

**Departmental Guidelines**  
**Procedures for Promotion, Tenure, Professional (6th year) Review and**  
**Annual Review for Untenured Tenure-track Faculty Members**

**Department of Finance**  
**October 11, 2016**

- This document is intended only as a guide and should not be construed as a rubric or list of requirements.
- In accordance with the CBA these guidelines are weighted in the order of Load Credit Activity, Creative Activity, Productive Service, and Professional Activity. These guidelines expect a level of activity commensurate with rank.

**Expectations of all Faculty**

The Finance department requires that all full-time faculty:

- Hold a Ph.D. in Finance, Financial Economics or the status of ABD in the above degrees will also be considered with the expectation of completion within a designated period of time; or J.D. for Law.
- Teach courses in the area of Finance, and will develop and teach courses in their specialty according to the Department's mission.
- Engage in creative activity appropriate to their field.
- Provide productive service activity to the Department, School, University and Profession.
- Mentor and advise students
- Practice intellectual and academic honesty, to behave in a collegial and ethical manner, and to undertake creative activity endeavors in an ethical manner.
- In addition to the above items, contribute positively to student, Department, School and University development; and continue to grow as a professor at CCSU.

**Expectations for the First Year Renewal**

The first year renewal typically occurs during the second semester of employment; therefore, the DEC may have limited information on which to base its evaluation. Faculty should consider the following guidelines when submitting materials to the DEC for the first year renewal. A senior faculty member of the department is assigned as a mentor for a junior faculty member upon hiring.

**Load Credit Activity:** the Department expects evidence of adequate preparation for teaching duties as well as ability to deliver high quality educational experiences for our students. The Department draws on four main sources of data in evaluating faculty teaching: quantitative student opinion surveys; peer teaching evaluations; unedited comments from student opinion surveys; and information regarding the course content, activities, grading, etc. The Department strongly recommends that faculty solicit classroom visits from the DEC members for the purpose of peer evaluation of teaching.

**Creative Activity:** the Department expects new faculty will have a well-defined research plan, which should be included in the materials submitted for renewal. The Department expects all faculty to engage in scholarly and creative activities related to the field of Finance, including

theory, empirical research and pedagogy and produce publications in peer-reviewed journals, conference proceedings, books and book chapters, substantial reports and other forms of publication. The Department expects new faculty will produce quality creative activities. The DEC will assess the suitability and quality of materials submitted.

**Productive Service:** the Department expects first year faculty to demonstrate service to the Department, School, and University. At the beginning of the academic year during the first scheduled Department meeting, new faculty will be encouraged to serve on appropriate Department/School and University committees.

**Professional Activity:** the Department expects new faculty to engage in activities outside the university within the candidate's professional area like conference/workshop attendance, and/or membership and service in appropriate professional organizations.

### **Expectations for Subsequent Renewals**

The department expects continuous growth and productive output in each of the contractual areas suitable to the rank held. For subsequent renewals and for building a pattern in each of the contractual areas, every faculty member is expected to document progress along all contractual obligations in a consistent and satisfactory manner. Whereas the individual faculty member is expected to perform these duties, the Department is committed to mentoring faculty members by giving advice, feedback, and direction. For clarification, comments, and concerns, faculty are encouraged to talk with the Chair of the DEC, the Chairperson of the Department and stay in contact with their mentor.

### **Expectations for Tenure**

As a faculty member progresses through the six years of service leading up to a tenure decision through his/her series of renewals, the Department expects growth along all contractual areas. Candidates who do not perform satisfactorily in all these domains should not expect favorable recommendations.

For letters regarding tenure decisions, the letter from the DEC will address five areas: Load Credit Activity, Creative Activity, Productive Service, and Professional Activity, and years in rank as outlined in the AAUP contract. For the first four items, the DEC will give rankings of *exceeds expectations*, *meets expectations*, and/or *does not meet expectations*. After considering the activity in all areas, the DEC will write that the candidate is either *recommended* or *not recommended* for tenure.

**Load Credit Activity:** The Department draws on four main sources of data in evaluating faculty teaching load credit activity: quantitative student opinion surveys; peer teaching evaluations; unedited comments from student opinion surveys; and information regarding the course content, activities, grading, etc. With respect to teaching the department expects:

- The ability to communicate ideas and concepts clearly and in ways that students understand;
- The ability to manifest a general sensitivity and responsiveness to the needs of students along with a pattern of seeking good rapport with students;
- The fulfillment of responsibilities related to the candidate's teaching assignments.

- Faculty must demonstrate effective and high quality teaching

For any non-teaching load credit activity, the candidate for tenure should document the nature of the work and the benefit to the university, school or department.

**Creative Activity:** It is expected candidate will have been actively engaged in creative activity for the purpose of improving his/her effectiveness as a teacher and scholar. Faculty must document significant progress on their active and sustained level of quality creative activity.

**Productive Service:** The Department expect faculty to demonstrate significant service to the department, school, and university.

**Professional Activity:**

The Department highly values service to the candidate's profession through activity in professional societies or serving as a referee for professional publications. Involvement in either organizing or presiding over a session at a local, national or international professional meeting (EFA, FMA, ALSB, etc), activities outside the university within the candidate's professional area like conference/workshop attendance, and/or membership and service in appropriate professional organizations are deemed noteworthy.

**Expectations for Promotion to Associate Professor**

Faculty seeking promotion to Associate Professor must provide documentation of their activities in all contractual areas for the entire period since their last promotion or initial appointment, whichever is more recent. The Department expects growth along all contractual areas. Candidates who do not perform satisfactorily in all these domains should not expect favorable recommendations.

For letters regarding Promotion to Associate Professor decisions, the letter from the DEC will address five areas: Load Credit Activity, Creative Activity, Productive Service, and Professional Activity, and years in rank as outlined in the AAUP contract. For the first four items, the DEC will give rankings of exceeds expectations, meets expectations, and/or does not meet expectations. After considering the activity in all areas, the DEC will write that the candidate is either recommended or not recommended for Promotion to Associate Professor.

**Load Credit Activity:** The Department draws on four main sources of data in evaluating faculty teaching load credit activity: quantitative student opinion surveys; peer teaching evaluations; unedited comments from student opinion surveys; and information regarding the course content, activities, grading, etc. With respect to teaching the department expects faculty to demonstrate a continued growth in effective teaching. For any non-teaching load credit activity, the candidate for tenure should document the nature of the work and the benefit to the university, school or department.

**Creative Activity:** Faculty must document that they have been actively engaged in creative activity.

**Productive Service:** Faculty must document that they have been actively engaged in meaningful service to the department, school, and university.

**Professional Activity:** Faculty must document that they have been actively engaged in Professional Activity.

### **Expectations for Promotion to Professor**

The same qualities and criteria associated with promotion to the rank of Associate Professor are applied to promotion to the rank of Professor. In this case, however, the Department looks for evidence of the professional maturation of the candidate as a teacher, scholar and colleague. During the time period since promotion to Associate Professor or initial appointment, the candidate's record of Load Credit Activity, Creative Activity, Productive Service, and Professional Activity should be sustained and show strong evidence of continued momentum within each contractual area.

### **Expectations for Six-year Review**

The primary purpose of the 6th year assessment is to evaluate the Load Credit Activity, Creative Activity, Productive Service, and Professional Activity of the Faculty member under review. Faculty will document their activity within each contractual area. The department expects a level of activity within each contractual area commensurate with the member's rank.