SET scores are 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 new 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 teaching effectiveness

assessment. It is important that a faculty member provide evidence of activities such as developing new courses, undertaking major revisions of courses, introducing new technologies and techniques, and/or developing 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**

In the scholar-teacher model, students are engaged both inside and outside the classroom in diverse ways. Therefore, classroom activities alone do not suffice for the teaching and learning engagement portion of the portfolio. Examples of 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 the 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; assisting with students' career development.

### **Service**

Service is an integral component of a faculty member's responsibilities and must be apparent when considering promotion to Full Professor. The faculty member must demonstrate a sustained and continuing record of contribution and leadership through a portfolio of service activities, with special emphasis on internal service contributions. Promotion to Full Professor carries expanded expectations about the amount and quality of internal and external service activities relative to earlier promotion decisions. Service activities are comprised of contributions to two necessary areas. Strong performance in one area cannot compensate for deficiencies in the other area.

#### **Internal Service to Kogod School of Business and American University**

The following examples do not constitute an exhaustive list:

- o Significant contributions such as chairing committees or task forces, directing programs, or having a leadership role in faculty governance or other initiatives.
- o Mentoring junior faculty.
- o Advising student organizations.
- o Performing other activities such as recruitment, placement, fundraising, alumni activities, and media representation.
- o Significant administrative responsibilities (e.g., department chair, program director).

#### **External Service**

The following examples do not constitute an exhaustive list:

- o Peer review for journals, publishers, grant/contract applications, or awards.
- o Providing service to national and international scholarly or professional societies as an elected officer, committee member, conference planner,

- editor, associate editor, member of an editorial or advisory board, or manuscript reviewer.
- o Serving on licensing or examination committees.
- o Advising government agencies, nonprofit organizations or private entities.
- o Corporate and nonprofit board membership.
- o Significant community engagement.
- o Being appointed to government service.
- o 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 and honors in recognition of service is another indicator of service contributions.

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.

### **Hiring Full Professors**

Hiring at the Full Professor level will follow the guidelines in this document. 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 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 2012.