



Sam Houston State University

COLLEGE OF BUSINESS ADMINISTRATION

DEPARTMENT OF FINANCE AND BANKING

Promotion and Tenure Standards

Effective 1/1/2024



College of Business Administration Department of Finance and Banking Promotion and Tenure Standards

Academic Policy Statement (APS) 900417 (October 2022), "Faculty Reappointment, Tenure, and Promotion of Tenured and Tenure-Track Faculty" is the university policy that guides the promotion and tenure process at Sam Houston State University (SHSU). The SHSU Department of Finance and Banking uses *APS 900417* to guide the Department in processes, timelines, definitions, and requirements of the Promotion and Tenure procedures. These items apply universally across the university and the Department of Finance and Banking adheres to those requirements.

Section 5 of APS 900417 allows the tenured and tenure-track faculty of the Department of Finance and Banking to develop departmental specific standards of performance for Promotion and Tenure within the department subject to the approval of the department chair, college dean, and university provost. The policy (*900417*) also defines the categories of performance as 1) Teaching, 2) Scholarly and/or Creative Accomplishments, and 3) Service.

Unique to the College of Business Administration (COBA)

COBA is accredited by the Association to Advance Collegiate Schools of Business (AACSB, International). One of the categories reviewed by AACSB is the faculty qualifications of the college's faculty. COBA determines the requirements for the various status levels of faculty qualifications. In the Department of Finance and Banking, candidates for promotion and/or tenure must meet COBA's standards for faculty qualifications related to AACSB accreditation. In general, doctoral qualified faculty should meet the "Scholarly Academic" category. Faculty with significant administrative duties may instead be allowed to meet the standards for the "Practice Academic" category in accordance with the college's faculty qualification criteria and approval of the Dean. In no instance should a doctoral qualified faculty member be listed as "Additional Faculty."

Promotion and Tenure Standards - Teaching

For Promotion to Associate Professor and/or Tenure

APS 900417 (October 2022) Policy Standards related to Teaching (page 8):

- *“Sustained effective teaching and mentoring of students as documented by student evaluations and peer and chair review. Other possible measures may include an exemplary record of academic advisement, supervision of student research, or thesis/dissertation direction, as appropriate for the discipline.”*
- *“Sustained contribution to program support, such as course and curriculum development, innovations in teaching methodology, electronic instruction development, or participation in interdisciplinary academic programs.”*
- *“Participation in professional development activities to update skills or to gain new expertise.”*

Department of Finance and Banking Standards:

Candidates for promotion to associate professor and tenure will provide evidence of a sustained pattern of effective teaching and contribution to the academic programs. Evidence of a sustained pattern may include:

- Sustained pattern of exceeding minimum expectations on annual FES 1 (Chair’s Evaluation of Teaching Effectiveness) and FES 2 (Student Evaluations) scores.
 - Annual reviews by the Department Chair demonstrate positive feedback or identify improvements by the faculty member in teaching (if needed) with a positive recommendation by the Department Chair in the faculty member’s final year of review.
 - Annual discussions of tenured faculty during Department Promotion and Tenure Advisory Committee (DPTAC) meetings demonstrate positive reviews or identify improvements by the faculty member in teaching (if needed) with a positive recommendation by a majority of the DPTAC committee in the faculty member’s final year of review.
 - Annual average scores on the student evaluation instrument (currently the discipline-adjusted summary score provided using the IDEA evaluation system) of 3.5.
- Contributions to the university, college, and the Finance and/or Banking program, including but not limited to, course and curriculum development, innovations in teaching methodology, electronic instruction development, or participation in interdisciplinary academic programs.
- Participation in professional development activities to update skills, gain new expertise, or maintain/attain professional designations relevant to the Finance and/or Banking profession or teaching.
- Substantial compliance with all mission-critical, teaching-related policies and standards of the department, college, and university.

Promotion and Tenure Standards - Teaching

For Promotion to Professor and/or Tenure

APS 900417 (October 2022) Policy Standards related to Teaching (page 9):

- *“Sustained, effective teaching and mentoring of students as documented by student evaluations and peer and chair review. Other measures may include an exemplary record of academic advisement, supervision of student research, or thesis/dissertation direction, as appropriate for the discipline since the last promotion.”*
- *“Leadership in program support, such as course and curriculum development, innovations in teaching methodology, electronic instruction development, participation in interdisciplinary programs, or mentoring of less-experienced faculty.”*
- *“Participation in professional development activities to update skills or to gain new expertise.”*

Department of Finance and Banking Standards:

Candidates for promotion to professor from associate professor will provide evidence of a sustained pattern of effective teaching and contribution to the academic program. Evidence of a sustained pattern may include:

- Sustained pattern of exceeding minimum expectations on annual FES 1 (Chair’s Evaluation of Teaching Effectiveness) and FES 2 (Student Evaluations) scores.
 - Annual reviews by the Department Chair demonstrate positive feedback or identify improvements by the faculty member in teaching (if needed) with a positive recommendation by the Department Chair in the faculty member’s final year of review.
 - Annual discussions of tenured faculty during Department Promotion and Tenure Advisory Committee (DPTAC) meetings demonstrate positive reviews or identify improvements by the faculty member in teaching (if needed) with a positive recommendation by a majority of the DPTAC committee in the faculty member’s final year of review.
 - Annual average scores on the student evaluation instrument (currently the discipline-adjusted summary score provided using the IDEA evaluation system) of 3.5.
- Leadership in contributions to the university college, and the Finance and/or Banking program, including but not limited to, course and curriculum development, innovations in teaching methodology, electronic instruction development, or participation in interdisciplinary academic programs.
- Participation in professional development activities to update skills, gain new expertise, or maintain/attain professional designations relevant to the Finance and Banking profession or teaching.
- Leadership in compliance with all mission-critical, teaching-related policies and standards of the department, college, and university.

Promotion and Tenure Standards – Scholarly Activities and Creative Accomplishments

For Promotion to Associate Professor and/or Tenure

APS 900417 (October 2022) Policy Standards related to Research (page 8) states: “sustained pattern of peer-reviewed research/publications, creative activities, or scholarly work that contributes to the applicant’s discipline; evidence of growth in quality/significance of scholarly or creative contributions.”

Department of Finance and Banking Standards:

Candidates for promotion to associate professor and tenure will provide a portfolio of adequate intellectual contributions. At this stage in one’s career, the intellectual contributions will be heavily weighted towards peer-reviewed journal articles. The portfolio of intellectual contributions will:

- Provide evidence of a focused research agenda and increasing depth and/or breadth of exploration in one’s scholarly activities over time.
- Exhibit rigor and originality as evidenced by the quality of the outputs. The quality of journal articles will be determined by the *Quality* and *Higher Quality* definitions used in the Department’s FES 3 standards.
- Reflect a sufficient quantity of publications and other intellectual contributions. Faculty members should average approximately one *Quality* publication per year. *Higher Quality* publications may allow for some flexibility in the average number expected.

In addition to published journal articles, the candidate may demonstrate additional considerations to establish the adequacy of their research record for promotion and/or tenure that include, but are not limited to, the following:

- Presentations, grants, consulting reports, textbook chapters, and other activities related to the candidate’s research interests.
- Impact of the candidate’s work as established through the citation of their work by other published academic studies or media outlets over the probationary period.
- The role and contributions of the candidate in published works, if known, by members of the department DPTAC committee through collaboration as coauthors.
- Extenuating circumstances (e.g., tolling, extended illness) considered by the DPTAC and department chair.

Promotion and Tenure Standards – Scholarly Activities and Creative Accomplishments

For Promotion to Professor and/or Tenure

APS 900417 (October 2022) Policy Standards related to Research (page 9) states: “leadership in peer-reviewed research/publication, grantsmanship, creative activities, or scholarly work that contributes to the applicant’s discipline; evidence of growth in quality/significance of scholarly or creative contributions; sustained contribution to the intellectual culture of the University.”

Department of Finance and Banking Standards:

Candidates for promotion to professor from associate professor will provide a portfolio of adequate intellectual contributions. At this stage in one’s career, the intellectual contributions will still include peer-reviewed journal articles but may also include more emphasis on other types of outlets such as presentations, research grants, monographs, consulting reports, textbooks, technical manuals, and other activities related to the candidate’s research interests. The portfolio of intellectual contributions will:

- Provide evidence of a focused research agenda resulting in depth and/or breadth of exploration in one’s scholarly activities.
- Exhibit rigor and originality as evidenced by the quality of the outputs. The quality of journal articles will be determined by the *Quality* and *Higher Quality* definitions used in the Department’s FES 3 standards. The quality of other outputs will be judged by their contribution to the establishment of the reputation of the candidate as an expert in the field.
- Reflect a sufficient quantity of publications and other intellectual contributions to establish and maintain the reputation of the candidate as an expert in the field. Generally, the expectation is the candidate for promotion to professor will have double the number of publications expected for tenure and promotion to associate professor. Consideration shall be given for evidence of growth in leadership, quality, and/or significance of scholarly or creative contributions post-tenure.”

The candidate may demonstrate additional considerations to establish the adequacy of their research record for promotion that include, but are not limited to, the following:

- Impact of the candidate’s work as established through the citation of their work by other published academic studies or media outlets over the period since last promotion.
- Areas of focus in the candidate’s research portfolio that reflect growing expertise and depth in a particular field (e.g., intellectual contributions built on previous work by the candidate, invited presentations, etc.).
- The assumption of leadership roles through the collaboration and mentoring of junior faculty in the creation and development of intellectual contributions.
- The enrichment of departmental or college-level research culture through the initiation of research workshops.
- Extenuating circumstances (e.g., tolling, extended illness) considered by the DPTAC and department chair.

Promotion and Tenure Standards – Service

For Promotion to Associate Professor and/or Tenure

APS 900417 (October 2022) Policy Standards related to Service (page 8):

- *“Sustained, documented service to the University, profession, or community, as appropriate for the discipline.”*
- *“Demonstrated effectiveness as a contributing member in accomplishing the goals of the department/college/University.”*

Department of Finance and Banking Standards:

Candidates for promotion to associate professor and tenure will provide evidence of a sustained pattern of:

- Attending mandatory events and attending and contributing to non-mandatory events, of the department, college, and university; AND
- Serving on and contributing to various active committees of the department, college, university and/or academic, professional or community organization; AND
- Participating in other discipline appropriate service activities as outlined in the FES 4 (Service) standards.

Promotion and Tenure Standards – Service

For Promotion to **Professor** and/or Tenure

APS 900417 (October 2022) Policy Standards related to Service (page 9):

- *“Sustained, documented leadership in service to the University, profession, or community, as appropriate for the discipline.”*
- *“Demonstrated leadership in accomplishing the goals of the department/college/University.”*

Department of Finance and Banking Standards:

Candidates for promotion to professor from associate professor will continue to provide evidence of a sustained pattern of the activities outlined for initial promotion to associate professor. In addition, the candidate will provide evidence of a sustained pattern of service leadership, such as:

- Creating and/or hosting an event involving the department, college, or university.
- Chairing various active committees of the department, college, university, or academic, professional, or community organization.
- Leading a discipline-related academic, business, professional, or community organization.
- Serving as a conference chair/program chair or host.
- Serving as a journal editor, associate editor, or editorial board member of a discipline appropriate publication.
- Sponsoring and/or advising a discipline appropriate student organization

In addition to these examples, receiving a service award from the department, college, university and/or academic, professional, or community organization can serve as demonstrated effectiveness showing accomplishment of service.