

Department of Finance
Guidelines for Promotion to Professor
(Passed 02/28/03)

Preface to Departmental Policies for Promotion to Professor

Individuals are required to meet the criteria set forth in the Miami University Policy and Information Manual (MUPIM) in order to garner a positive recommendation for promotion to the rank of professor.

There is no minimum time at the rank of associate professor required in order to be eligible for promotion to the rank of professor. (See MUPIM 7.5.B) Associate professors are entitled, upon request, to a formative promotion evaluation once per academic year. (See MUPIM 7.1.E.) The formative evaluation will be prepared by the department's promotion committee and by the chair (or only by the former if the chair is being evaluated). The evaluation will be based on 1) cumulative information provided by the individual concerning his or her teaching, research, and service, and 2) may include other relevant information. At the individual's discretion, the information provided may include his or her plans concerning teaching, research, and service that may help the promotion committee and chair provide useful guidance. Formative promotion evaluations are to guide the individual toward promotion and are not to be used for personnel or salary decisions.

MUPIM 7.7.B provides the following criteria for promotion to the rank of professor.

- Ordinarily, the faculty member must be an individual who will enhance the distinguished quality of this group (the faculty) and the academic reputation of the University.
- The faculty member must hold the earned doctor's degree from an accredited college or university or the equivalent of such a degree. (It is recognized that the equivalent of a doctor's degree may involve specialized training, study, or experience that does not culminate in a doctorate.)
- The individual must demonstrate excellence in two of the following three areas and must be considered to be competent in the third. The individual must have:
 1. an established effectiveness as a teacher.
 2. a record of continuous research, scholarly and/or creative achievement which has resulted in an established reputation within the profession.
 3. achieved distinction in the performance of administrative or other special services either on or off campus.

It is difficult, if not impossible, to suggest quantitative guidelines for what is qualitative assessment. Nonetheless, we have endeavored to do so. These Guidelines are aids rather than substitutes for the professional judgment of the candidate's colleagues. Thus, legalistic or formalistic interpretation or application of these Guidelines must be avoided. Achievement of the quantitative standards set forth in these Guidelines does not ensure a positive recommendation for promotion, since promotion is primarily a qualitative assessment. Similarly, there may be cases that do not meet the quantitative standards set forth in the Guidelines that merit a positive recommendation for promotion to the rank of professor.

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I. Teaching - An established effectiveness as a teacher.

The promotion of learning and teaching is the central function of faculty members of the Richard T. Farmer School of Business, as reflected in the RTFSBA Values Statement on Teaching. To satisfy the MUPIM 7.7.B criterion of *an established effectiveness as a teacher*, candidates should present multiple measures that provide a portfolio of teaching and advising effectiveness, including evidence of the following:

1. proficiency in classroom instruction:

a. through the discharge of such responsibilities as:

- i. meeting scheduled classes on time or making otherwise acceptable arrangements according to University regulations;
- ii. being prepared for each class;
- iii. being able to present material clearly;
- iv. being alert to new developments in the field, new technologies and new methods of instruction and adopting them as appropriate;

b. through continuing evidence of favorable evaluation of classroom teaching by:

- i. student evaluations that are required in all classes taught in the fall and spring semesters; student evaluation scores over several years are more meaningful when put in the context of the number of students in the class, the type or level of the course, the grade point average, and the relationship between the candidate's scores and the departmental average for comparable courses.
- ii. peer evaluations using a pre-approved departmental process; this process may include peer evaluation of content of courses (e.g., syllabi, assignments, and examinations, and quality of student products such as honors theses or undergraduate or graduate research supervised by the candidate) and/or summary evaluation of class visitations; the departmental processes should be approved by the Dean; processes should include multiple year evaluation and focus on summative, rather than formative, evaluations. If external review of course content and materials is to be included, the external review process should be pre-approved by the department promotion and tenure committee and chair, and the Dean.
- iii. receipt of distinguished teaching awards or other recognition.

2. real interest in students as individuals indicated by availability for regular office hours and participation in the advising process.

3. contribution to the teaching mission of the department, division, and university

- (i) normally, candidates would be expected to teach multiple preparations;
- (ii) teaching in programs beyond the SBA (e.g., university honors seminars) are valued as contributions to the broader university teaching mission, including SBA masters programs.

3. commitment to high quality teaching and maintenance of a continuing effort to improve teaching outcomes; this may include participation in scholarly discussion on teaching problems, or initiative and skill in the development and implementation of new pedagogy, new topics, new courses and/or new programs.

4. supervision of independent studies, undergraduate and graduate research.

II. Scholarship and Intellectual Contributions - A record of continuous research, scholarly and/or creative achievement which has resulted in an established reputation within the profession.

All tenured and tenure-track faculty within the RTFSBA are expected to be involved in scholarship that impacts the theory, practice, or teaching of business or economics, as reflected in the RTFSBA Values Statement on Research. To satisfy the MUPIM 7.7.B criterion of *a record of continuous research, scholarly and/or creative achievement which has resulted in an established reputation within the profession.* candidates should present multiple measures that provide evidence of the following:

1. The impact of a candidate's scholarship will be determined on the basis of quality and quantity of publications in refereed journals and scholarly books, as well as the receipt of external research grants, presentations of research, and the publication of cases or textbooks. The evaluation of impact will be both by peer review by the department promotion and tenure committee and department chair, and by consideration of external reviews of scholarship.

2. A significant record of accomplishment in basic or applied research needs to be demonstrated for promotion to full professor. A record of accomplishment in pedagogical research alone would be sufficient for promotion only in extraordinary circumstances.¹

¹ Basic scholarship is the discovery of new knowledge written primarily for an academic audience. Outputs from these activities are made available for public scrutiny by academic peers and practitioners through such means as publication in refereed journals, research monographs, scholarly books, chapters in scholarly books, proceedings from scholarly meetings, publicly available research working papers, and papers presented at faculty research seminars and professional conferences.

Applied scholarship is the application, transfer and interpretation of knowledge to improve business practice and teaching. The intended audience for applied scholarship is primarily professionals or practitioners, although it may be provided for academic audiences as well. Output from these activities are made available for public scrutiny by academic peers and practitioners through such means as publication in professional, public, trade or in-house journals; the publication of field researched case studies; faculty workshops; or presentations at professional or academic conferences.

Pedagogical scholarship is designed to enhance the instructional efforts of an academic discipline. Outputs from these activities are made available for public scrutiny by academic peers and practitioners through such means as textbooks, publications in pedagogical journals, written cases with instructional materials, instructional software, publicly available materials describing the design and implementation of

3. It is not possible to specify a numerical value for the quantity because of the importance of quality and impact. Quality and impact are defined in terms of the importance of the work toward progress of the discipline or improvement of practitioner performance and of the creativity of the thought processes and methods behind it. Although a continuous record of publications in refereed journals is expected, there is no specific quantitative expectation. However, in order to meet the MUPIM expectation of excellence in research a candidate should, while at Miami University, develop appropriate research topics and publish results a sufficient number of times to demonstrate being a productive scholar. Evidence of the quality and impact of one's scholarly contributions may include:

- (1) a list of citations of one's published or unpublished work;
- (2) rankings of journals published in;
- (3) an indication of whether published work was refereed; this is especially important in the case of conference proceedings or publications in electronic journals;
- (4) letters from objective outside reviewers speaking to the impact of a candidate's work;
- (5) the relative contribution of individuals in the case of co-authored work, including their role in the research project;
- (6) journal acceptance rates;
- (7) journal circulation;
- (8) the quality of the editorial review board;
- (9) extramural funding achieved through a peer review process;
- (10) demonstration of national or international recognition of scholarship.

4. While scholarship completed prior to employment at Miami University forms part of the record of impact of a candidate's accomplishments, it is important that a candidate provide evidence of successful research undertaken while employed at Miami University.

5. It is the policy of the RTFSBA that the scholarship of candidates be reviewed by at least three reviewers from outside Miami University. External reviews are to be used by the departmental tenure and promotion committee in evaluating a candidate's scholarly achievement. All letters are to be forwarded from the department to the RTFSBA Promotion & Tenure Committee, to the Dean, and to the University Promotion and Tenure Committee.

- (i) Reviewers shall be sent appropriate materials for consideration. A full record of scholarship shall be submitted to all reviewers. This shall consist of published articles, reports, and books; work accepted for publication but not yet published; refereed

new courses, materials developed for continuing professional education activities and professional conferences.

conference papers; and other materials deemed appropriate to its discipline. Working papers may be included at the request of the candidate.

- (ii) Reviewers must be respected scholars in the candidate's field and the majority should be at the rank of full Professor.
- (iii) External reviewers shall be asked to render a professional judgment on the quality of a candidate's scholarship or creative endeavor, its originality and importance, and the reputation of the journals and presses that have published the work.
- (iv) Individual departments may specify procedures in departmental governance documents. Normally, letters of evaluation will be solicited by the department chair in the spring of the academic year prior to the one in which a faculty member is likely to be considered for promotion. A list of no fewer than five potential reviewers will be compiled by the candidate in consultation with the Chair and the departmental promotion and tenure committee (according to departmental governance) and will be composed of scholars who can serve without favoritism or hostility to the candidate. The Chair and the departmental promotion committee will select the reviewers from this list. Where one of the would-be reviewers declines the request, another nominee will be selected from the list.

III. Professional Service - Achieved distinction in the performance of administrative or other special services either on or off campus.

Faculty are expected to be involved in professional service activities, as reflected in the RTFSBA Values Statement on Service. To satisfy the MUPIM 7.7.B criterion of achieved distinction in the performance of administrative or other special services either on or off campus candidates should present multiple measures that provide evidence of one or more of the following:

1. service to the University, Department on committees or in other assigned administrative duties;
2. service to the RTFSBA and university through administration, committees and participation in activities that enhance campus life or promote the mission of the division or university (e.g., administrative duties, acting as an advisor to students and student organizations, and serving on student-faculty committees).
3. service to academic/professional organizations including: (1) serving as appointed or elected officer or as a chair or member of a committee of an academic or professional organization; (2) serving as an editor for an academic or professional journal; (3) serving as a reviewer/ referee (ad hoc or on an editorial board) for an academic or professional journal; (4) serving as an organizer, leader of workshops or panels, (5) serving as a manuscript reviewer for academic or professional conferences; (6) serving as a referee for grant proposals; and (7) interacting with members of the professional/business community.
4. service to the community including: (1) serving as a professional consultant to a public or private organization and (2) serving as a leader or a member of a task force, committee, board, or commission providing service to local, state, regional, national, or international organizations.
5. The relative value of contributions in the area of service shall be determined, ceteris paribus, on the basis of a combination of the activity's prestige, effort (including time, creativity, and leadership), and

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significance relative to the missions of the faculty member's department, the RTFSBA, and the University, and the quality of the faculty member's performance of that activity.

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