

*This does not constitute an employment contract.*

## **Guidelines for Promotion and Tenure**

### **Guidelines for Recommending Promotion to Associate Professor with Tenure, Promotion to Full Professor, and for Hiring Associate Professors and Full Professors with tenure**

[Date Approved by Kogod Council: October 11, 2022; by Office of the Provost: June 28, 2023]

Based upon the American University *Faculty Manual* and recognizing the importance of career development more broadly, the tenure-line faculty of the Kogod School of Business (KSB) adopts the following guidelines for recommending promotion to Associate Professor with tenure, promotion to Full Professor, and for hiring an Associate Professor with tenure and a Full Professor with tenure.

These guidelines are meant to reflect a high level of performance in three separate components: scholarship, teaching and student engagement, and service, while providing flexibility in terms of the evidence on which to base recommendations.

The guidelines take a portfolio approach, emphasizing that these three components are not mutually exclusive but can overlap, and should complement and reinforce each other. Faculty members have the freedom to define their own paths to **inclusive excellence**. A portfolio approach signifies that not every element listed in this document will be represented in each component, although all three components are required. Strong performance in one component cannot compensate for deficiencies in another. The faculty member is responsible for providing clear and convincing evidence of a high level of performance in scholarship, teaching and student engagement, and service.

These guidelines provide guidance for those involved in the promotion and tenure evaluation process (i.e., faculty who seek promotion, external reviewers, department faculty, department chairs, Rank and Tenure Committee, the Dean, and the Committee on Faculty Actions). These guidelines also signal our priorities not only to our faculty, staff, and students, but also to potential faculty who might consider joining American University (AU).<sup>1</sup>

The same three evaluation components are used for promotion to Associate Professor with tenure and for promotion to Full Professor. Both promotions require distinguished scholarship, successful teaching, and exemplary service. However the guidelines for a recommendation to Full Professor differ in several dimensions as noted for each component. The promotion to the rank of Full Professor is not based upon length of service.

The guidelines in this document will be followed in hiring an Associate Professor with tenure and, Full Professor with tenure. In some exceptional instances, a candidate may be considered with components missing (e.g., teaching) in which case accommodations will have to be made.

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<sup>1</sup> AU TPR Guidelines Updates, Resources 1-10, p. 3

The following preamble explains KSB's commitment to inclusive excellence. The elements of the three components (scholarship, teaching and student engagement, and service) are discussed in turn.

## **I. Inclusive Excellence**

At AU, we envision a thriving community where individuals of a broad range of identities and experiences are understood, appreciated, and fully included, and where equitable treatment and support prevail.<sup>2</sup> As an academic institution, we view the core values of diversity, equity, and inclusion (DEI) as catalysts for achieving the highest standards for academic excellence in scholarship, teaching, and service.

At KSB, diversity means recognizing and appreciating individual differences in demographic areas such as race, ethnicity, age, religion, national origin, ancestry, physical or mental abilities, and sex (including gender, pregnancy status, sexual orientation, and gender identity) and other differences such as discipline, function, areas of expertise, and political orientation.

Equity relates to fairness in affording access and opportunities while recognizing the systemic and structural barriers that stand in the way.

Inclusion relates to fostering a sense where every member of the community feels supported, respected, valued, and included.

Inclusive Excellence relates to pursuing excellence in scholarship, teaching, and service, while fostering diversity, equity, and inclusion.

Through diversity, equity, and inclusion, we ensure that everyone in our community has equal access and opportunity and feels supported, respected, and valued. We believe that a commitment to DEI can lead to variety of thought, contributions, feedback, and ultimately, creativity and innovation.<sup>3</sup> Diversity, equity, and inclusion are embraced as vital elements that are necessary in the pursuit of educational excellence.<sup>4</sup> Our performance standards for faculty in scholarship, teaching, and service reflect our commitment to inclusive excellence.

Our operationalization of inclusive excellence in each of the three components, scholarship, teaching, and service is given below.

We emphasize that faculty members have the freedom to define their own paths to achieving inclusive excellence.

## **II. Scholarship**

Scholarship relates to the intellectual contributions that a faculty member makes to the creation and dissemination of original knowledge. We embrace inclusivity in scholarship to encourage

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<sup>2</sup> AU's DEI statement at <https://www.american.edu/president/diversity/inclusive-excellence/related-materials.cfm>

<sup>3</sup> From Kogod website <https://kogod.american.edu/insights-and-impact/diversity-equity-and-inclusion>

<sup>4</sup> From AU at <https://www.american.edu/president/diversity/inclusive-excellence/related-materials.cfm>

the freedom of thought as it pertains to the choice of topics, themes, genres, methods, protocols, collaborators, and venues. As noted in the *AU Faculty Manual*, a faculty member's significant contribution to their field, and/or cross-disciplinary achievements, are essential to the mission of the university and to the advancement of knowledge.

A candidate's portfolio of scholarship typically contains several elements, including, but not limited to, journal articles, books, and book chapters. Inclusive excellence in scholarship gives faculty members the academic freedom to chart their own path in creating and disseminating their scholarly work as they bring together intellectual content, theoretical frameworks, investigative processes and methodologies, datasets and analyses, research teams and subjects, and engagement with the wider public.<sup>5</sup> The review process will assess the overall portfolio of a faculty member's scholarship using the following criteria:

- \*scholarly identity (what you are known for),
- \*value added (how your scholarship has changed the field),
- \*relevance (important, interesting),
- \*rigor (theory, methods - validity/plausibility)
- \*impact/recognition (citations, awards, grants, other forms of recognition).

Internal and external reviewers assess the candidate's scholarship.

Information for soliciting external letters is typically found in the Guidelines for Submitting Files for Action of the Committee on Faculty Actions that is posted on the website of the Dean of Faculty. External reviewers will be provided with a copy of these guidelines. When considering the credibility of the external letters, the following must be evaluated:

- a) Reviewer's independence.
- b) Reviewer's accomplishments, reputation, and institutional affiliation.
- c) The depth of the reviewer's analysis.

The reviewer's assessment should also demonstrate familiarity with the literature and be able to provide context regarding the significance and developing impact of the scholarship portfolio.

The reviewer's assessment should be a factual, unbiased assessment of the scholarly accomplishments, considering the unique perspectives, methodologies, theories, data, analyses, and research topics involved in the scholarly work.

The publication outlets (e.g., peer-reviewed journals, conferences, or books recognized in a faculty member's domain) and external funding are good indicators of excellence. However, the faculty member's entire portfolio should be evaluated by the reviewer, considering the above listed criteria of excellence, going beyond the typical metrics of number of publications and citations or types of journals or conferences. The audience for the faculty member's research may require alternate forms of disseminating the knowledge (e.g., website).<sup>6</sup> The indicators of influence may include application or use of scholarship in policy or policy-related documents (website, policy papers etc.), trade publications, or engagement with communities and the general public. Other indicators of influence and engagement include awards for scholarly work

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<sup>5</sup> AU TPR Guidelines Updates, Resources 1-10, p.12

<sup>6</sup> AU TPR Guidelines Updates, Resource #9, p.21-23

by professional organizations or communities, and also downloads, views, listens, mentions, shares, and recognition<sup>7</sup>.

No simple formula or metric is available for determining the quality of scholarship and no magic number of publications will ensure promotion and tenure. Journal articles are the primary criterion for assessing the quality of scholarship. The quality of scholarship is assessed from a careful evaluation of the content of the portfolio of work, and from the prominence of the journals in which a candidate's papers appear. The [Kogod Target Journals List](#)<sup>8</sup> identifies premier and high-quality journals and it is one possible benchmark that can be used by the candidate and others to establish a journal's prominence. For a journal that is not identified as a premier or high-quality journal on the Kogod Target Journals List, the candidate needs to make the case for the journal's prominence using several objective measures such as impact factors and journal position on well-documented rankings or lists of peer-reviewed, academic journals. Consideration of journal outlets provides guidance for assessing the quality of scholarship both for faculty members seeking promotion and for internal and external reviewers.

Disseminating scholarly contributions through blogs, websites, and other online scholarly resources may serve to complement and expand the contribution and impact of a scholarly portfolio. Such online scholarly contributions are viewed favorably, but do not substitute for research published in premier and high-quality refereed journals. Furthermore, both the quality and quantity of scholarly contributions are important in assessing the significance and impact of a portfolio of scholarly work.

### *Evidence of Excellence in Scholarship*

The following provide evidence of excellence in scholarship.

#### Journal Articles

Publication of journal articles is the most typical approach used by business schools to establish scholarly identity. Publication of journal articles in premier and high-quality peer-reviewed academic journals is the most typical approach used by business schools to establish scholarly identity. The entire portfolio and its impact or potential for impact are considered.

#### Books, Book Chapters, and Cases

Publication of books, book chapters, and cases can also be used to establish scholarly identity. Measures of the quality of a book include but are not limited to: the content of the scholarship

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<sup>7</sup> AU TPR Guidelines Updates, Resource #9, p.21-23

<sup>8</sup> The Kogod Target Journals List was created with a view toward rigor, with the explicit aim of reflecting promotion and tenure practices at peer and aspirant schools. The Kogod Target Journals List was extensively benchmarked. Benchmarking sources included: numerous refereed journal articles documenting, in each discipline, the quality and impact of publications in academic journals; journal lists used by departments at peer or aspirant business schools in the United States; top journal lists published by business-school councils in countries where such councils exist; top business-journal lists published by foreign equivalents of the National Science Foundation; journal rankings published by business schools if they are referenced at multiple institutions; lists published by high-profile business publications (*Financial Times*, *Businessweek*). The Kogod Target Journals List was approved by the faculty on March 16, 2010. The Kogod Target Journals List is a document with a clearly articulated petition process, (in place since April 2012) for updating the document.

(value added, relevance, rigor), the reputation of the publisher, sponsorship of the book, favorable book reviews, citation analysis, impact factors, external assessments, and success of the book in the marketplace as measured by qualitative and quantitative measures. Book chapters and cases may also be an important part of the overall portfolio of scholarship activities and will be evaluated using the same approach as used in evaluating books.

#### Papers Presented at Conferences

Papers presented at conferences and those published in conference proceedings serve as an additional indicator of a faculty member's scholarship output. Additional indicators include the selectivity and reputation of the conference and recognition of a paper submission as a best paper.

#### Research Grant Awards

Being awarded a research grant is an indicator of potential research impact. To count towards scholarship, the grant awarded should be for research. Criteria for evaluation of grants include, but are not limited to, the competitiveness of the fund-granting institution, the specific granting mechanism, the size and duration of the award, and the candidate's role such as principal investigator or investigator.

#### Other Scholarship Activities

Other examples of scholarly activities include receipt of awards, presentations, discussant invitations, and appointment to editorial review boards. This list is by no means exhaustive. We discourage publications in predatory journals. However, other activities may be recognized such as publishing in open sources or in small, emerging presses, and communicating via media outlets and blogs. Faculty may choose to disseminate their scholarly work using alternate platforms or alternate formats to reach their particular research audience, to exert influence, and for innovation. The scholarly value of such work can be assessed using multiple quantitative or qualitative factors as described in the previous section.

In evaluating a faculty member for promotion to Associate Professor with tenure or to Full Professor, emphasis will be given to work completed during the time that the candidate has been an AU faculty member. The faculty member must demonstrate a record of continuing distinction in research/scholarship and present clear evidence of continued intellectual productivity; a faculty member's portfolio should contain an active pipeline of research/scholarship work-in-progress to demonstrate continued excellence and visibility. A candidate who brings credit toward tenure must show evidence of continued high-quality intellectual productivity during the time that the candidate has been an AU faculty member.

For promotion to Associate Professor with tenure, the faculty member's scholarship should be widely recognized as outstanding and have a substantial and positive impact in disciplinary or cross-disciplinary areas and in practice. KSB recognizes that citations may take several years to materialize, and that evidence of citations may therefore be limited at the time of consideration for promotion to Associate Professor with tenure.

For promotion to Full Professor, the faculty member must demonstrate a record of continuing distinction in scholarship and present clear evidence of continued intellectual productivity post-

tenure. The scholarship should be widely recognized as outstanding and have a substantial and positive impact in disciplinary or cross-disciplinary areas and in practice.

### **III. Teaching and Student Engagement**

Through teaching and student engagement, faculty members equip their students with knowledge and skills necessary to attain academic and personal growth and career success, and prepare them for lifelong learning.

Inclusivity in teaching requires two considerations. First, an awareness, acknowledgement, and respect for the diverse backgrounds, identities, and intellectual needs of students. This consideration is universally applicable to all courses taught. It is intended to provide equal opportunities for participation and academic success to a diverse student body, by seeking to identify and mitigate barriers to the participation and academic success of all students.

Second, a recognition that inclusive teaching warrants inclusive approaches to curriculum and pedagogy using multiple perspectives. This consideration can vary by course and discipline.

Inclusivity in teaching is reflected in a commitment to student-centered pedagogies, experiential learning, and the proactive use of best practices for course design, instruction and assessment, and interactions with students inside and outside the classroom.

#### *Achieving Excellence in Teaching and Student Engagement*

In evaluating a faculty member for promotion to Associate Professor with tenure, KSB values inclusive excellence in the entire portfolio of learning-related activities including classroom performance; organization, development, and articulate presentation of subject matter; an ability to motivate and involve students in the learning process; an appropriate respect for and adaptation to the diverse intellectual needs of students, evidence of engagement with students through a range of activities outside of the classroom, and the invisible work involved in mentoring students and student engagement.

We include a link to the DOF website's resources on teaching portfolios to ensure access to the most accurate and up-to-date instructions: here is the [link](#). Teaching is evaluated based on the following criteria:

- \*Currency. Course content reflects currency in research and practice. The learning objectives meet curricular and program goals.

- \*Meeting Learning Objectives. The course content and methodologies (e.g., readings, activities, assignments, lesson organization) help meet the learning objectives.

- \*Rigor. Content coverage and assessments are academically and intellectually challenging for the level of the course; grade distributions benchmarked to departmental policy.

\*Engagement. Motivate and involve students in the learning process; foster active learning, experiential learning; and personalized teaching.

\*Assessment. Timely, fair, and objective assessment of student performance.

\*Inclusivity. Respect the diverse intellectual needs of students by fostering an inclusive student learning environment.

\*Meeting program needs. Ability and willingness to adapt teaching and develop innovative curriculum and courses needed to meet program needs.

\*Adaptability. Versatility in number and variety of course preparations, including residential and online courses, subject to departmental and school needs.

Teaching is assessed using both quantitative and qualitative indicators of effectiveness of teaching and engagement and the trend in effectiveness and growth in a faculty member's identity as a teacher.

### *Evidence of Excellence in Teaching and Student Engagement*

The following provide evidence of excellence in teaching and student engagement.

#### Pedagogy, Curriculum, and Classroom Activities

Development of new curriculum and programs to meet student demand; developing new courses; updating and revising courses; introduction of new technologies and techniques; development of instructional materials such as cases, problems, workbooks; participating in course, program, and curricular review; publication and presentation of teaching materials and methodologies development activities, such as improving teaching skills or expanding areas of expertise; garnering grants for developing and implementing teaching and curricular initiatives; engaging with media outlets to disseminate teaching insights; developing manuals and audio-visual materials; use of inclusive teaching practices such as universal design for learning and antiracist pedagogy; use of content and resources from diverse perspectives, especially those of marginalized or underrepresented groups, and, where relevant, resources that address issues of power, privilege, inclusion, and exclusion; multiple representations of content through videos, articles, podcasts, etc. to ensure all students can access and use the information; consideration of teaching practices with respect to international students and students from historically underrepresented groups, adopting and creating open education resources; organization, development, articulate presentation of subject matter; innovation in the classroom.

#### Non-classroom Activities

Classroom activities alone do not suffice for the teaching and student engagement portion of the portfolio. Non-classroom activities include, but are not limited to: mentoring students, collaborating with students in research activities, developing new programs or program emphases; coordinating courses across all sections; mentoring of faculty peers; finding innovative ways to engage students; receiving awards, honors, or recognition related to teaching and student engagement; advising students on professional development, networking, and

placement; assisting participants in academic competitions; supervising student work such as internships, independent studies, and group field projects; and assisting with the career development of students.

Excellence in teaching is evaluated from the faculty member's teaching portfolio which includes but is not limited to the faculty member's narrative of teaching, scores in the student evaluation of teaching (SET), student narrative comments (if reported by the faculty member), peer evaluations by other faculty members or the department chair and awards and recognitions at the school or university level.

For promotion to Associate Professor with tenure and promotion to Full Professor, a faculty member's portfolio must demonstrate outstanding teaching and active student engagement.

#### **IV. Service**

Service activities demonstrate commitment and engagement to KSB and AU, the profession, and the broader community. Service provides a sense of the faculty member's contribution and leadership, and serves as a measure of peer recognition. Service activities draw on a faculty member's knowledge and skills to elevate the university, the profession, and the broader community. There are two categories of service activities. Internal service relates to service contributions to KSB and to AU. External service relates to service contributions beyond the university, i.e., to the profession, and broader community. Both forms of service are expected. As noted in the *Faculty Manual* (p. 38), "Service beyond the university cannot substitute for a service contribution to the university." Likewise, service contributions to the university cannot substitute for service contributions beyond the university. In both types of service, the importance and duration of the assignment together with the extent and effectiveness of participation are considered. Leadership such as chairing committees or leading important initiatives will be favorably considered. Receiving service awards or honors in recognition of service is another indicator of service contributions.

Many forms of service are 'visible labor' that is readily identifiable, documented and valued in the tenure and promotion process (e.g., work on standing committees or editorial roles). Faculty often also engage in 'invisible labor' that may not be as easily identifiable or documented. These include mentoring colleagues and students or proactively reaching out to students and faculty members. Such engagement typically falls outside the usual committee work and is not always acknowledged or credited yet is critical in recruitment, retention, and engagement of talented students, faculty, and staff, and fostering a welcoming and nurturing campus environment that can enhance diversity and inclusion. The purpose of identifying invisible labor is not to add service requirements or penalize faculty not engaged in such service but to be inclusive in providing an opportunity to acknowledge such service when applicable.

We list below some examples of service, including potentially less visible service roles. This list is not intended to be exhaustive. It is intended to be illustrative to help faculty identify potential service contributions. It is up to the faculty member to make the case for their service contribution.



Internal service to KSB and AU includes serving on and making substantive contributions to the work of department, school, and university-wide committees, task forces, and programs; mentoring and advising students and student organizations; engaging in outreach activities with potential students, employers, donors, media; developing and participating in special programs and workshops; facilitating and participating in seminar series; grants for developing and implementing university service initiatives; engaging with media outlets to promote the university.

External service includes reviewing for journals, publishers, grant-providing institutions, and other professional organizations, and serving on editorial boards; providing service to scholarly or professional societies; conducting workshops; appearing in the media; entrepreneurial endeavors or other business-related activities that help faculty maintain currency in their disciplines; organizing and participating (e.g., chairing, reviewing, presenting) in academic, professional and business conferences; memberships, active participation, leadership in professional, business, and academic associations; scholarly or professional engagement that enhances teaching, educational research, case writing; serving on boards of corporate and nonprofit organizations; professional development and continuing professional education; maintaining professional licenses and certifications; grants for developing and implementing external initiatives, e.g., community initiatives; engaging with media outlets to promote external entities, e.g., journal or community.

Service related to diversity, equity, and inclusion includes efforts to be inclusive in eliciting diverse perspectives and involvement in processes, policies, and committees that promote equitable and inclusive practices in internal and external service roles.

Because Assistant Professors must focus on developing their research programs during their initial years, KSB has modest expectations about the amount, but not the quality, of service activities prior to promotion to Associate Professor with tenure.

Promotion to Full Professor carries expanded expectations about the amount and quality of internal and external service activities relative to earlier promotion decisions. The service component is substantially more important in receiving a positive recommendation for promotion to Full Professor than to Associate Professor.