

Department of Accounting

ACCT faculty vote 9/2019

Introduction

This document describes the standards by which the Department of Accounting evaluates faculty for promotion and tenure. It follows the guidelines set forth in and acknowledges the precedence of the *UNM Faculty Handbook*. To achieve promotion, tenure, or both, a candidate is expected to be effective in research, teaching, service, and personal characteristics with excellence in either scholarly work or teaching. Because the department houses multiple and distinct disciplines, standards are intended to be defined with sufficient flexibility to allow for differences among the disciplines.

Community Engaged Scholarship

Community engaged scholarship in scholarly work, teaching, and service may be used to enhance the candidate's portfolio for promotion to full professor and for tenure and promotion to associate professor. For the areas of teaching and service it is the candidate's responsibility to clearly document the impact and value of the community engagement in annual review materials and in the promotion/tenure dossier.

The candidate is also responsible for documenting the impact and value of community engagement in scholarly activity. A faculty member wishing to pursue community-engaged scholarship that may not be published in peer reviewed journals should first consult with the department chair and senior department faculty to ensure the project has: clear goals, methodological rigor, significance, effective dissemination of results, a plan for reflective critique, and a strategy for obtaining acceptable peer review.

The acceptability of community-engaged scholarly activity should be documented in annual reviews or a memo from the department chair to the candidate prior to, or in early stages of, the scholarly activity.

Tenure and Promotion to the Rank of Associate Professor

During the probationary period the faculty member is expected to regularly consult with senior faculty in the department regarding progress toward meeting the requirements for tenure and promotion to the rank of associate professor. To achieve tenure and promotion the candidate is expected to achieve competence in scholarly work, teaching, service, and personal characteristics with demonstrated excellence in either teaching or scholarly work.

Requirements for Scholarly Work (Tenure and Associate Professor)

The Accounting department relies on the UNM definition of scholarly work found in the UNM Faculty Handbook Section 1.2.2.

- To demonstrate competence in scholarly work, a minimum of 6 refereed academic journal publications. The expectation is that untenured faculty should concentrate on quality academic journal publications. The count of 6 articles may be adjusted, as determined by the tenured faculty in the department. The candidate is also expected to participate in ongoing research activity. For example, to foster involvement in the research community, untenured faculty should present at least 1 academic paper at a conference every 2 years.

- To demonstrate excellence in scholarly work the candidate must meet the above standard for competence and must have high quality scholarly work. This is normally demonstrated through a minimum of 1 publication of major quality. Exceptional other intellectual contributions (OICs) may also be used to demonstrate excellence. However, a candidate seeking to demonstrate excellence through OICs is expected to seek guidance from the department chair and senior department faculty throughout the probationary period.
- It is the candidate's responsibility to document the quality of the scholarly work dossier through the use of multiple academically reputable and established sources. The candidate may normally expect peer journal quality and exceptional OICs to be documented in the annual review by the department chair in consultation with senior department faculty.
- As defined in the Anderson School of Management Academic Qualifications guidelines: other intellectual contributions (OIC) are intellectual contributions other than peer review journal articles regardless of the form of contribution, including, but not limited to, research monographs, scholarly books, chapters in a scholarly book, textbooks, proceedings from a scholarly meeting, papers presented at an academic or professional meeting, publicly available research working papers, papers presented at a faculty research seminar, publications in a trade journal, in-house journal, book review, written case with instructional material, instructional software, and other publicly available material describing the design and implementation of a new curriculum or course. Note: Other intellectual contributions must be publicly available; i.e., proprietary and confidential research and consulting reports do not qualify as intellectual contributions.
- The evaluation committee of tenured department faculty will consider the effect of sole authored articles and articles that have more than four co-authors. Generally all authors on a publication will be assumed to have contributed equally unless evidence suggests otherwise.

Requirements for Teaching (Tenure and Associate Professor)

Effective teaching is one of the primary qualifications for promotion and the faculty member is expected to demonstrate a commitment to education in the discipline.

- Evidence to be evaluated must include, but is not limited to, student course evaluations, descriptions of courses taught and developed by the faculty member with pertinent teaching materials, and written reports of peer observations of teaching.
- To demonstrate competence in teaching the candidate must have been evaluated as Meets or Exceeds Expectations in teaching for each of the most recent three years or show continual improvement in teaching during the probationary period.
- To demonstrate excellence in teaching, candidates must meet the above standard for competence and must demonstrate high standards in teaching, significant contributions to their disciplines, and exceptional teaching efforts. This may include, but is not limited to, UNM, ASM, or professional teaching awards or recognition, pedagogical development and research, involvement in curriculum development and assessment of learning, an unusual number of courses taught or student credit hours generated, and/or multiple delivery methods (online, hybrid, etc.).

Requirements for Service (Tenure and Associate Professor)

Service contributions will be evaluated as a portfolio. Service for faculty applying for tenure and promotion to the rank of associate professor should be at the level of Meets or Exceeds Expectations for the most recent three years or may show continual improvement in service during the probationary period.

Requirements for Personal Characteristics (Tenure and Associate Professor)

Personal characteristics are also evaluated in promotion to associate professor. This category relates to the personal traits that influence an individual's effectiveness as a teacher, a scholar, researcher, or creative artist, and a leader in a professional area. Of primary concern are intellectual breadth, emotional stability or maturity, and a sufficient vitality and forcefulness to constitute effectiveness. There must also be demonstrated collegiality and interactional skills so that an individual can work harmoniously with others while maintaining independence of thought and action. Attention shall also be given to an individual's moral stature and ethical behavior, for they are fundamental to a faculty member's impact on the University. Information used in the objective appraisal of personal traits may be acquired from peer evaluations (e.g., written evaluations prepared by colleagues or for other departmental reviews) and must be handled with great prudence. By necessity, the category of Personal Characteristics requires flexibility in its appraisal.

Promotion to the Rank of Professor

To achieve promotion to professor the faculty member shall have achieved nationally recognized scholarship or excellence in teaching and a demonstrated willingness to make ongoing contributions. This includes maintaining academic qualifications, continuing scholarly activities, teaching effectiveness and service leadership. Candidates should show potential for continued enthusiasm and potential for contributing to their discipline.

Requirements for Scholarly Work (Professor)

The Accounting department relies on the UNM definition of scholarly work found in the UNM Faculty Handbook Section 1.2.2. Prior to the beginning of the promotion process the candidate should consult with the department chair and the full professors in the department as to the current state of the research portfolio.

- A candidate's entire body of scholarly work since promotion to associate professor shall be evaluated. However, for the demonstration of either competence or excellence in scholarly work, the candidate is expected to demonstrate steady output of scholarly work and an ongoing agenda for additional work for the most recent 5 year period prior to applying for promotion. Therefore, the candidate should have been evaluated in annual reviews as Meeting or Exceeding Expectations in scholarly work during this period.
- To demonstrate competence in scholarly work, the candidate is generally expected to have a minimum of 6 quality peer reviewed journal articles since promotion to the rank of associate professor. Adjustments to the number of articles may be made depending on the demonstrated quality of the research and the length of time over which publications were accepted.
- To demonstrate excellence in scholarly work the candidate must meet the above standard for competence and must demonstrate the achievement of nationally recognized work. This may include, but is not limited to, peer reviewed journal articles in high quality publications, citations demonstrating the impact of the scholarly work, dossier reviews from non-ASM scholars in the candidate's field of expertise (normally requested as part of the promotion process), national and rigorously competitive peer reviewed grants, editorial leadership for peer reviewed journals, leadership in professional conferences, and/or other work of significance in the candidate's field.
- It is the candidate's responsibility to document the quality of the scholarly work dossier through the use of multiple academically reputable and established sources.
- The evaluation committee of tenured department faculty will consider the effect of sole authored scholarly work and work that has more than four co-authors. Generally, all authors will be assumed to have contributed equally unless evidence suggests otherwise.

Requirements for Teaching (Professor)

Effective teaching is one of the primary qualifications for promotion and the faculty member is expected to demonstrate a commitment to education in the discipline.

- Evidence to be evaluated must include, but is not limited to, student course evaluations, descriptions of courses taught and developed by the faculty member with pertinent teaching materials, and written reports of peer observations of teaching.

- To demonstrate competence in teaching the candidate should have been evaluated as Meets or Exceeds Expectations in teaching for each of the most recent 5 years.
- To demonstrate excellence in teaching, candidates must meet the above standard for competence and must demonstrate high standards in teaching, significant contributions to their discipline through exceptional teaching efforts. The candidate must have a clearly evidenced expertise in “*general problems of university education and their social implications... and the ability to make constructive judgments and decisions*” (UNM Faculty Handbook Section 2.2.3). This may include, but is not limited to, UNM, ASM, or professional teaching awards or recognition, pedagogical development and research, involvement in curriculum development and assessment of learning, an unusual number of courses taught or student credit hours generated, and/or multiple delivery methods (online, hybrid, etc.).

Requirements for Service (Professor)

Service contributions will be evaluated as a portfolio. It is normally expected that service for faculty applying for promotion to the rank of professor should be at the level of Meets or Exceeds Expectations for the most recent five-year time period. Individuals seeking promotion to the rank of professor must have engaged in both significant professional and institutional service and demonstrated leadership in professional and/or institutional service.

Requirements for Personal Characteristics (Professor)

Personal characteristics are also evaluated in promotion to full professor. This category relates to the personal traits that influence an individual's effectiveness as a teacher, a scholar, researcher, or creative artist, and a leader in a professional area. Of primary concern are intellectual breadth, emotional stability or maturity, and a sufficient vitality and forcefulness to constitute effectiveness. There must also be demonstrated collegiality and interactional skills so that an individual can work harmoniously with others while maintaining independence of thought and action. Attention shall also be given to an individual's moral stature and ethical behavior, for they are fundamental to a faculty member's impact on the University. Information used in the objective appraisal of personal traits may be acquired from peer evaluations (e.g., written evaluations prepared by colleagues or for other departmental reviews) and must be handled with great prudence. By necessity, the category of Personal Characteristics requires flexibility in its appraisal.

Probationary Faculty Mentoring Plan

Probationary faculty are mentored as follows:

1. The initial contract letter sent by the Department Chair to new assistant professors is accompanied by the Accounting department tenure and promotion guidelines.
2. Prior to the start of the first semester the Accounting senior faculty including the department chair mentor the new assistant professor on teaching, research, and service.
3. Over the course of each semester, the Department Chair and other senior Accounting faculty meet with the new assistant professor to provide guidance and to listen to feedback on teaching, research, and service; including advice regarding: a) how to construct courses and provide course materials in ways that have been shown to be most effective and engaging for our students; b) how to achieve a steady stream of research productivity in terms of submissions to leading research conferences and journals in his/her area of expertise that meet Anderson School of Management (ASM) expectations for scholarly work; and c) appropriate avenues to demonstrate service to the department, ASM, the University as a whole, the business community, and professional service to the discipline that represent appropriate commitments in accordance with ASM's and Accounting departmental service expectations for junior scholars.
4. The Anderson School of Management (ASM) holds orientation the week prior to classes the first semester to provide orientation to Learn, IT services, etc.
5. The new hires attend the scheduled ASM faculty retreats and meetings.
6. The Accounting Department holds multiple department meetings each semester. During those meetings new hires are assisted by senior faculty in becoming integrated and productive members of the department.
7. Faculty who teach sections of the same course are asked to work together to achieve consistency of texts, syllabi, and expectations of students. Sample syllabi are provided to new hires.
8. During the first semester, the Department Chair explains the importance of student evaluations and the process if student complaints are received. The Department Chair will work with the junior faculty member on ways to improve teaching performance.
9. At least 2 tenured faculty visit at least one of the new hire's classes each semester the first year and at least once per year thereafter. They provide constructive feedback to the new hire.
10. The Department Chair provides an annual review verbally and in writing each year that includes discussion of goals accomplished and planned for the coming year in the areas of research, teaching, and service.
11. Each faculty receives approximately \$2,000 per year (depending on available resources) toward conferences, software, hardware, and data and can request additional department funds.
12. The Department Chair mentors junior faculty through the mid-probationary and tenure process.

Appendix: Relevant Sections of UNM Handbook

From the UNM Faculty Handbook Section 1.2.2 Scholarly Work

(a) The term Scholarly Work, as used in this Policy, comprises scholarship, research, or creative work. Scholarship embodies the critical and accurate synthesis and dissemination of knowledge. The term research is understood to mean systematic, original investigation directed toward the generation, development, and validation of new knowledge or the solution of contemporary problems. Creative work is understood to mean original or imaginative accomplishment in literature, the arts, or the professions.

(b) The faculty member's scholarly work should contribute to the discipline and serve as an indication of professional competence. The criteria for judging the original or imaginative nature of research or creative work must reflect the generally accepted standards prevailing in the applicable discipline or professional area. To qualify as scholarship or creative work, the results of the endeavor must be disseminated and subject to critical peer evaluation in a manner appropriate to the field in question.

(c) Evidence of scholarship or creative work is determined by the faculty member's publications, exhibits, performances, or media productions and may be supplemented by evidence of integration of the faculty member's scholarly work and teaching. Written evaluations from colleagues and experts in the field, both on campus and at other institutions, may be used at the discretion of the department for the mid-probationary review (Sec. 4.5 and 4.6). Such evaluations must, however, form part of the dossier for both the tenure review and the review for promotion to the senior ranks (Sec. 4.5, 4.7, and 4.8).

From the UNM Faculty Handbook Section 2.2.3 Professor

(a) Individuals who have attained high standards in teaching and who have made significant contributions to their disciplines may be considered for this faculty rank. They shall also have developed expertise and interest in the general problems of university education and their social implications, and have shown the ability to make constructive judgments and decisions. It is expected that the professor will continue to develop and mature with regard to teaching, scholarly work, and the other qualities that contributed to earlier appointments.

(b) Appointment or promotion to Professor represents a judgment on the part of the department, college/school, and University that the individual has made significant, nationally recognized scholarly or creative contributions to his or her field and an expectation that the individual will continue to do so.

(c) Professors are the most enduring group of faculty, and it is they who give leadership and set the tone for the entire University. Thus, appointment or promotion should be made only after careful investigation of the candidate's accomplishments in teaching, scholarly work, and leadership.

From the UNM Faculty Handbook Section 4.8.3 Professor

(a) Qualifications for promotion to the rank of professor include attainment of high standards in teaching, scholarly work, and service to the University or profession. Promotion indicates that the faculty member is of comparable stature with others in his or her field at the same rank in comparable universities. Service in a given rank for any number of years is not in itself a sufficient reason for promotion to professor.

(b) Timetable for promotion to professor: The anticipated length of service in the rank of associate professor prior to consideration for promotion to the rank of professor is at least five years. Recommendations for promotion in less time must be carefully weighed and justified. The review for advancement in rank to that of professor is initiated during the Fall semester. Notification of the outcome of the review is made during the Spring no later than June 30 of that year.

From the UNM Faculty Handbook Section 2.2.2 Associate Professor

(a) Individuals who have acquired significant experience beyond the terminal degree are appropriate for this faculty rank. They shall have demonstrated competence as teachers and have shown a conscientious interest in

improving their teaching. They shall have demonstrated a basic general understanding of a substantial part of their discipline and have an established reputation within and outside the University in their fields of scholarly work. This implies scholarly work after the terminal degree sufficient to indicate continuing interest and growth in the candidate's professional field.

(b) Appointment at, or promotion to, the rank of associate professor represents a judgment on the part of the department, college, and University that the individual has made and will continue to make sound contributions to teaching, scholarly work, and service. The appointment should be made only after careful investigation of the candidate's accomplishments and promise in teaching, scholarly work, and leadership.

From the UNM Faculty Handbook Section 4.7.2 Purpose of the Tenure Review and Standards for Tenure

The awarding of tenure is the most serious commitment the department, college/school, and University make to a faculty member. Tenure is a privilege, not a right, and is awarded only after the most serious deliberation and review. The tenure review consists of evaluation of the faculty member's teaching, scholarly work, service, and personal characteristics, according to the standards specified in this Policy and the criteria of the academic unit. For a positive tenure review, the faculty member shall have demonstrated competence or effectiveness in all four areas, and excellence in either teaching or scholarly work.

From the UNM Faculty Handbook Section 4.8.2 Promotion to Associate Professor

(a) It is the policy of the University that tenure and promotion to the rank of associate professor will normally be granted together. A candidate for tenure who does not already hold the rank of associate professor shall simultaneously be considered for promotion to the associate professor rank. A favorable decision on promotion to associate professor rank shall normally be a basic prerequisite for the awarding of tenure. Requests for departures from this policy must be made prior to the initiation of the tenure or promotion review process with the concurrence of the department, the dean, and the Provost/VPHS.

(b) Timetable for promotion to associate professor: The anticipated length of service in the rank of assistant professor is six years, with review for promotion to the rank of associate professor occurring in the sixth year. The review process for advancement to associate professor is normally conducted at the same time as the review for tenure (i.e., Fall semester of the final academic year of the probationary period). Recommendations for promotion in less time are to be carefully weighed and justified. Notification of the outcome of the review shall be made during the Spring semester no later than June 30 of that year.