



## **Kogod School of Business**

### **Guidelines for Promotion and Tenure**

#### **(a) 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. All elements within the three components listed in this document need not 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. No simple formula is available for determining the quality of research/scholarship and no magic number of publications 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 assessing 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 List<sup>1</sup> is a list of premier and high-quality journals that can be used by the candidate and others 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 factors 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 is likely to continue. In evaluating faculty for promotion to Associate Professor, 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 toward tenure must show evidence of continued high-quality intellectual productivity during the time that the candidate has been an American University faculty member.

### **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 research portfolio 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 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 such as articles, book chapters, books, and cases. 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 a 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.

### **Research Grant Awards**

Being awarded a grant is an indicator of potential research impact. Criteria for evaluation of grants include, but are not limited to, the competitiveness of the fund-granting institution, the specific granting mechanism, the size and duration of the award, and the candidate's role such as principal investigator or investigator.

### **Other Scholarship Activities**

Other examples of scholarly activities appropriate for junior faculty include receipt of awards, presentations, and discussant invitations. 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 strong 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, including but not limited to, peer evaluations by colleagues, and/or department chair, development and/or major revisions of courses, introduction of new technologies and techniques, development of instructional materials such as cases, problems, workbooks, laboratory manuals, and audio-visual materials, and student evaluation of teaching (SET). When using SETs, emphasis is placed on measures relating to overall teaching effectiveness of the instructor, overall quality of the instructor's courses, and how demanding the course is; however, other SET items should also be considered. A faculty member's teaching experience, number of course preparations, and grade distribution, among other factors affect the interpretation of course evaluations. Innovation in the classroom is also an important aspect of the assessment of teaching effectiveness. The promotion decision should consider evidence of the trend in teaching effectiveness over time.

## **Non-classroom Activities**

Classroom activities alone do not suffice for the teaching and student engagement portion of the portfolio. Before 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; engaging in 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** The following examples do not constitute an exhaustive list:

- 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**

The following examples do not constitute an exhaustive list:

- Reviewing for journals, publishers, grant-providing institutions, and other professional organizations, and serving on editorial boards. • Providing service to scholarly or professional societies
- Conducting workshops
- Appearing in the media.

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.

**(b) 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. The candidate's portfolio is viewed broadly and encompasses all research outlets that contribute to a significant scholarly reputation. As discussed below, various ways are available 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 and present clear evidence of continued intellectual productivity posttenure. The faculty member's research/scholarship should be widely recognized as outstanding and as having a substantial impact on the field and in practice. 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.

### **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 research portfolio 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 a list of premier and high-quality journals that can be used by the candidate and others 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.

## **Research Grant Awards**

Being awarded a grant is an indicator of potential research impact. Criteria for evaluation of grants include, but are not limited to, the competitiveness of the fund-granting institution, specific granting mechanism, the size and duration of the award, and the candidate's role such as principal investigator or investigator.

## **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 strong 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, including but not limited to, peer evaluations by colleagues, and/or department chair, development and/or major revisions of courses, introduction of new technologies and techniques, development of instructional materials such as cases, problems, workbooks, laboratory manuals, and audio-visual materials, and student evaluation of teaching (SET). When using SETs, emphasis is placed on measures relating to overall teaching effectiveness of the instructor, overall quality of the instructor's courses, and how demanding the course is; however, other SET items should also be considered. A faculty member's teaching experience, number of course preparations, and grade distribution, among other factors may affect the interpretation of course evaluations. Innovation in the classroom is also an important aspect of the assessment of teaching effectiveness. The promotion decision should consider evidence of the trend in teaching effectiveness over time.

### **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; engaging in 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. 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 Making major contributions such as chairing committees or task forces, directing programs, or having a leadership or administrative 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.

### **External Service**

The following examples do not constitute an exhaustive list:

- o Reviewing for journals, publishers, grant-providing institutions, and other professional organizations.
- 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 Serving on corporate and nonprofit board membership. o Engaging in important community activities. o Being appointed to government service. o Appearing in the media.

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.