

# Department of Systems & Technology

## Promotion and Tenure Guidelines

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### I. Overview

This document describes expectations for all tenured and tenure track faculty in the Department of Systems and Technology to supplement the Auburn University and College of Business Faculty Handbooks. This document covers the third year review of untenured faculty, promotion and tenure of untenured faculty, and promotion to full professor.

Each of the major evaluation categories below (teaching, outreach/service, and research) should be reviewed independently of the others. That is, satisfactory progress in any one category, in the absence of demonstrated satisfactory progress in the other two, is not sufficient for continued appointment, tenure, and/or promotion.

Listed below are several overarching principles that apply to the promotion and tenure Guidelines described in this document:

- These Guidelines first went into effect as of November 19, 2012; last revised March, 2016
- This document should be thought of as a “living, forward-thinking” document. It is subject to change and should be reviewed at least each year to determine if changes in content, journal lists, etc. are needed.
- The department maintains a document containing specific examples and classifications of journals. These lists should be regarded as being flexible guidelines. That is, a faculty member can attempt to make a case that a specific journal should be considered in a classification if it is not listed or in a classification other than the one in which it is listed herein.

### A. College Principles

The AACSB requires schools to “demonstrate the impact of faculty intellectual contributions.” In this spirit, the HCOB will foster a culture where faculty members consistently consider the potential impacts of their activities. Intellectual contributions are often measured by reviewing output, such as journal articles and books. These activities demonstrate productivity and a level of quality. Impact complements this approach by taking what is often a retroactive look at how one’s intellectual contributions made a difference.

There are numerous ways to assess impact – via citations or citation-based measures (e.g., h-index), modification of business practices, audiences reached, etc. – and it is incumbent upon the faculty member to demonstrate the impact of his/her intellectual contributions. Faculty are encouraged to use the *HCoB’s Guidelines for Understanding and Evaluating Research Impact* as a guide to assess and demonstrate the impact of one’s intellectual contributions. A demonstration of

impact can be used in a variety of circumstances including annual performance evaluations, tenure and/or promotion, submissions for awards and various other activities.

## **B. Departmental Principles**

The goal of the Department of Systems and Technology is to advance the reputation and rankings of our academic programs through excellence in scholarship, teaching, outreach, and service. We will focus on activities that contribute to the knowledge base of our respective disciplines, prepare students for career success and advanced education, and serve the needs of key stakeholder groups.

The following principles provide a foundation for the Department of Systems and Technology's Promotion and Tenure Guidelines:

- Scholarship is broadly defined in this document to include publication of basic and applied research in outlets of appropriate quality as well as scholarly activities that support the instructional mission. It also includes participation in the procurement of funded contracts and grants, particularly when such contracts and grants result in refereed research articles and generate overhead.
- Department faculty members expect colleagues (at appropriate academic ranks) to contribute to teaching, scholarship, and university and professional service. Faculty contributions to teaching, scholarship, and service can result from a variety of activities including funded and unfunded research, teaching, professional writing, and business outreach activity.
- Department faculty members expect colleagues to participate in professional development activities.
- Faculty members have different interests and strengths, and there is no single model of excellence in teaching, scholarship, and service accomplishments. As faculty members move up in rank (from untenured assistant professor to full professor), they will have greater opportunities to pursue and be evaluated on an increasingly diverse set of academic activities. In general, faculty members early in their academic careers (untenured assistant professors) should focus principally on publishing in Elite and other Category I academic journals (see the department journal list document) and classroom teaching.
- Faculty activities are diverse and any system based strictly on a listing of performance indicators will be incomplete. Consequently, this system must afford individual faculty members an opportunity to provide convincing evidence (for example, the ranking of an academic journal at peer and aspirant Schools) documenting that a particular accomplishment be categorized differently or at a level higher than that listed in this document.
- Performance standards for annual evaluations, reappointment, promotion, and tenure may change as the university, college, and departmental missions change. Personnel decisions

made in a given year are not necessarily precedents for decisions made in subsequent years.

- The qualities of a good university professor are many. Factors such as the quality and impact of a faculty member's scholarly activities, collegiality, fit with departmental needs, potential future research productivity, university and professional service, and teaching effectiveness are important and are based on the professional judgments of the Department head and tenured faculty members (at the appropriate academic ranks).
- Out-of-discipline journal publications of high quality (i.e., Category I or Elite journals; see the department journal list document) are counted as research activity for candidates. Generally, if any HCoB department identifies a journal as a Category I or as an elite journal, then anyone else in the HCoB publishing in those journals will receive appropriate credit when evaluating their research record.
- Multi-authored research is encouraged. However, for a professor to earn tenure, evidence of the ability to produce independent research is required. The more articles published in Elite or Category I journals (or in journals of the same quality as those listed in the department journal list document) where the candidate is the sole, first, or second author, the stronger a candidate's case for promotion or tenure. However, these publications alone will not necessarily guarantee tenure or promotion. A candidate's entire body of work will be considered in promotion and tenure decisions.
- A candidate for promotion and tenure needs to have a sustained level of research productivity with an absence of major gaps (e.g., more than 1 year) in published research (or papers unconditionally accepted for publication) activity in Elite and Category I journals.
- Particularly with regard to Research activities, the Guidelines specify certain "targets" or expectations that 3<sup>rd</sup>-year-review-candidates as well as promotion-and-tenure candidates need to have achieved to be judged "successful." Although these stated expectations will be heavily weighted, they will not be used as absolute cutoffs in judging a candidate. Candidates have the opportunity to provide evidence that additional research accomplishments build a compelling case that their achievements equal or exceed the stated level of expectations.

## **II. Three Year Review of Untenured Faculty**

Part of the promotion and tenure process at Auburn University includes both annual progress reviews and an in-depth three-year progress review. The three-year progress review in the Department of Systems and Technology includes feedback from tenured faculty in the department, including the department chairperson, on how each candidate is progressing toward meeting departmental P&T criteria.

To receive a positive third-year review, a candidate should demonstrate tangible evidence of progress in building a record of teaching, research and service/outreach that is likely to lead to promotion and tenure. Such evidence can take the form of completed work and work in process. A negative third-year review may result in non-continuation for the candidate.

### **A. Evaluation of Teaching**

At the time of the third year review, a candidate must have documented evidence of teaching effectiveness. In evaluating teaching effectiveness, tenured departmental faculty will examine information such as student evaluations, course syllabi, number of different class preparations, class sizes, and course level. Examples of teaching documentation may also include evidence of pedagogical innovations, academic rigor of courses and grading load (judged from course syllabi), formally assessed improvements in subject mastery by students, receipt of special teaching awards, and any other forms of teaching recognition.

### **B. Evaluation of Research**

A department's academic reputation is enhanced when professors are actively publishing in well-respected (see the department journal list document) academic journals. Publication in such high-quality journals will be the principal basis for evaluating an untenured assistant professor's research during his or her initial 3-year period of employment. Therefore, during the 3-year interim period, an untenured assistant professor needs to focus on submitting and publishing articles that will appear in Elite and Category I journals. At a *minimum*, the Department expects that by the end of the 3-year period, an untenured assistant professor needs to have published or have in press the following:

- at least two Category I journal articles

Other considerations in evaluating a candidate's research record include a candidate's articles under review at Elite or Category I journals, papers in revise-and-resubmit status for Elite or Category I journals, and past success in getting article acceptances. If a candidate cannot provide evidence such as that listed above, it is unlikely that the candidate will pass a third-year review.

If the assistant professor plans to submit to a journal, such as a niche journal that does not appear on the journal list (e.g., pedagogical journals), the faculty member must provide convincing, well-documented evidence that the journal(s) in which he or she plans to publish or has published is equivalent to those on the Department's Category I journal list. Journal evidence such as editorial board composition, impact factors, acceptance rates, appropriateness to the field, and rankings of journals by peer and aspirant schools can be used in making that determination. For journals not on our list, the faculty member should discuss with the department head his or her proposed journal outlet *before* submitting the work for review. Tenured professors in the Department will then examine that evidence for journal acceptability.

### **C. Evaluation of Service and Outreach**

During the 3-year window for untenured faculty, service responsibilities need to be kept to a minimum and outreach activities are generally low or non-existent. Therefore, tenured department faculty members place minimal weight on service activities for assistant professors within this 3-year window. Acceptable service activities within the HCoB might consist of activities such as attending graduation exercises or serving on departmental/college committees having a short-term mission (e.g., a committee that meets no more than two times in a semester).

### **D. Other**

At the time of the third year review, a candidate must demonstrate collegiality and a high standard of professional integrity. The candidate must interact with faculty colleagues, students and staff with civility and professional respect. The candidate must also work productively with these groups.

## **III. Tenure and Promotion to Associate Professor**

A candidate for tenure and promotion needs to be building an emerging national reputation within his or her discipline. Primary evidence for building that reputation will likely come from the quality of research that a candidate has conducted and published in national venues, such as quality, well-recognized, academic journals. That is, scholars across the United States and in a candidate's discipline should be familiar with a candidate's reputation and academic work record. The narrative below describes some of what the Department expects in a candidate's academic work record as a basis for determining tenure and promotion to associate professor.

### **A. Evaluation of Teaching**

The candidate is required to perform effectively in the classroom, instill a level of rigor appropriate to the courses taught, and facilitate student learning. The candidate must provide current, appropriate content and skill development opportunities that support the department teaching mission of preparing students for career success. The candidate is also expected to make a credible effort to enhance his/her instructional proficiency over time.

<b><i>Performance Criteria</i></b>	<b><i>Evidence of Success</i></b>	<b><i>Required</i></b>
<i>Excellent classroom performance and student impact</i>	<ul style="list-style-type: none"> <li>• Positive student evaluation ratings</li> <li>• Positive peer reviews of teaching</li> <li>• Positive peer reviews of teaching portfolio</li> <li>• Receipt of teaching awards</li> </ul>	√ √ √
<i>Commitment to continuous improvement of instructional skills</i>	<ul style="list-style-type: none"> <li>• Ongoing upgrades of assigned courses</li> <li>• Participate in teaching seminars &amp; colloquia</li> <li>• Adoption of new teaching techniques</li> <li>• Publication of teaching cases</li> </ul>	√

*Note: The evidence of success list is not all-inclusive. Candidates are also able to demonstrate significant teaching accomplishments via other activities. It is up to the candidate to justify the positive impact of these additional activities to the departmental faculty.*

## **B. Evaluation of Research**

The candidate is required to establish a record of high quality and consistent scholarship, as well as exhibit the potential for future success. Successful publication of research articles in Elite and other Category I journals, with demonstrated capability for lead authorship, is essential for promotion and tenure consideration. The candidate must also demonstrate an emerging stature as a regional or national authority in their field of expertise.

<b><i>Performance Criteria</i></b>	<b><i>Evidence of Success</i></b>	<b><i>Required</i></b>
<i>Excellent quality of research</i>	<ul style="list-style-type: none"> <li>• Two or more articles in Elite journals</li> <li>• At least three in Category 1 journals</li> <li>• Receipt of research awards from journals</li> <li>• External letters of recognition</li> <li>• External research grants</li> <li>• Creation of intellectual property, copyrights, or patents</li> </ul>	√ √
<i>Evidence of emerging reputation and impact on profession</i>	<ul style="list-style-type: none"> <li>• Multiple research presentations at conferences</li> <li>• Citation of work in other journal articles</li> <li>• Receipt of best paper awards at conferences</li> <li>• Serve as ad hoc reviewer for academic journals</li> </ul>	√

In judging a candidate's publication record, the tenured faculty will take into consideration a number of factors. For example, additional strength is added to a candidate's application when the candidate is first or sole author of an Elite journal article or first or sole author of a Category I article.

A candidate not meeting the above standards will likely not receive a favorable vote for tenure and promotion. However, just because a candidate meets the above standards, there is no guarantee for promotion and tenure. Other factors bearing on a candidate's research evaluation will also be considered. In addition to the above standards, the Department will also consider other evidence in judging scholarly activity such as the following:

- The quality of publications in academic and professional outlets other than those on departmental journal lists
- The order of a candidate's authorship of research articles (sole authorship; first or second in order of authorship)
- Research publications that receive special recognition (e.g., best in a volume)
- Receipt of an award from a regional, national, or international professional association for scholarly contributions in research
- Refereed papers (includes proceedings' publications, if any) presented at prestigious national meetings (e.g., Decision Sciences, Academy of Management, Society for Industrial-Organizational Psychology)
- Refereed regional association papers may be considered but will carry significantly less positive weight
- Any grant or contract activity that generates overhead commonly charged by Auburn University for the type of grant or contract awarded where the candidate being considered for tenure and promotion is either the principal investigator or a co-principal investigator.
- A research contract or grant award from a prestigious national funding agency (e.g., NSF, NIH) that has undergone a rigorous review process will be considered similar in stature to an Elite or Category I journal publication, depending on the size and nature of the grant. As indicators of research competency, contract and grant awards from less prestigious funding agencies will be considered commensurately on their own merits. Candidates are cautioned, however, that under no circumstances will grant work completely substitute for published research. In other words, promotion and tenure will not be granted solely on the basis of grantspersonship.
- Creation of intellectual property, copyrights, and patents.

### C. Evaluation of Outreach and Service

The candidate must demonstrate a willingness to engage in service activities at the departmental, college, and/or university levels. Assistant professors who have received a positive vote in the three-year review have somewhat more responsibility for outreach and service activities than an untenured assistant professor within the three-year initial review period. However, these activities should be kept to a minimum. Acceptable activities within the college might consist of activities such as attending graduation exercises, serving on departmental/college committees having a short-term mission (e.g., a committee that meets no more than two times in a semester), advising an on-campus student organization, working with doctoral students. Professional activities might include serving as an ad hoc reviewer for an academic journal or organizing a symposium at a national meeting.

<i>Performance Criteria</i>	<i>Evidence of Success</i>	<i>Required</i>
<i>Commitment to institutional success</i>	<ul style="list-style-type: none"> <li>• Effective performance of HCoB committee assignments</li> <li>• Engagement in interdisciplinary activities and working groups</li> <li>• Effective performance of university committee assignments</li> <li>• Successful completion of special assignments and projects</li> </ul>	√
<i>Evidence of service to external stakeholders</i>	<ul style="list-style-type: none"> <li>• Provide service to business professional societies</li> <li>• Participation in industry projects and consulting</li> <li>• Involvement with similar programs at other universities</li> <li>• Provide expert assistance to nonprofit and government agencies</li> </ul>	√

*Note: The evidence of success list is not all-inclusive. Candidates are also able to demonstrate significant service and outreach contributions via other activities. It is up to the candidate to justify the positive impact of these activities to the departmental faculty.*

### D. Other

The candidate is expected to support the departmental mission of teaching, research, and service excellence and contribute to the improvement of departmental programs. The candidate must demonstrate professional ethics, integrity, and collegiality with constituent groups in Auburn University and his/her profession.



<b><i>Performance Criteria</i></b>	<b><i>Evidence of Success</i></b>	<b><i>Required</i></b>
<i>Commitment to program and student success</i>	<ul style="list-style-type: none"> <li>• Effective engagement in departmental initiatives</li> <li>• Provide mentorship to students and/or student organizations</li> <li>• Participation in employer relationship development</li> <li>• Active engagement in alumni outreach</li> </ul>	√
<i>Evidence of collegiality and professional integrity</i>	<ul style="list-style-type: none"> <li>• Effective overall performance of assigned duties</li> <li>• Demonstrated ability to work productively with administrators, faculty colleagues, staff, and students</li> <li>• Actions are compatible with departmental mission and goals</li> <li>• Willingness to engage in shared academic and administrative tasks</li> </ul>	√ √

*Note: The evidence of success list is not all-inclusive. Candidates are also able to demonstrate program commitment, collegiality, and integrity via other activities. It is up to the candidate to highlight these contributions to the departmental faculty.*

#### **IV. Promotion to Professor**

A candidate for tenure and promotion needs to have a national reputation within his or her discipline. Primary evidence for building that reputation will likely come from the quality of research that a candidate has conducted and published in national venues, such as quality, well-recognized, academic journals. That is, scholars across the United States and in a candidate's discipline should be familiar with a candidate's reputation and academic work record. The narrative below describes some of what the Department expects in a candidate's academic work record as a basis for determining tenure and promotion to associate professor.

##### **A. Evaluation of Teaching**

The candidate is required to perform effectively in the classroom, maintain a level of rigor appropriate to the courses taught, and facilitate student learning. The candidate must provide current, appropriate content and skill development opportunities that support the department teaching mission of preparing students for career success. The candidate is also expected to enhance the quality of his/her academic program.

At the time a faculty member is considered for tenure and promotion, the candidate must have documented evidence of teaching effectiveness. In evaluating teaching effectiveness, department faculty members will examine information such as student evaluations, course syllabi, number of different class preparations, class size, and course level. Examples of teaching documentation may also include evidence of pedagogical innovations, academic rigor of courses and grading load (judged from course syllabi), formally assessed improvements in subject mastery by students, receipt of special teaching awards, and any other forms of teaching recognition. Other considerations in evaluating teaching will include any candidate's publications of articles in

pedagogical journals, authoring university textbooks published by a widely recognized, academic publisher, or development and receipt of grants or donations of money and/or equipment that support the instructional mission of the Department or the HCoB.

<i>Performance Criteria</i>	<i>Evidence of Success</i>	<i>Required</i>
<i>Excellent classroom performance and student impact</i>	<ul style="list-style-type: none"> <li>• Positive student evaluation ratings</li> <li>• Positive peer reviews of teaching portfolio</li> <li>• Positive peer reviews of teaching</li> <li>• Receipt of college, university, or external teaching awards</li> </ul>	√ √ √
<i>Commitment to continuous improvement of instruction</i>	<ul style="list-style-type: none"> <li>• Ongoing upgrades of assigned course</li> </ul> <p><i>At least one of the following:</i></p> <ul style="list-style-type: none"> <li>○ Development of new courses</li> <li>○ Enhancement of academic program</li> <li>○ Publication of textbooks, chapters, or teaching cases</li> <li>○ Publication of pedagogical research</li> <li>○ Receipt of teaching innovation awards</li> <li>○ Receipt of teaching grants</li> </ul>	√ √

*Note: The evidence of success list is not all-inclusive. Candidates are also able to demonstrate significant teaching accomplishments via other activities. It is up to the candidate to justify the positive impact of these additional activities to the departmental faculty.*

## **B. Evaluation of Research**

The candidate is required to sustain a record of high quality, high impact scholarship. Consistent publication of research articles in Elite and Category I journals as lead author is required for promotion. Publications in practitioner journals are encouraged, though they may not dominate the research portfolio. The candidate must also attain stature as a national authority in their area of expertise as evidenced by Elite journal articles, external grants, and external peer recognition.

<b><i>Performance Criteria</i></b>	<b><i>Evidence of Success</i></b>	<b><i>Required</i></b>
<i>Excellent quality of research</i>	<ul style="list-style-type: none"> <li>• Four or more articles in Elite journals</li> <li>• Six articles in Category 1 journals</li> <li>• Evidence of a specific research stream</li> <li>• Receipt of significant external research grants</li> <li>• Receipt of research awards from journals</li> <li>• Creation of intellectual property, copyrights, or patents</li> </ul>	√ √ √
<i>Strong national reputation and impact on profession</i>	<ul style="list-style-type: none"> <li>• External letters of recognition for research impact</li> <li>• Provide leadership to academic and practitioner journals (editor, special issue editor, editorial review board)</li> <li>• Citation of work in other journal articles</li> <li>• Receipt of best paper awards at conferences</li> </ul>	√ √

*Note: The evidence of success list is not all-inclusive. Candidates are also able to demonstrate significant research contributions via other activities. It is up to the candidate to justify the positive impact of these additional activities to the departmental faculty.*

### **C. Evaluation of Outreach and Service**

The candidate must actively engage in service activities at the departmental, college, and/or university levels. Given the practical nature of the disciplines in the department, the candidate is also encouraged to engage with industry, professional organizations, and other external entities through project work, volunteer services, and applied research activities.

<b><i>Performance Criteria</i></b>	<b><i>Evidence of Success</i></b>	<b><i>Required</i></b>
<i>Commitment to institutional success</i>	<ul style="list-style-type: none"> <li>• Effective performance of HCoB committee assignments</li> <li>• Engagement in interdisciplinary activities and working groups</li> <li>• Effective performance of university committee assignments</li> <li>• Effective leadership of departmental, college, and/or university committees</li> <li>• Successful completion of special assignments and projects</li> </ul>	√
<i>Evidence of service to external stakeholders</i>	<ul style="list-style-type: none"> <li>• Provide leadership and significant service to business professional societies</li> <li>• Provide leadership in industry projects and consulting</li> <li>• Involvement with similar programs at other universities</li> <li>• Provide significant expert assistance to nonprofit and government agencies</li> </ul>	√

*Note: The evidence of success list is not all-inclusive. Candidates are also able to demonstrate significant service and outreach contributions via other activities. It is up to the candidate to justify the positive impact of these activities to the departmental faculty.*

**D. Other**

The candidate must actively support the departmental mission of teaching, research, and service excellence and make significant contributions to the improvement of departmental programs. The candidate must demonstrate professional ethics, integrity, and collegiality with constituent groups in Auburn University and his/her profession.

<i>Performance Criteria</i>	<i>Evidence of Success</i>	<i>R</i>
<i>Commitment to program and student success</i>	<ul style="list-style-type: none"> <li>• Provide strategic leadership of departmental initiatives</li> <li>• Mentor assistant professors, lecturers, and instructors</li> <li>• Mentor students in academic and career matters</li> <li>• Develop strong relationships with employers</li> <li>• Advise student organizations</li> <li>• Active engagement in alumni outreach</li> </ul>	
<i>Evidence of collegiality and professional integrity</i>	<ul style="list-style-type: none"> <li>• Effective overall performance of assigned duties</li> <li>• Ongoing, productive interaction with administrators, faculty colleagues, staff, and students</li> <li>• Provide leadership in shared academic and administrative tasks</li> <li>• Actions support departmental mission and goals</li> </ul>	

*Note: The evidence of success list is not all-inclusive. Candidates are also able to demonstrate program commitment, collegiality, and integrity via other activities. It is up to the candidate to highlight these contributions to the departmental faculty.*