

School of Accounting, Finance, Information Systems and Business Law  
Collegial Review Document  
Effective Fall Semester, 2021  
(Revised: Feb. 18, 2016)  
(Revised: March 5, 2021)  
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Policies, Procedures, and Criteria for Faculty Evaluation:  
Annual Faculty Evaluation, Reappointment, Tenure, Promotion and Post-Tenure  
Review

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- I. Overview — The purpose of this document is to describe the policies, procedures, and criteria for faculty performance evaluation specific to the school in which the faculty member is appointed. The document is guided at the highest level by UNC Policy Manual and Code and by the Faculty Handbook of Western Carolina University. Included also are policies issued by General Administration, by the Office of the Provost, and in some cases by the college. While this document is intended to be comprehensive and precise with regard to school-level criteria and procedures, the faculty member should have familiarity with The Code and with the WCU Faculty Handbook (§4.0). Further, in preparing a dossier for one of the review processes described herein, the faculty member should also have available the appropriate Guidelines for the Preparation of the Dossier which is prepared and distributed by the Office of the Provost.
  - A. The School's Collegial Review committee will be comprised of four tenured faculty, at least one from each discipline. All AACSB qualified tenured faculty who have met expectations in all categories in the previous year's AFE (except for the School Director and faculty who will be serving on the College Collegial Review Committee) are eligible to be on the committee. The full-time faculty from the School will elect committee members to staggered two-year terms. The terms shall be staggered to ensure continuity of representation for the school. A faculty member can serve a maximum of three consecutive terms.
  - B. Faculty members in the School of Accounting, Finance, Information Systems and Business Law will be evaluated on teaching, scholarly activity, and service.
  - C. Documentation for evaluation primarily exists in digital repositories of faculty activity, including the Faculty Activities Database (FAD), Banner, and CourseEval. Faculty are expected to regularly update data in the FAD. The evaluation report from the FAD will be extracted by the School Director approximately one week after final exams conclude for the Spring semester.

- D. In addition to the activities reflected in the Annual Faculty Evaluation (AFE), any relevant activities occurring before the fall submission deadline for dossiers shall be considered in dossier evaluation.
  - E. Directional goals for Post-Tenure Review - At the beginning of each post-tenure review cycle, the faculty member shall propose or revise a set of directional goals that span five years which will be considered in the post-tenure review. These directional goals shall be approved by the School Director. Directional goals can be modified annually by the faculty member, in consultation with the School Director, as deemed appropriate by changes in institutional, departmental, or personal circumstances. Directional goals should include milestones that will be incorporated into annual performance evaluations. (Faculty Handbook, §4.08)
    - 1. Directional goals should not be a basis for evaluation of a candidate for post-tenure review but should provide perspective and a framework for goals and accomplishments of faculty members during the post-tenure review period. (Faculty Handbook, §4.08)
    - 2. AFEs should be based upon teaching, scholarship, and service, and should include a comment on the directional goals.
  - F. Reappointment Standards: AFEs consider only one year of performance. Accordingly, to be recommended for reappointment, a faculty member must at least Meet Expectations in two of the three categories: teaching, scholarship, and service.
- II. Domains of Evaluation — The purpose of this section of the SCRД is to outline the domains of evaluation and criteria for evaluation. The following criteria should guide but not limit the objectivity of the School Director and the School Collegial Review Committee (SCRC) in evaluating faculty performance. The Director and the SCRC, independent of one another, should have discretion to consider factors that may impact faculty performance, e.g. advising load, class size, service load, and/or extraordinary personal circumstances.
- A. Teaching (Faculty Handbook §4.04 and §4.05)
    - 1. The following three areas shall be considered when evaluating teaching effectiveness:
      - a) Pedagogical Content Knowledge — Effective teachers remain current in their fields, know how students learn, and recognize what prior information, including misconceptions, students bring to their courses. Most important, they know how to combine these three kinds of knowledge to create teaching acts that lead to student learning. This combination, pedagogical content knowledge, is distinguished from content knowledge alone or pedagogy alone.

Using their pedagogical content knowledge, scholars restructure their expertise in forms that are understandable and useable by their students.

- b) Professional Administration of the Class — Effective teaching relies upon the ability to perform well the required administrative and professional functions associated with instruction. While good teaching relies upon disciplinary expertise and different disciplines often approach teaching differently, teaching is also a profession that requires common duties regardless of area. Such functions include, for example, providing appropriate and timely feedback to students, providing clear instructions, providing regular information regarding progress, responding appropriately and in a timely manner to students, making materials available, and making effective use of time allocated for the course. Highly effective teaching is more than class management; it is class management that relies upon an instructor's ability to perform the duties associated with the job.
- c) Student Response to Instruction - Students have a unique and important perspective on certain components of teaching effectiveness. They value intellectual engagement, enthusiasm, and passion for the course content. Course organization and clarity, two aspects that relate to student success, are validly rated by students. Effective teachers are available to the students. The extent to which the student feels respected and shares a sense of rapport with the instructor correlates with teaching effectiveness.

## 2. Methods of Evaluation and Sources of Evidence

- a) Colleague's Review of Teaching/Direct observation of teaching - All faculty members must be evaluated by direct observation of [course] teaching. (UNC Policy Manual Chapter §400.3.1.1) Reviewers should be presented with a representative set of teaching materials such as syllabi, tests and examinations, assignments and projects, and/or class activities. [Course] observation should never be used as the sole measure of teaching effectiveness. Assignments for direct observation will be the responsibility of the School Director, keeping in mind faculty teaching, service and related loads/commitments. (Faculty Handbook §4.05. B.2.b)
- b) Self-Evaluation of Teaching - Each faculty member must provide a self-evaluation of teaching addressing the 3 dimensions of effective teaching. (Faculty Handbook §4.05. B.2.c) (maximum of two pages)
- c) Student Assessment of Instruction (SAI) – Use of the University-wide SAI instrument is required of all sections of all courses taught by faculty in

accordance with UNC Policy Manual Chapter 400.3.1.1 (G) and the Western Carolina University Faculty Handbook section 4.05 (B).

3. Criteria for Annual Faculty Evaluation (School director will have discretion, considering possible extenuating circumstances, to allow a more favorable evaluation than might otherwise be indicated.)
  - a) EXCEEDS EXPECTATIONS –
    - i Colleague’s review - Very effective teaching practices evidenced by use of innovative teaching strategies and methods, up-to-date materials, demonstration of excellent rapport with students, well organized course.
    - ii Self-review - Completes review addressing the pedagogical content specified in Faculty Handbook, submitting evidence of teaching development activities.
    - iii Is clearly regarded by students and colleagues as one of the better professors in the School.
  - b) MEETS EXPECTATIONS –
    - i Colleague’s review - Acceptable teaching practices evidenced by adequate teaching strategies and methods and demonstration of some rapport with students, reasonable management of the course.
    - ii Self-review – Completes review addressing the pedagogical content specified in Faculty Handbook.
    - iii Is regarded as an effective teacher by students and colleagues
  - c) DOES NOT MEET EXPECTATIONS –
    - i Colleague’s review - Outdated or poor-quality strategies and methods, ineffective course management, demonstrates little or no interaction with students, lack of organization in the course.
    - ii Self-review – Does not complete review.
    - iii Is regarded by students and colleagues as a poor teacher
  
4. Standards for Review Events — these criteria represent the minimum standards for consideration for the corresponding personnel action:
  - a) Reappointment - Subject to I.F., must “Meet Expectations.”
  - b) Tenure - Must at least “Meet Expectations” in majority of the years considered and must “Exceed Expectations” in at least 2 of the years considered.
  - c) Promotion to Associate Professor - Must at least “Meet Expectations” in a majority of the years considered and must “Exceed Expectations” in at least 2 of the years considered.
  - d) Promotion to Full Professor - Must “Exceed Expectations” for the majority of the applicable period as defined in the Faculty Handbook 4.07. A.6.

- e) Post-Tenure Review - Must “Meet Expectations” for majority of the applicable period, not to exceed 5 years from the last personnel action.

#### B. Scholarship and Creative Works (§4.04.C & 4.05.C)

WCU recognizes four types of scholarly activity. Specific school perspectives on these categories, relative valuations of various forms of scholarly activity, and school-specific examples of each, are described below:

- Scholarship of discovery - Scholarship of this type includes original research that advances knowledge.
  - Scholarship of integration - Scholarship of this type interprets, synthesizes, or brings new insight to bear on information across disciplines, across topics within a discipline, or across time.
  - Scholarship of application (a/k/a "Scholarship of engagement") - The scholarship of application exceeds the expectations of service to those within or outside the University. Engaged scholarship applies disciplinary expertise to situations with results that can be shared with and/or evaluated by peers.
  - Scholarship of teaching and learning - This form of scholarship includes the systematic study of teaching and learning processes.
1. Window for evaluation - 5 academic year rolling window (inclusive of summer sessions).
  2. Defining acceptable scholarly artifacts - An activity that qualifies as scholarly, regardless of the type, must meet the following general criteria:
    - a) external peer review or law review;
    - b) methodological or analytical rigor;
    - c) substantive outcomes or implications beyond the scope of the activity itself; and
    - d) disseminated to a professional audience or scholarly community.

These four criteria help to differentiate the scholarship of teaching and learning from teaching and the scholarship of application from service engagement.

Measuring the Quality of Scholarly Activity — Faculty have the responsibility of demonstrating to the school that the artifact is of acceptable quality. Quality may be established using journal acceptance rates, among other things. If acceptance rate is not an appropriate measure, then other evidence may be provided which may include, but is not limited to, impact factors, corroborating evidence of quality from peer institution listings of journals, review feedback, notes and independent outside review committee certification of artifact quality.

To encourage inter-disciplinary collaboration, should definitions of "acceptable", "quality" or the like vary across disciplines, the most favorable definition shall apply to all faculty members involved in the production of the artifact.

A candidate seeking PRJ equivalency for a proposed scholarly project should request prior review of the project to get feedback and approval from the School Director and Dean via submitting the "Prior Approval Form".

Any article in a journal on *Cabell's Predatory Reports* when accepted will NOT be considered a quality artifact for any evaluation of scholarship. Any journal placed on Cabell's Predatory Reports after acceptance of a submission will still be considered acceptable.

### 3. Criteria for Annual Faculty Evaluation

- a) EXCEEDS EXPECTATIONS - The faculty member has produced, over the five-year rolling period, more scholarly artifacts than are required to maintain "Qualified" status as defined in the Policy on Classification of Qualified Faculty.
- b) MEETS EXPECTATIONS - The faculty member has maintained "Qualified" status as defined in the Policy on Classification of Qualified Faculty.
- c) DOES NOT MEET EXPECTATIONS - The faculty member fails to maintain "Qualified" status as defined in the Policy on Classification of Qualified Faculty.

A first-year faculty member is, at a minimum, expected to have submitted for peer review (or equivalent) one acceptable scholarly artifact. A second-year faculty member is expected to have received an acceptance of one acceptable scholarly artifact and made one additional submission of an acceptable artifact for peer review (or equivalent).

- 5. Standards for Review Events - these criteria represent the minimum standards for consideration for the corresponding personnel action:
  - a) Reappointment - Subject to I.F., the faculty member must "Meet Expectations."

- b) Tenure - The faculty member must have produced, over the most recent five-year period, at least 5 adequate scholarly artifacts of which 4 must be peer reviewed journal articles or their equivalent.
- c) Promotion to Associate Professor - The faculty member must have produced, over the most recent five-year period, at least 5 adequate scholarly artifacts of which 4 must be peer reviewed journal articles or their equivalent.
- d) Promotion to Full Professor - The faculty member must "Exceed Expectations" for the majority of the applicable period as defined in the Faculty Handbook §4.07. A.6.
- e) Post-Tenure Review - The faculty member must "Meet Expectations" for majority of the applicable period, not to exceed 5 years from the last personnel action.

#### C. Service (§4.04.C.3 & §4.05.D)

1. Introduction - "Faculty members are expected to participate in service. Service is expected to increase over a faculty member's employment. Primarily, service requires general expertise and is done as an act of good citizenship" (Faculty Handbook §4.04 C.3).
2. Institutional Service - The faculty member contributes to the University mission by such activities as service to the university system, university, college, school and disciplinary area.
3. Community Engagement - Faculty member engagement includes, but is not limited to, providing disciplinary expertise to a professional, civic, economic, or educational entity at a local, regional, or national level as well as continuing education and other non-credit instruction, lectures, presentations, workshops, grant writing, and other such activities. This engagement also may also include student service-learning involvements.
4. Special Expertise, Unusual Time, Etc. - This includes service to entities such as academic, non-profit or professional societies, organizations, journals, or work on accreditation documents, service within or to academic units at the University in support of their programs such as administrative duties or other leadership roles, and other similar activities.

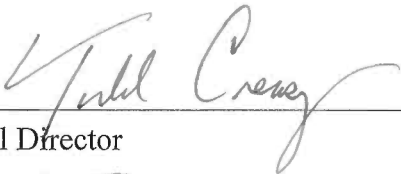
5. Advising & Other Service to Students - Faculty member school service includes advising roles and activities for majors and/or non-majors. As noted in the Faculty Handbook §5.17, faculty with advising loads greater than 33 should be given special compensation and/or consideration. Effective advising involves being informed about curriculum and related processes, availability to advisees, assistance with student academic and career planning (Faculty Handbook §5.17).
6. Criteria for Annual Faculty Evaluation
  - a) EXCEEDS EXPECTATIONS - Performs significant service at the school, college and/or university level, ongoing involvement in community engagement; demonstrates a willingness to contribute to ongoing school activities/obligations in extraordinary situations, e.g. faculty illness, death in family, etc.; engages in student development activities beyond the classroom.
  - b) MEETS EXPECTATIONS - Assumes a reasonable share of school, college and/or university responsibilities such as service on committees, community engagement, consulting and/or college/university appearance expectations (graduations, open houses, convocation, orientations, etc.); maintains posted office hours and appointments; provides basic advising services to majors and non-majors.
  - c) DOES NOT MEET EXPECTATIONS - Minimal or no service on school, college, or university committees; little or no evidence of community or professional engagement, fails to provide basic advising services to students.
7. Standards for Review Events - these criteria represent the minimum standards for consideration for the corresponding personnel action:
  - a) Reappointment - Subject to I.F., must “Meet Expectations.”
  - b) Tenure - Must at least “Meet Expectations” in majority of the years considered and must “Exceed Expectations” in 2 of the 5 years.
  - c) Promotion to Associate Professor - Must at least “Meet Expectations” in majority of the years considered and must “Exceed Expectations” in 2 of the 5 years.
  - d) Promotion to Full Professor - Must “Exceed Expectations” for the majority of the applicable period as defined in the Faculty Handbook (§4.07. A.6).
  - e) Post-Tenure Review - Must “Meet Expectations” for majority of the applicable period, not to exceed 5 years from the last personnel action.

### III. Full Time Non-Tenure Track Faculty:




- A. Promotion from “Instructor” to “Associate Instructor” – Before applying for promotion, a faculty member must have completed at least three years in the College at the rank of Instructor. Eligible faculty may apply for promotion to Associate Instructor no earlier than the fourth year to be considered for promotion in the following year five.
- B. Promotion from “Associate Instructor” to “Senior Instructor” – Before applying for promotion, a faculty member must have held the rank Associate Instructor for at least three years. Eligible faculty may apply for promotion to Senior Instructor no earlier than the fourth year in rank to be considered for promotion in the following year five.
- C. Teaching
  - 1. Promotion from “Instructor” to “Associate Instructor”. At a minimum, must at least meet expectations in a majority of the years considered and must exceed expectations in at least 2 of the years considered.
  - 2. Promotion from “Associate Instructor” to “Senior Instructor”. At a minimum, must at least meet expectations in a majority of the years considered and must exceed expectations in at least 2 of the years considered.
- D. Scholarship
  - 1. Promotion to “Associate Instructor”. At a minimum, the faculty member must have maintained AACSB faculty credentialing status per the College’s Policy on Classification of Academically and Professionally Qualified Faculty for each of the previous three years.
  - 2. Promotion to “Senior Instructor”. At a minimum, the faculty member must have maintained AACSB faculty credentialing status per the College’s Policy on Classification of Academically and Professionally Qualified Faculty for each of the previous three years.
- E. Service
  - 1. Promotion to “Associate Instructor”. At a minimum, the faculty member must meet expectations for each of the previous three years.
  - 2. Promotion to “Senior Instructor”. At a minimum, the faculty member must meet expectations for each of the previous three years.

Approved by:

  
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School Director

Date: 9-27-2021

  
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Dean

Date: 09.28.2021

  
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Provost

Date: 9-29-21