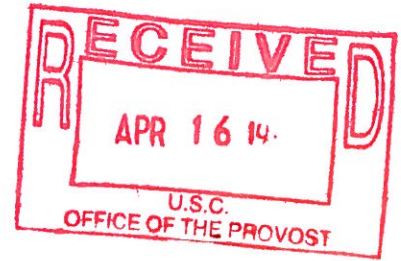


Criteria and Procedures for
Post Tenure Review

January, 1999

School of Accounting
The Darla Moore School of Business
University of South Carolina



Post Tenure review in the School of Accounting will be conducted in accordance with the provisions of the Faculty Manual and the criteria and procedures defined in this document. In the event of a conflict, the Faculty Manual will govern. The post tenure review will be based on a tenured faculty member's performance in the areas of research, teaching and service. The specific criteria in the areas of research, teaching and service are specified in greater detail in the remainder of this document along with defining terms. The School of Accounting places greater emphasis on teaching and research than on service; therefore in conducting post tenure reviews of tenured faculty members, major emphasis will be placed on teaching and research.

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CRITERIA

For the purposes of post tenure review, performance will be rated by the Post Tenure Review Committee as either superior, satisfactory, or unsatisfactory in each of the performance categories of teaching, research and service.

In addition, the Post Tenure Review Committee will provide an overall performance rating of superior, satisfactory or unsatisfactory. A faculty member will be rated superior overall if he/she is rated superior in two of three categories and at least satisfactory in the third. A faculty member will be satisfactory overall if he/she is rated satisfactory in teaching and at least satisfactory in either research or service. In order for performance to be unsatisfactory overall, a faculty member must either be rated unsatisfactory in teaching or if satisfactory in teaching, unsatisfactory in research and service. In addition, for a finding of unsatisfactory overall performance to be made, it is necessary that the Post Tenure Review Committee adjudge that such conclusion is warranted. The judgement should reflect a consideration of all relevant factors, including the degree to which performance is superior, satisfactory or unsatisfactory.

In judging performance in each performance category, the Post Tenure Review Committee will utilize the following definitions for the terms superior, satisfactory and unsatisfactory.

- Superior on a performance category - performance at a high level with respect to School of Accounting standards.
- Satisfactory on a performance category - performance that meets the standards of the School of Accounting.
- Unsatisfactory on a performance category - performance that is far below the standards of the School.

In applying these criteria, candidates will be compared to faculty of their present rank. In other words, associate professors will be compared to other associate professors and professors will be compared with other professors as detailed on pages 3-7 of this document.

Research Definitions and Specifications

Academic accounting research assumes a variety of forms and represents contributions in the theoretical/conceptual, methodological, or substantive domains. Contributions to academic accounting research include generating theories, methods, and reporting substantive findings; validating theories or testing methods; and analyzing and synthesizing existing knowledge.

Both quality and quantity of a candidate's research are important. **Quality** is defined in terms of (1) importance of the information revealed, (2) conceptual/theoretical sophistication, and (3) methodological rigor. Original breakthroughs in conceptual frameworks, conclusions, and methods are considered of higher quality than works exhibiting minor variations or those repeating familiar themes in the literature.

Evidence of a candidate's contribution to research ranked in order of importance includes the following: (1) Publication of scholarly articles in refereed journals, with emphasis placed on the highest quality journals; (2) Publication of scholarly books; (3) Publication of scholarly book chapters or monographs; (4) Acquisition of peer-reviewed research grants/contracts from outside the University; (5) Publication of refereed proceedings; (6) Presentation of research papers at meetings of academic societies or associations; (7) Publications of articles in non-refereed journals; and (8) Chairing research sessions and discussing research papers at conferences.

Teaching Definitions and Specifications

Teaching is a multifaceted activity that is composed of classroom teaching, working with students outside the formal classroom setting, advising students, and developing courses, curricula, and teaching materials.

Evidence of a candidate's contribution to teaching includes the following: (1) Evaluations of a candidate's teaching performance by members of the faculty; (2) Evaluations of a candidate's teaching performance by students; (3) Receiving honors and awards for one's teaching; (4) Amount of teaching as reflected by course load (number of courses taught per year), course level (undergraduate, masters, or doctoral), number of students (class size), student contact hours, and number of different courses taught; (5) Development of instructional material and methods including, but not limited to, textbooks, work books, cases and exercises, visual media, and computer software that are directly related to the candidate's teaching; (6) Chairing of dissertation committees; (7) Service on dissertation and thesis committees; (8) Involvement with students in non-dissertation research projects; (9) Publications and presentations that deal with pedagogy, curricula, or similar educational issues; (10) Student counseling and advisement; (11) Developing new courses and curricula; (12) Participation in student organizations; and (13) Reviewing textbooks. Habitual failure to meet class on a regular basis is evidence of unsatisfactory performance in teaching.

Service Definitions and Specifications

A candidate's contribution to service may include the following:

For the University of South Carolina and the State: (1) Performance on committees at the University, School and School of Accounting level; (2) Continuing education programs; (3) Administrative responsibilities and functions; and (4) Special projects for the University and agencies of South Carolina state government.

For the Profession: (1) Leadership roles in the administration of professional organizations; (2) Editor or associate editor of an academic journal; (3) Editorial review board membership and review work for academic journals; (4) Reviews of papers for academic organizations; (5) Service on government committees or task forces; (6) Service as an external reviewer for promotion and tenure decisions at other colleges and universities; (7) Pro bono consulting work; and (8) Book reviews.

For business and Not-for-Profit Organizations: (1) Pro bono consulting work for businesses; (2) Presentations to business and professional groups.

PROCEDURES

General Procedures and Calendar

The procedures described in this document are in compliance with the procedures on post tenure review established in the Faculty Manual. If any question should arise between the procedures given in this document and the procedures stated in the Faculty Manual, the Faculty Manual will govern. The School of Accounting post-tenure review calendar will follow the calendar established for this purpose by the Office of the Provost.

Faculty Participating in Post Tenure Review

Each tenured faculty member, regardless of rank and including those in administrative positions (other than dean or associate dean positions) will be reviewed every six years with the following exceptions:

- Faculty members who have been promoted and/or granted tenure during the last five years, or been reviewed in connection with a chaired professorship during the previous four years will be reviewed in the sixth year after their last review.
- Chaired professors
- Faculty members appointed to dean or associate dean positions.
- Faculty members scheduled for review who notify the School of Accounting Director in writing that they will retire within three years of their scheduled post tenure review. This three year period begins at the end of the fiscal year in which the post tenure review would have taken place.

The post tenure review process will be initiated annually by a notice from the School of Accounting Director to the faculty members scheduled to be reviewed. This notice will be given no later than September 1 of the year in which the reviews are to take place. If a faculty member normally scheduled for post tenure review is excluded from post tenure review due to being in one of the excluded categories listed above, this will not affect the review schedule of other faculty members.

The Post Tenure Review Committee

The Post Tenure Review Committee will consist of all tenured professors in the School of Accounting with the exception of the Director of the School of Accounting. In this regard, faculty on leave (e.g. sabbatical, medical) are eligible to serve on the School of Accounting Post Tenure Review Committee. Eligible faculty on sabbatical or medical leave will be notified of the meeting to discuss faculty under post-tenure review. Attendance at the meeting is not mandatory in order to be eligible to vote. All absentee ballots must be received prior to the deadline for submission of ballots.

The Post Tenure Review Committee shall consist of no less than five members. If there are not sufficient professors in the School of Accounting the Dean shall appoint from full Professors in the Darla Moore School of Business a sufficient number of members to bring the Committee up to five members. Tenured faculty members scheduled for post tenure review will not participate in their own review but will participate in review of other faculty members scheduled for post tenure review. Post tenure reviews of associate professors and professors will be done by all tenured School of Accounting faculty at the rank of professor. The Post Tenure Review Committee will be chaired by the School of Accounting Promotion and Tenure Committee chair. If the chair of the School of Accounting Promotion and Tenure Committee is being evaluated for post tenure review then the Post Tenure Review Committee will elect a different individual as chair. In this regard, only tenured School of Accounting full professors other than the School of Accounting Director may chair the School of Accounting Post Tenure Review Committee.

Evidence of Performance to be Considered **By the Post Tenure Review Committee**

The faculty member who is being reviewed will submit a post tenure review file to the Post Tenure Review Committee. While the faculty member being reviewed may include any documentation he/she believes to be pertinent, the faculty member must include the following:

- Teaching - A list of all classes taught and class sizes during the review period. Additionally the file should include all available student course evaluations and peer-review evaluations.
- Research - A listing of research and scholarship activities during the review period.
- Service - A listing of all service activities during the review period.
- Current vita.
- Sabbatical reports (if relevant).

Evaluation Procedures

After review of the faculty member's file (including annual peer and/or administrative reviews), each member of the Post Tenure Review Committee will complete a written evaluation form. The form will rate the faculty member's performance in the areas of teaching, research, service and overall. In each area, committee members will rate the faculty member's performance as superior, satisfactory or unsatisfactory. Each committee member will provide a written justification for his/her evaluation in each performance category and sign his/her evaluation form. In a meeting of the Post Tenure Review Committee, the chair will collect the performance evaluation forms from the Post Tenure Review Committee members and tally the rating in each evaluation area. The performance evaluation forms will be retained by the chair and made a part of the post tenure report on the reviewed faculty member. A complete copy of the Post Tenure Review file along with the evaluations and the Post Tenure Review Report will be retained in the School of Accounting files. A determination by the Post Tenure Review Committee that performance is superior or unsatisfactory whether on a particular performance category or overall, must be reached by an affirmative vote of a two-thirds majority of the Post Tenure Review Committee. Failing a two-thirds majority vote for a finding of either superior or unsatisfactory, the finding will be that performance is satisfactory.

At the conclusion of its review, the Post Tenure Review Committee will provide to the faculty member a written report giving specific evaluative information on the faculty member's performance in each of the categories of performance. If the evaluation is either Superior or Satisfactory Overall, this result will be noted in the Faculty Member's personnel file and reported to the Director of the School of Accounting. The Director of the School of Accounting will make his/her evaluation of the faculty member and forward this evaluation together with the evaluation of the School of Accounting Post Tenure Review Committee to the Dean of The Darla Moore School of Business.

An evaluation of Unsatisfactory Overall will be forwarded to the Dean together with the Director of the School of Accounting and the Post Tenure Review Committee's Reports. The Post Tenure Review Committee's Report will include recommendations for restoring performance to a Satisfactory level. A faculty member who receives an Unsatisfactory Overall evaluation may, within 30 days after his/her receipt of a Post Tenure Review Committee Report unsatisfactory finding, appeal this evaluation to The Darla Moore School of Business Dean's Promotion and Tenure Advisory Committee.

When a faculty member is finally determined to receive an Unsatisfactory Overall evaluation, a Development Plan will be put together by the Post Tenure Review Committee in consultation with, and the concurrence of, the faculty member. In the event that the faculty member and the Post Tenure Review Committee are unable to agree on the content and time frame of the Development Plan, the Dean will make this determination. Normally, the time frame will be no less than one year and no more than three years. Where it is judged to be appropriate, the Post Tenure Review Committee will appoint a Development Committee to assist the faculty member

in improving his/her performance. The Development Plan will form the basis for evaluation of the faculty member's performance until satisfactory performance is achieved in the judgement of the Post Tenure Review Committee and the Dean. The Dean will forward Unsatisfactory Reviews and the associated Development Plans to the Provost.

At the next annual review following the year in which performance has been judged to be Unsatisfactory Overall, the Director of the School of Accounting and the Development committee, if any, will make an assessment of the progress of the faculty member and forward a report of this to the Tenure and Promotion Committee. The Tenure and Promotion Committee will review the assessment of the Director of the School of Accounting (and Development Committee, if there is one) and state in writing its concurrence or dissent. The Director of the School of Accounting's assessment and the response of the Tenure and Promotion Committee will be sent to the Dean for final determination as to the faculty member's progress and whether further measures are necessary.