

# **Policies and Procedures for Annual Faculty Evaluation, and Promotion and Tenure**

College of Business and Economics  
West Virginia University

## **GENERAL PRINCIPLES OF FACULTY EVALUATION: PROCESS, CRITERIA AND STANDARDS**

The faculty evaluation process is designed to assist the College and University in attracting promising faculty members, helping them reach their potential, rewarding their proficiency, continuing their productivity and professional development throughout their careers, and retaining only those who make significant contributions. The process has three distinct components:

### 1) Annual Evaluation

The annual evaluation provides an opportunity to review a faculty member's performance since the last review, to put this performance in the perspective of past performance and recommendations, and to develop future goals and objectives; it forms the basis for any annual merit salary raises and other rewards. Cumulatively, annual evaluations establish a continuous written record of expectations and performance that will encourage professional growth and provide support for retention, promotion, tenure and other recognition.

### 2) Evaluation for Promotion in Rank

Promotion in rank recognizes exemplary performance of a faculty member. The evaluation for promotion in rank provides the opportunity to assess a faculty member's growth and performance since the initial appointment or since the last promotion.

### 3) Evaluation of Tenure-Track Faculty for Tenure

For an award of tenure, tenure-track faculty undergo particularly rigorous evaluation involving an assessment of accumulated accomplishments and the likelihood that the faculty member's level of performance will be maintained.

Responsibility for faculty evaluation is shared by members of the University community.

Primary responsibility for the quality and presentation of an individual's work lies with the

particular faculty member. Faculty colleagues participate in annual evaluation and review for promotion and/or tenure through membership on Department and College Promotion, Tenure, and Annual Evaluation committees, and the University Promotion and Tenure Advisory Panel. Independent review at the Department, College and University levels assures fairness and integrity in the application of appropriate standards and procedures among Departments and Colleges. The legal authority and responsibility of the Division Directors, the Dean, and the Provost also enter into the determination of academic personnel decisions as do the needs and circumstances of the Department, College, and University.

Faculty members are expected to contribute to the missions and goals of their Department and College and are to be judged accordingly. Consequently, the evaluation of faculty is to occur in relation to the faculty member's particular roles at the institution. Accomplishments of the faculty member are judged in the context of these roles.

Collectively, the faculty teaches, advises, engages in research, publishes and disseminates its research findings and new knowledge, and provides public, professional and institutional service. The extent to which a faculty member's responsibilities emphasize the College and Department missions will vary. Documents containing the College Mission Statements and Strategic Goals are attached.

## **PROFESSIONAL EXPECTATIONS OF FACULTY MEMBERS**

Teaching, research, and service constitute the heart of the mission of the College.

Faculty responsibilities are defined in terms of activities undertaken in each of the above three areas; therefore, faculty evaluation is based upon a review of performance in these areas. Scholarship is an important indication of activity in each of the three areas; it occurs in a variety of forms, and is not restricted to the research area. Faculty members are expected to keep current in their fields.

Further detail regarding faculty activities in the areas of teaching, research, and service is contained in the annual "Productivity Report of the College of Business and Economics" document. A copy of this document is attached. This document provides focus to the College's activities and assists in making faculty assignments, which are the basis for assessing faculty productivity. The areas of activity specified in the productivity report are taken from the standards of the College accrediting body, The AACSB -- The International Association for Management Education. Faculty members are also expected to be familiar with the "West Virginia University Faculty Handbook" and "Faculty Evaluation Guidelines - West Virginia University Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure." The latter document is distributed each August to all faculty members. Departmental promotion, tenure, and annual review documents provide additional specific detail regarding research, teaching, and service requirements as appropriate for the discipline, and the mission of the unit.

#### **A. Teaching**

The evaluation of teaching must be based upon supporting documentation. The College requires that teaching evaluations be conducted for all faculty members in all graduate and undergraduate classes, except for independent studies and internships, in every semester, including summer sessions. Evaluations for all classes must use the teaching evaluation form provided by the Faculty Senate. Copies of the summary must be placed in the faculty member's personnel file. If desired, individual faculty may additionally use a student evaluation instrument of their own design to complement the regular form. Other evidence in the evaluation of teaching may include Division Director or colleague class visitation reports, an analysis of course content, evaluation of teaching-related products such as textbooks or videotapes, the development or use of instructional technology and computer-assisted instruction, pedagogical scholarship in refereed publications and media of high quality, studies of success rates of students taught, and

other evidence as listed in the College Productivity Report. Innovative changes in course content and delivery should be indicated by the faculty member in the College Productivity Report.

Additional detail on teaching categories considered in the evaluation process is provided in the Criteria for Promotion and Tenure stated in this document and the College Productivity Report.

## **B. Research**

Research activities result in products that can be evaluated and compared with those of peers at other institutions of higher learning. The College expects refereed publications (print or electronic) of high quality as evidence of scholarly productivity. Both quality and quantity are important. Although research is expected to be discipline-focused and individual to some extent, the College also values interdisciplinary and collaborative research. In the case of collaborative research the contribution of the faculty member must be clear. Additional detail on research categories considered in the evaluation process is provided in the Criteria for Promotion and Tenure stated in this document and the College Productivity Report.

## **C. Service**

All faculty members are expected to provide a mixture of professional service to the Department, College, University, State, and their profession. The evaluation of service will include assessments of the degree to which the service furthers the mission of the Department, College, and University. Detail on service categories considered in the evaluation process is provided in the Criteria for Promotion and Tenure stated in this document and the College Productivity Report.

## **ANNUAL EVALUATIONS**

All College faculty must prepare an annual productivity report using the College form.

This document must be signed by the faculty member, the Division Director, and the Dean. The productivity report, in conjunction with documented evidence in the personnel file, and in light of the written evaluations and recommendations of the previous review cycle, provides the basis for the written annual evaluations of the faculty member. The written evaluations support recommendations and decisions concerning reappointment, retention, promotion, and tenure, as well as program assignments, sabbatical and other leaves of absence, and merit salary increases. The merit policy used by the college as tied to the annual review is described in the document "Merit" Salary Policy College of Business and Economics. The written evaluations are also intended to guide the faculty member in areas in which improvement may be needed.

Written evaluations are provided to each untenured tenure track faculty member annually by their Departmental Committee, their Division Director, the College Promotion, Tenure, and Annual Review Committee (hereafter referred to as the "College Faculty Review Committee"), and the Dean of the College. Tenured faculty members receive a written evaluation from their Departmental Committee and Division Director. Tenured faculty members will not be evaluated by the College Faculty Review Committee or the Dean of the College, unless non-retention has been recommended by the Departmental Committee or the Division Director, or if the faculty member is being considered for promotion.

The annual review for untenured faculty shall evaluate performance in each of the three mission areas. The annual review for tenured faculty shall evaluate performance in the mission areas to which one is assigned. The reviews shall assess performance as Excellent (characterizing performance of high merit), Good (characterizing performance of merit), Satisfactory (characterizing performance sufficient to justify continuation but, if received consistently over time in an area in which significant contributions are expected, may not be sufficient to justify promotion or tenure), or Unsatisfactory. Performance of first-year faculty members in most cases will not be rated as meritorious ("excellent" or "good") in any of the

mission areas as, typically, little evidence can be generated in the short interval before the first productivity report is due. A few instances of non-meritorious ratings, especially in the first year of an appointment, should not be held against the faculty member. However, a faculty member with a preponderance of “satisfactory” or “unsatisfactory” ratings during the probationary period in the significant contribution areas would not qualify for promotion or tenure.

### **PROMOTION AND TENURE**

Promotion and tenure decisions are made based on faculty-contribution in the areas of teaching, research, and service. A faculty member will be judged on the basis of contribution relative to the standards. The standards should be related to expectations consistent with the mission of the Department and College. Consideration should be given to the standards applied to recently promoted faculty in the College. Given the multipurpose nature of the College of Business and Economics, as accredited by the AACSB and offering graduate and undergraduate education in a comprehensive land-grant university, the evaluation of contribution requires that, emphasis be placed on research. The existence of a doctoral program in a particular department requires that research expectations for faculty in that department be higher for promotion and tenure decisions than in the absence of such a program. The research criteria appropriate for the unit are described in further detail in departmental Promotion, Tenure, and Annual Review documents. Since the promotion and tenure process is critical to the future of the College of Business and Economics, all decisions must be made on a rational and objective basis in accordance with the criteria outlined in later sections of this document.

### **UNIVERSITY, COLLEGE, AND DEPARTMENTAL PROCEDURES FOR PROMOTION AND TENURE**

University procedures for promotion and tenure are subject to change by the University.

Any changes will be distributed to the faculty by the Office of the Dean. Similarly, any amendments to the College procedures described in this document will be distributed to the faculty by the Office of the Dean. This document supersedes all previous College of Business and Economics Promotion and Tenure documents. Departmental Promotion, Tenure, and Annual Review documents are to be approved by the College Faculty Review Committee, the Dean, and the Provost.

**Faculty personnel file:**

Evaluations and recommendations are to be based on both quantitative and qualitative evidence. The primary evidence to be weighed must be contained in the faculty member's personnel file. To it are added professional judgments as to the quality of the faculty member's research, teaching, and service, as applicable.

An official "faculty personnel file" shall be established and maintained for each faculty member in the office of the Division Director or, for the Division Directors, in the office of the Dean. In principle, the record in the personnel file should be sufficient to document and to support all personnel decisions.

All faculty members (except those in their second year) must update personnel files by January 1 of each year. Faculty members in their second year must update their personnel files by November 1 (unless using the University's Option 2).

The faculty personnel file consists of two parts. Part One is the Smead File and Part Two is the Back-Up File. The Smead File will be the primary file used in the review process at the Department and College Levels. A description of what is included in the Smead File is discussed below. The Back-Up File contains all of the supporting documentation for what is

listed in the Smead File. The Smead file and the Back-Up File must contain a chronology of all entries that are included. The chronology must include the item name and date of entry. A copy of the Back-Up file chronology must also be included in the Smead File.

The Smead File, which is a Smead folder #1523-E fiberstock, is to contain only the following documents related to the faculty member:

1. The letter of appointment (if available) and other documents which describe, elaborate upon or modify one's assignment, including position description, memoranda of understanding and subsequent letters of agreement.
2. An up-to-date curriculum vitae and bibliography containing: a) critical dates relative to education, employment, change in status, promotion, leave of absence, etc.; b) a list of publications with complete citations, grants and contracts, and/or other evidence of scholarship; and c) a list of service activities.
3. A complete and signed College Productivity Report covering the period under review.
  - a) If promotion is to be considered, the productivity report must cover the period since the faculty member's last appointment.
  - b) If the granting of tenure is to be considered, the productivity report should cover the entire period the faculty member has been at West Virginia University or other Universities prior to coming to West Virginia University.

Note that the Back-Up File must contain all prior year productivity reports.

4. A copy of all works published and/or accepted for publication during the year of review.

Note that all works published prior to the review year must be placed in the Back-Up File and recorded on the chronology of activities.

5. A copy of past annual evaluations (departmental, college and where appropriate university) and any written responses.
6. Other information and records that the Division Director or Dean may wish to include after informing the faculty member. Faculty members may include written responses to such material.
7. All other information that bears upon the quality of a faculty member's performance in all pertinent areas that have occurred during the review year. This information must include, but need not be limited to professional presentations, published materials, grant applications and awards, research in progress and the preparation of unpublished materials, other creative scholarship, and service to the university. It is recommended that the faculty member provide indicators of quality of the journals in which he/she has published. A self-evaluative statement by the faculty member is strongly encouraged. Note that all information under this requirement that occurred prior to the review year must be placed in the Back-Up File and recorded on the chronology of activities.
8. Summaries of teaching evaluations of all courses taught while at West Virginia University. The faculty member must list the course name and number, the semester the course was taught, and his/her name on the teaching evaluation summary.
9. A continuing chronology of all entries in the Smead File and a continuing chronology of all entries in the Back-Up File to assure the integrity of the file.

The faculty member is responsible for assuring completion of Items 2, 3 (as it pertains to the Back-Up File), 4, 7, 8, and 9. The Division Director shares responsibility for Items 3 and 9 and has primary responsibility for Items 1, 5, and 6.

### **Completion and access to the files**

The faculty personnel file shall be updated in a timely manner according to the University calendar. On the appropriate deadline date, the file shall be closed for the review period. Only such materials generated, as a consequence of the faculty evaluation shall be added to the file after the deadline date.

Faculty members have the right of access to their personnel files at any time during regular office hours, without giving reasons. All others shall have access to the file only on the basis of a need-to-know. Members of a faculty evaluation committee, hearing panel, or administrative officers charged with making personnel recommendations are assumed to have a need to know. The appropriate administrative officer shall determine what material is necessary to fulfill the need to know. All persons will treat the material from the file as confidential. The security of all personnel files is to be assured. The confidentiality of each file is to be respected.

### **Personnel file: external evaluations for promotion and tenure**

In years when a faculty member who has research or service as an area of significant contribution is being considered for tenure or for promotion, the personnel file must contain evaluations of the quality of the faculty member's research or service from persons external to the University. External evaluations are one of the many factors to be considered when evaluating the faculty member. Reviews of the quality of teaching are also required, and may be conducted by peers within or without the university community.

The external reviews will be maintained in a separate section of the personnel file in the

Office of the Dean of the College. The various committees and individuals directly involved in the promotion and tenure review process shall be provided copies of this section of the personnel file when they have need. The faculty member shall have the right to see the external reviews after any identifying information has been removed from the copies. All copies shall be returned to the Dean upon the completion of the review. Upon conclusion of the review process, the external evaluations shall be sealed and shall not be used in any subsequent personnel actions.

The external reviewers should be at or above the rank to which promotion is sought. In addition, the external reviewers should come from peer institutions accredited by the AACSB or, when the faculty member is in a department with a doctoral program, from peer institutions with doctoral programs.

The names of persons who will be asked to provide external reviews must be selected with input from the faculty member who is to be evaluated and from the persons in the Department who conduct the promotion/tenure evaluation. The method for identifying external evaluators is for the Departmental tenure and promotion committee and the faculty member each to propose a list of names of appropriate evaluators, selected for their professional competence in the discipline. The Division Director should request evaluations from three or more persons on each list. A minimum total of four external evaluations ordinarily is required. If four evaluations are not received by the time the file is closed, the deadline for including such evaluations in the file may be extended through the written consent of the faculty member, Division Director, and Dean.

Persons who have been closely associated with the person being evaluated, such as co-authors or doctoral research advisors or advisees, may be asked for evaluations but, as with all

evaluators, should be requested to identify their professional or personal relationship to the candidate for promotion and tenure. Additionally, the faculty member must identify any personal and professional relationship to the potential outside evaluators. The faculty member has the right to review the list of potential evaluators and comment upon persons who may not provide objective evaluation and to request deletions.

The Division Director, using letters approved by the Dean, should request the external evaluations, stressing that the standard of significant contribution in research means performance in research which meets or exceeds that of peers recently achieving similar promotion and/or tenure at peer research universities. An assessment of whether the quantity of scholarly work is sufficient for promotion or tenure is a judgment left to the Department, College, and University. The evaluations should be forwarded to the Dean by the external evaluators. Reviews of the quality of teaching may be initiated by the Departmental Promotion, Tenure, and Annual Review Committee or the Division Director with approval of the faculty member. Examples of such reviews would be reviews based on peer classroom visitation and reviews of syllabi and other classroom materials by outside reviewers. Criteria and procedures for the selection of reviewers must be described by the initiating agent(s) and a copy of this description must be put in the faculty member's file.

### **Notification of request for promotion and tenure**

The Division Director must be notified by the faculty member of his/her request for being considered for promotion and/or tenure by May 15 of the academic year preceding the review for promotion and/or tenure. A list of names of external reviewers selected by the faculty

member being considered for promotion and tenure must be submitted to the Division Director by September 10.

## **CRITERIA FOR PROMOTION**

### **Promotion to associate professor**

A minimum of six years at the assistant professor level and the appropriate terminal degree are normally required before promotion to associate professor. Prior service at other academic institutions at the rank of assistant professor or higher must be established at the time of appointment or within the first year, using University guidelines for establishing the critical year. Separate guidelines for changing one's critical year are also specified in University documents and shall be followed. The criteria for promotion to associate professor are:

#### *1. Teaching*

- a. The teaching record of the candidate should provide evidence of significant contribution in the teaching area. The reviewers will examine evidence in the file which should include, but is not limited to following:
  - i. Course design, organization and management.
  - ii. Maintenance of high academic standards.
  - iii. Effective instruction.
  - iv. Effective student advising and counseling.
- b. Evidence of the above must include student evaluations and may include peer and Division Director evaluations. Evidence of teaching innovations, new course development, and other appropriate activities shall be contained in the personnel

file and indicated on the annual productivity report.

2. *Research*

In promotion to associate professor, the research record should show substantial progress toward becoming a mature and productive scholar within at least one sub-field of the faculty member's discipline. Primary evidence of this progress involves a strong beginning evidenced by publications in refereed journals of high quality. Evidence of secondary importance includes other types of publications (such as refereed conference proceedings, book reviews, textbooks, non-refereed journal articles), research grants and research contracts, and papers presented at scholarly meetings.

3. *Service*

The professional expectations of faculty members with regard to service are described in the "West Virginia University Policies and Procedures for Faculty Evaluations."

The following items elaborate on these expectations for faculty members in the College of Business and Economics.

In promotion to associate professor, the service record of the faculty member should be judged by the following criteria:

- a. Contribution of service to the Department, College, or University.
- b. Involvement in international, national, regional, state or area activities with associations related to his/her professional area and with one's university affiliation identified. Such involvement might include refereeing for academic or professional journals, or participation in the organization of professional meetings.

- c. Outreach to the state and the larger community in a professional capacity, such as service-learning activities.

Overall, the candidate for promotion to associate professor must demonstrate significant contribution in research, significant contribution in teaching, and reasonable contribution in service as listed above. In addition, the candidate should be capable of assuming the greater academic responsibilities in furthering the mission of the Department or the College, associated with the rank of associate professor.

### **Promotion to full professor**

Promotion to the rank of full professor is the highest academic honor that the University awards to its own faculty. Clearly, standards for achievement and performance must be much higher for the promotion to full professor than to associate professor. The candidate must substantially have exceeded the minimum contributions required for the rank of associate professor. A minimum of five years at the associate professor level is required before promotion to full professor. The counting of prior service at other academic institutions at the rank of associate professor or higher shall follow University policy as indicated in the annual faculty evaluation guidelines.

Since promotion to associate professor, the individual should demonstrate continuing adherence to all of the standards required for promotion to associate professor with the following requirements:

1. *Teaching*

Continued adherence to the standards required for promotion to associate

professor for the entire period since the previous promotion or the time of joining the University.

2. *Research*

The candidate for promotion to full professor will have become a mature and productive scholar within at least one sub-field of the faculty member's academic discipline. Evidence will include publications in refereed journals of high quality with secondary importance attached to other outlets for scholarly research.

Research and refereed publications will count heavily in the promotion to professor. A steady level of research activity is also important. When appropriate, the candidate for promotion should have had responsibility for and supervision of graduate students' research.

3. *Service*

The candidate must demonstrate a strong leadership role in the College, University, or external community. The professional expectations of faculty members with regard to service are described in the "West Virginia University Policies and Procedures for Faculty Evaluations." Valued professional service activities include, for instance, editorships of academic or professional journals.

Since the promotion to associate professor, the candidate for promotion to full professor should have exhibited a significant contribution in research, a significant contribution in teaching and a reasonable contribution in service as indicated above (unless the faculty member's areas of significant contribution have been changed). In addition, the candidate should be capable of assuming the additional academic responsibilities in furthering the

mission of department and college, associated with the rank of full professor at West Virginia University.

## **CRITERIA FOR TENURE**

### **Introduction**

Tenure is designed to ensure academic freedom and to provide professional stability for the experienced faculty member as well as for the College and University. It is a means of protection against the capricious dismissal of an individual who has served faithfully and well in the academic community.

Continuous self-evaluation, as well as regular evaluation by peer and administrative personnel, with feedback to the faculty member on progress towards tenure, is essential to the viability of the tenure system. Tenure should never be permitted to mask irresponsibility, mediocrity, or deliberate refusal to meet academic requirements or professional responsibilities.

### **Criteria**

1. A faculty member's record of research and refereed publications of high quality is given strong weight in considering the awarding of tenure. Evidence of such research is similar to that outlined under the criteria for promotion to associate professor or professor as appropriate. It is further important for the faculty member to document ongoing research activity in the form of research in progress, working papers submitted to refereed journals, and revision requests from journal editors. The candidate for tenure should provide evidence of significant contributions in the area of research.

2. A faculty member's record of teaching is important in considering the awarding of tenure.  
The candidate for tenure should provide evidence of significant contributions in the area of teaching. Additional evidence is similar to that outlined under the criteria for promotion to associate professor or professor, as appropriate.
3. A faculty member's record of service is important in considering the awarding of tenure.  
The candidate for tenure should provide evidence of reasonable contributions in the area of service. Such evidence would be similar to that outlined under the criteria for promotion to associate professor or professor, as appropriate.
4. In reviewing the candidate's record in research, teaching, and service, the granting of tenure should be based not only on the past performance of the faculty member in these three areas, but also on the expectation of a continuation of a high level of performance in the future.
5. The faculty member should exhibit competence and working effectiveness with faculty and students, such as is valuable in furthering the mission of the Department and the College.
6. In the awarding of tenure, consideration should be given to the impact on the Department and College. Attention should be given to programmatic needs, staffing flexibility, and continued accreditation. Since tenure is a lifetime obligation of the University, such decisions should be made with careful attention to their impact on the academic programs.
7. The identification of a faculty member's critical year shall be established at the date of appointment. For faculty with prior service in tenure track positions at other institutions

the critical year should be established at the time of appointment, but modifications can be requested during their first year at West Virginia University. For faculty without prior service, the critical year may in exceptional cases be moved up by one year at a later stage. The University policies regarding critical years are contained in the annual faculty evaluation guidelines memorandum.

8. Depending on the purpose, time spent on a leave without pay may or may not count when calculating years of service for a probationary faculty member. Whether leave time counts or not must be an explicit part of the agreement between the probationary faculty member and the College.

### **CHANGING AREAS OF SIGNIFICANT CONTRIBUTION**

When a faculty member achieves tenure, the criteria requiring significant contributions in teaching and research, and reasonable contributions in service may be modified on an individual basis to require significant contributions in a different pair of these categories, with reasonable contributions required in the third. The requirements for promotion to full professor described in this document must then be adapted as appropriate. A change in areas of significant contribution should be initiated to assist the Department or the College in achieving its mission and goals, as it addresses the three areas of University concern, and must be approved by the faculty member, the Division Director, the Dean, and the Provost.

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