PROMOTION and TENURE GUIDELINES

GORDON FORD COLLEGE of BUSINESS
Western Kentucky University

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I. GENERAL STATEMENT

The Western Kentucky University (WKU) Faculty Handbook requires that faculty must demonstrate achievement in teaching effectiveness, research/creative activity, and university/professional service to be tenured or promoted. As directed by the Faculty Handbook, the Gordon Ford College of Business (Ford College) promotion and tenure policies provide additional guidance about procedures and specific quantitative and qualitative criteria related to the demonstration of achievement necessary for tenure or promotion. The Ford College policies have been developed and are intended to evolve to reflect WKU policies, the mission of the Ford College, and guidelines of accrediting bodies.

The Ford College policies for promotion or tenure are intended to clarify the basis of these decisions. Several qualitative facets of faculty performance dictate judgments on the part of faculty and administrators in the decision process. Examples include: teaching effectiveness, quality of scholarly or service activities, cooperation with colleagues, and overall commitment to professional responsibilities. Judgments about performance made by faculty and administrators are, therefore, both necessary and valuable. Where specific quantitative criteria are identified, many are clearly noted as minimum performance levels. Faculty members working toward promotion or tenure should be aware that meeting a minimum quantitative threshold does not ensure promotion or tenure. Achievements within the faculty member's area of professional competence are the primary basis for evaluation; however, achievements and contributions within other business disciplines or to disciplines with applications to business are also evaluated.
II. ANNUAL PERFORMANCE APPRAISALS

The annual performance appraisal serves as the basis for merit pay adjustments, and as indicated in subsequent sections, it also serves a function in the “progress toward tenure review” and the “post-tenure review.” In addition, the annual performance appraisal is an integral part of the promotion and tenure process as detailed in later sections.

As part of the annual performance appraisal process full time faculty and instructors, tenured and untenured, beginning with their second academic year in the Ford College will each year complete the Gordon Ford College of Business Faculty Activities & Appraisal of Faculty Report (hereafter referred to as the Report). First year faculty will not complete the Report. The Report will cover a single academic year running from August 15 to August 15. Department chairs may exercise discretion with regard to first year faculty completing the Report.

Each faculty member will be evaluated by the departmental chair and the Dean of the Ford College. The annual performance appraisal process will involve a rolling three year window, i.e., the process will consider the current Report and the previous two years’ Reports. This is in recognition of the fact that a faculty member’s activities are part of a process extending beyond a single year and that some activities do not occur in a steady annual stream. For faculty that have been in the Ford College less than three years, the evaluation will be based on the current Report and any available previous Reports.
Each year the departmental chair will establish a schedule for the annual performance appraisal process and inform all faculty in the department of the schedule at the beginning of the Fall semester. The process begins at the department level and per the Faculty Handbook, involves the college Dean, the Provost, the President, and finally the Board of Regents, which makes the final decision regarding the recommendations relative to the faculty member.
III. PROMOTION PROCEDURES

A faculty member will normally serve a minimum of five years as an assistant professor before becoming eligible for promotion to associate professor, and a minimum of five years of service as an associate professor before becoming eligible for promotion to professor. University criteria for individual ranks are described in the Faculty Handbook. In addition, amplification and clarification of these criteria for Ford College faculty are described in Appendix A of this document.

The following procedures are followed in promotion recommendations and are consistent with the Faculty Handbook, which is the final authority in this regard:

1. Not later than September 1, the department chair informs all faculty members that a promotion review is forthcoming and invites applications for promotion.

2. Not later than October 1, any faculty member applying for promotion provides materials to be considered in the decision process to the departmental Rank and Promotion Committee.

3. If there are candidates for promotion, the department chair schedules a meeting of the Rank and Promotion Committee before November 1. The committee will be constituted following the rules contained in the Faculty Handbook, and will be composed of all tenured faculty members in the department holding an academic rank higher than that of the candidate. The department chair (except when a candidate for promotion) is an ex-officio, non-voting member of the committee. After electing a committee chair, the committee meets to confidentially review and discuss all
relevant factors pertaining to the applicant(s). Committee members who are candidates for promotion are neither permitted to be present during deliberations on their rank, nor can they vote on their own promotion. The committee votes on the candidate’s application for promotion and makes a written recommendation, which includes the vote count, to the department chair. All committee votes are by secret ballot. Two faculty members count the votes and report the count to the committee. Also, any faculty may submit a letter to the department chair concerning the applicant. Letters submitted prior to the committee meeting are made available to the committee. Committee members who are unable to attend the committee meeting should notify the department head in advance and may submit a vote by absentee ballot.

(4) By November 1, the department chair reviews all relevant factors and forwards a written recommendation, all evaluation materials, and a written report of the committee’s vote including the vote count to the Dean of the Ford College. The department chair notifies the candidate of the departmental recommendation in writing by November 15. In the case of a negative recommendation by the departmental Rank and Promotion Committee and/or the department chair, the applicant has the option of withdrawing the application or appealing to the Dean.

(5) By December 1, the Dean submits a written recommendation and rationale and forwards it along with the recommendation from the department chair,
all evaluation materials and the committee vote to the Provost and Vice President for Academic Affairs.

(6) By December 15, the Dean notifies in writing the candidate and the department chair of his or her recommendation. In the case of a negative recommendation by the Ford College Dean, the applicant has the option of withdrawing the application or appealing to the Provost and Vice President for Academic Affairs.

(7) By January 2, the Provost and Vice President for Academic Affairs will notify the Ford College Dean or the applicant of any disagreement with the Dean’s recommendations.

(8) By January 15, the Provost and Vice President for Academic Affairs will make a recommendation to the university President.

(9) In the case of a negative recommendation by the Provost and Vice President for Academic Affairs, the applicant has the option of withdrawing the application or requesting a review of his/her credentials by the Provost and Vice President for Academic Affairs.

(10) The President will send recommendations for approval to the Board of Regents, typically at the April meeting.

(11) Faculty members also have the option to file a formal grievance, after all reviews and appeals have been exhausted, in accordance with procedures outlined in the Faculty Handbook.
IV. TENURE PROCEDURES

Full-time faculty members appointed to tenure track positions at the rank of assistant professor, associate professor, or professor are employed with the understanding that there will be a probationary service period. The normal probationary service period is six years at the rank of assistant professor or higher at WKU. Tenure may be considered in less than the usual period, if the individual has an exceptional record of demonstrated achievement.

A tenure decision must be made no later than during the sixth year of a faculty member’s service at WKU. If the tenure process is begun earlier than the sixth year, a faculty member may withdraw from the process without prejudice at any time.

There are three separate but related processes that are involved with the tenure issue. They are: (1) the progress toward tenure review, (2) the tenure decision process, and (3) the post tenure review.

**Progress Toward Tenure Review**

In September of each year, non-tenured faculty in tenure track positions in their second to fifth years at WKU are evaluated specifically on their progress toward tenure. In the Ford College, the Progress Toward Tenure Review is considered part of the Annual Performance Appraisal. Each departmental Tenure Committee acts in an advisory capacity and meets with the department chair to assess a candidate's progress toward tenure.

(1) By September 15, the department chair forwards a recommendation to the Ford College Dean.
By September 20, the Dean makes a recommendation and forwards the department chair’s and the Dean's recommendations to the Provost and Vice President for Academic Affairs. The faculty member is notified in writing of a negative recommendation at both of the administrative levels (department and college) in the process and is given an opportunity to attach a written response when that recommendation moves to the next administrative level.

**Tenure Decision Process**

The following procedures are followed in tenure decision recommendations:

1. Not later than September 1, the department chair informs all faculty members that a tenure review is forthcoming and invites applications for tenure. Any non-tenured faculty member entering his or her sixth year at WKU must apply.

2. Not later than October 1, the faculty member being considered for tenure provides materials to the Tenure Committee to be used in the tenure decision process.

3. If there are candidates for tenure, the department chair schedules a meeting of the Tenure Committee before November 1. The Tenure Committee will be constituted following the rules contained in the *Faculty Handbook* and consist of all tenured faculty members in the department. The department chair (except when a candidate for tenure) is an ex-officio, non-voting member of the committee and may attend the committee's deliberations. After electing a chair, the committee meets to confidentially
discuss the credentials of all applicants and makes a written recommendation to the department chair. The committee votes on the candidate’s application for tenure and makes a written recommendation, which includes the vote count, to the department chair. All committee votes are by secret ballot. Two faculty members count the votes and report the count to the committee. Also, any faculty member may submit a letter to the department chair concerning the applicant. Letters submitted prior to the committee meeting are made available to the committee. Committee members who are unable to attend the committee meeting should notify the department head in advance and may submit a vote by absentee ballot.

(4) By November 1, the department chair reviews all relevant factors and forwards a written recommendation, all evaluation materials, and a written report of the committee’s vote including the vote count to the Dean of the Ford College. The department chair notifies the candidate of the departmental recommendation in writing by November 15. If the faculty member is applying for tenure before the sixth year, and in the case of a negative recommendation by the departmental Tenure Committee and/or the department chair, the applicant has the option of withdrawing the application or appealing to the Dean.

(5) By December 1, the Dean submits a written recommendation and rationale and forwards it along with the recommendation from the department chair,
all evaluation materials and the committee vote to the Provost and Vice President for Academic Affairs.

(6) The Dean notifies the candidate and the department chair of his or her recommendation in writing by December 15. If the faculty member is applying for tenure before the sixth year, and in the case of a negative recommendation by the Ford College Dean, the applicant has the option of withdrawing the application or appealing to the Provost and Vice President for Academic Affairs.

(6) By February 1, the Provost and Vice President for Academic Affairs will make a recommendation to the university President.

(7) By February 15, the Provost and Vice President for Academic Affairs will notify the Ford College Dean or the applicant of any disagreement with the Dean’s recommendations.

(8) The President will make recommendations to the Board of Regents at the April meeting. Faculty members will be notified of the final tenure decision by May 15, and in the case of a negative decision, will be allowed an extension of one year only.

**Post Tenure Review**

All tenured faculty in the Ford College will annually undergo a post-tenure review, which will be part of the Annual Performance Appraisal, described above. The post-tenure review process is as described in the Faculty Handbook.

This post-tenure review process is in no way to be construed as an additional way to dismiss tenured faculty members. Causes for dismissal specified in Kentucky Revised
Statutes, KRS 164.360, are incompetence, neglect of or refusal to perform duties, or immoral conduct. The procedures for dismissal for these causes are presented in the Faculty Handbook.
IV. PROMOTION and TENURE CRITERIA

University policy requires that faculty members demonstrate achievement appropriate to be promoted to the next rank in the areas of teaching effectiveness, research/creative activity, and university/public service. The following sections outline what is considered to be a minimum level of achievement for each rank in the areas to be evaluated. Meeting these minimum guidelines in no way guarantees promotion or tenure; failure to attain these minimum levels makes promotion and tenure highly unlikely. While this document illustrates some of the items that candidates should provide, it should also be clear that each individual applying for promotion or tenure has the opportunity to submit any additional items that they believe are most reflective of their contributions.

Teaching Effectiveness

The Ford College faculty is concerned with and committed to the varying needs of students, and expects that all faculty members will continuously demonstrate effective teaching (sic. student learning). At a minimum, effective teaching consists of (a) the satisfactory presentation of appropriate and current material in a clear, organized, understandable, and technologically efficient manner, (b) the continuing concern with the components of the teaching role that occur outside the classroom, such as mentoring and being accessible to students, (c) providing career and academic advice, and (d) being cooperative in developing, scheduling, and teaching courses in a variety of locations and delivery methods.
Effective teaching is a requirement for promotion in rank and the granting of tenure. All faculty members should continuously demonstrate effective teaching regardless of rank. Effective teaching requires that a faculty member consistently meet certain minimum standards and perform various required activities. Some of these minimum performance criteria are noted below:

- Meeting classes as scheduled
- Distributing and following clearly developed, current course syllabi
- Using current and appropriate instructional materials and technology
- Being well prepared for class
- Presenting appropriate material satisfactorily in the classroom
- Using fair and appropriate procedures to evaluate student performance
- Being reasonably accessible to students
- Returning examinations and other assignments within a reasonable period of time

Departmental promotion and tenure committees may consider any evidence that is relevant in determining whether the faculty member is an effective teacher. The committees may consider, but are not limited to considering, the following factors:

- Student evaluations (including written comments on the evaluations)
- Self-appraisals and peer reviews
- The variety and level of courses the faculty member is able and willing to teach
- The development of new courses
- Attendance at seminars, workshops, and other meetings that may improve teaching skills
- Developing instructional materials such as texts, software, cases, etc.
- Student attainments attributable to the faculty member
- Written comments of present and former students
- Alumni surveys
- Helping colleagues improve teaching skills
- Additional examples of teaching activities can be found in the Guidelines to the Faculty Activities and Appraisal Report, Gordon Ford College of Business.

While systematic quantitative student evaluations are one criterion for evaluating the pattern of activity required for effective teaching, such evaluation should never be the sole or primary evidence by which effective teaching is evaluated. All evaluations of
teaching – including those of students, particularly of the objective or quantitative variety – are, at best, imprecise measures of teaching effectiveness. Minor numerical differences in quantitative evaluations of teaching are not significant. A faculty member is expected to provide evidence of student learning - teaching effectiveness for either the tenure or promotion process. The burden of proof for demonstrating teaching effectiveness rests with the faculty member.

**Scholarly (Research/Creative) Activity**

Departmental promotion and tenure committees may consider any evidence that is relevant in determining whether the candidate is active and effective at scholarly (research/creative) activities. Given the dynamic nature of information technology, the exact format or venue of one’s scholarly contributions is subject to change. The more important condition is the assessment of the contributions by the committees. The committees may consider, but are not limited to considering, the following factors:

- Publication of an article in a peer-reviewed journal (discipline-related or education journal), hard copy or on-line
- Publication of a book or monograph
- Publication of an article in conference proceedings
- Presentation of an original paper at a professional meeting
- Publication of a chapter in a book
- Publication of an article in a non-refereed journal
- Preparation of an innovative, technical or consulting report that is available for peer-review
- Publication of a textbook, case, study guide, workbook, or other instructional material
- Organization of or presentation at a workshop to disseminate research
- Additional examples of scholarly activities can be found in the *Guidelines to the Faculty Activities and Appraisal Report*, Gordon Ford College of Business.

The departmental committees will evaluate the quality of the various scholarly endeavors. Quality may be assessed by considering the ranking of the outlets, journals, acceptance rates, citations to the work, visits or downloads to electronic
sights, etc. The candidate should demonstrate a record of continuing effort in scholarly (research/creative) activity. The activities list for the various categories is not necessarily comprehensive and is subject to change over time.

**Promotion to Associate Professor.** The scholarly (research/creative) activity requirements for consideration for promotion to Associate Professor are a *minimum* of eight activities, with a *minimum* of three peer-reviewed journal articles, books, or chapters in a book.

**Promotion to Professor.** The scholarly (research/creative) activity requirements for consideration for promotion to the rank of professor are a *minimum* of ten activities since appointment to the rank of Associate Professor and, within the last five years, a *minimum* of four peer-reviewed journal articles or books or chapters.

**University/Professional/Public Service**

A candidate must demonstrate a high level of sustained university/professional/public service. By their nature, service activities are diverse and the exact array of appropriate service activities will change as the Ford College’s mission evolves. The quality of the candidate’s service activities (i.e., the effort involved, the internal value to the Ford college, the value to the Ford College’s constituents, favorable external exposure, name recognition, etc.) should be considered in evaluating the candidate’s contributions. Also, cooperation and collegiality of the faculty member in performing service activities will be considered. Only those activities that bear some relationship to the candidate’s role as a faculty member or that makes use of his or her professional expertise can be used as evidence of demonstrated achievement in this area.
Various service activities that can be considered are listed below. As is true of all lists, this one is illustrative, not comprehensive.

- Chair or member of a departmental, college or university committee, board, council, task force or senate
- Department library representative
- Faculty sponsor, advisor, or executive secretary for a student chapter of a professional club, fraternity, or honor society
- President, vice president, division chair, proceedings editor, or other officer of a state, regional, or national learned society or professional organization
- Chair or member of a local, state or national governmental board, agency or commission
- Service to the community that utilizes the faculty member’s professional expertise
- Service to schools that utilizes the faculty member’s professional expertise
- Editor of a book
- Preparation of pre-publication text reviews
- Service to the department, college, or university in a manner appropriate to its mission
- Service as a journal manuscript referee or editor
- Organizing or presenting an executive seminar
- Additional examples of service activities can be found in the Guidelines to the Faculty Activities and Appraisal Report, Gordon Ford College of Business.

The service activities mentioned are not intended to be a complete list of qualifying activities. The departmental promotion and tenure committees ultimately are responsible for evaluating the extent and quality of a faculty member’s service activities. Each academic year of service in any given category may be counted as one activity.

Promotion to Associate Professor. Candidates for promotion to Associate Professor must have engaged in a minimum of 10 service activities since appointment to the rank of Assistant Professor.

Promotion to Professor. A candidate for promotion to Professor must have engaged in a minimum of 15 service activities since appointment to the rank of Associate Professor and within the last five years, a minimum of 10 service activities.