UM UNIT STANDARDS COMMITTEE
SIGNATURE FORM

Unit Standards for: Accounting & Finance
Year: Oct 2012

1) Department Chair:
   Signature
   10/25/12 Date

2) Dean:
   Signature
   10/29/12 Date

3) Chair, UM Unit Standards Committee:
   Signature
   3/15/13 Date

4) Provost and Vice President for Academic Affairs:
   Signature
   10/25/13 Date
UNIT STANDARDS

2013

DEPARTMENT of ACCOUNTING AND FINANCE

The following document contains the Unit Standards of the Department of Accounting and Finance, School of Business Administration. This document does not stand-alone. It must be read and applied in conjunction with the Collective Bargaining Agreement (CBA) between the University Faculty Association and the Montana University System. These unit standards and procedures are intended to be in addition to and consistent with those provided in the current CBA and in the event of any omissions or inconsistencies, the terms of the CBA shall be applicable and shall prevail.

I. General Statements

A. Probationary faculty should pay particular attention to the CBA sections that cover rights of probationary appointees and other matters such as rank, appointment, reappointment, non-reappointment and credit for probationary service.

B. Attention of each faculty member is directed to the CBA sections governing the “Student Evaluation Committee” and “Student Evaluation Committee Review.”

C. The Department Chairperson prepares an individual recommendation for each faculty member in the unit.

D. Each faculty member shall sign the recommendations of the FEC and the Student committee for Faculty Evaluation and the Department Chairperson to signify that he/she has read them and to attest to the accuracy of the supporting documents. The signature does not signify the faculty member’s endorsement of the recommendations. The faculty member may request a meeting with the FEC Chair, the FEC and/or the Department Chairperson for clarification of the recommendations.

E. A faculty member should consult the CBA for procedures relative to the evaluation process beyond the FEC and to determine the procedural requirements for appeals.
II. Faculty Evaluation Committee

A. The Faculty Evaluation Committee (FEC) shall be composed of one non-voting student member appointed by the FEC Chair and, to ensure peer review, all tenured or tenure track faculty members within the Department for whom the University Faculty Association is the bargaining representative under the CBA. The minimum acceptable size of the FEC shall consist of at least 3 eligible faculty members.

Except as follows:

1. No visiting faculty members shall be members of the FEC.

2. A faculty member shall not be present during deliberations or voting concerning his or her own evaluation.

3. All tenure track and tenured faculty members are members of the FEC with voting rights except that a faculty member shall be a non-voting member of the FEC during their first semester in the Department.

4. Only tenured faculty members may serve on the FEC when tenure matters are being discussed or voted on.

5. With respect to promotions, voting FEC members may cast ballots only on faculty who are seeking promotions to the voting member’s own rank or to a lower rank (i.e. an associate professor can only vote on requests by other faculty members for promotions from instructor to assistant professor or from assistant professor to associate professor. An associate professor cannot vote on promotion requests from associate professor to professor).

6. The Department Chair is a member of the FEC. However under University faculty evaluation procedures the Department Chair has a separate vote and written evaluation on the performance of each faculty member. To help ensure that the Department Chair does not have an undue influence on the process, the Department Chair does not participate in the FEC’s activities unless invited to do so by a majority of the FEC. The Department Chair does receive copies of all of the written results of the FEC process which they may use in their own evaluation of a faculty member’s performance.

B. The Department Chair shall call a meeting of Department Faculty early in the fall semester to choose or reaffirm the chair of the FEC. (A FEC chair may be chosen in the spring semester to be reaffirmed at the
fall meeting.) The FEC shall select its own chairperson. The FEC chairperson shall be a tenured full professor who is a faculty member of the department and shall be chosen by a majority vote of the FEC eligible committee members unless there is no faculty currently at that rank. The vote will be by secret ballot, and will be counted by the department chairperson. Those eligible to serve as FEC chairperson must indicate their willingness by a positive affirmation to the FEC. An Assistant FEC Chair will also be appointed. The Assistant FEC Chair is typically, but not necessarily, the most recent prior FEC Chair who is available and is a current FEC member.

C. The Committee may receive or seek evidence from any source including tenured and tenure track faculty, non-tenure track faculty and students, that is relevant to the evaluation of any faculty member in the academic unit so long as the evidence is relevant to the approved unit standards, any evidence relied upon for evaluation purposes is incorporated into the record, and the faculty member to whom the evidence pertains is afforded full opportunity to review and respond to the evidence in accordance with the CBA. Unsolicited materials may not be used as part of the evaluation process unless they are signed. Unlike materials solicited by the FEC, unsolicited materials have no expectation of confidentiality of the identify of their author.

D. Upon request of any faculty member being evaluated, the Committee shall afford the faculty member an opportunity to address the Committee personally regarding his or her evaluation.

E. The FEC Chair will establish a period for the FEC to vote on faculty requests for promotion, tenure, retention and salary adjustments in accordance with University deadlines. Voting shall occur by written secret ballot. The results of the FEC vote will be forwarded by the FEC Chair to the Department Chair and the FEC as “for” or “against.” A “for” is defined as support for the requested action by more than 50% of the Committee members voting. A quorum for purposes of voting shall consist of at least 60% of eligible faculty members. The FEC Chair and the Assistant FEC Chair shall jointly count the ballots for each action requested by a faculty member and verify the results of the balloting process. The FEC Chair and the Assistant FEC Chair shall keep confidential the names and source of comments of all voting FEC members.

The exact vote tally (i.e., the number of votes “for” and “against”) shall be reported to the Department Chair and the affected faculty member, but otherwise shall not be made public.

F. The FEC Chair will call a meeting of tenured faculty prior to the balloting to discuss each non-tenured faculty member’s progress towards tenure. The FEC chair will inform the faculty member(s) of
the results of this meeting. Upon request of any faculty member being evaluated, the Committee shall afford that faculty member an opportunity to address the Committee personally regarding the committee evaluation.

G. The FEC can vote without a formal meeting by voting unanimously to do so prior to commencement of the voting period in each evaluation year.

H. The FEC shall also evaluate the performance of non-tenurable teaching faculty members, such as adjuncts and lecturers. The FEC evaluation is primarily focused on teaching performance. Adjuncts, lecturers and other non-tenurable faculty members are evaluated to ensure that a normal level of teaching performance as defined in this document and the CBA is maintained. The FEC will at a minimum evaluate the SEC report and the student evaluations of these faculty members. The department chair also normally attends part or all of one or more classes per year taught by non-tenurable faculty members that are part of the bargaining unit. The department chair may make a written report of the classroom visit available to the FEC. The FEC Chair will forward recommendations of retention or non-retention to the Department Chairperson with the FEC report for faculty members in the bargaining unit.

I. The FEC Chair has a number of duties.

1. The FEC Chair will manage and oversee the FEC process. The FEC Chair establishes and disseminates a schedule for the evaluation process to assure accordance with the deadlines provided in the current CBA. The FEC Chair will also organize the process, work with appropriate staff, disseminate reminders of important deadlines, run the voting process including counting ballots, distribute the votes as per the unit standards and generate original write-ups on faculty undergoing evaluation.

2. Faculty members requesting additional information will request such information from the FEC Chair. The FEC Chair will contact the faculty member concerning the request and ensure procedures for requesting additional information are conducted in accordance with the CBA.

3. The FEC Chair will meet with the new tenure-track faculty members in the department to discuss and answer questions about the unit standards and the evaluation process.

4. A written evaluation is prepared by the FEC Chair for all other faculty members being evaluated. The evaluation of the FEC
Chair will be prepared by the Assistant FEC Chair. The written evaluations for each faculty member also will be reviewed by the Assistant FEC Chair. The Assistant FEC Chair will review the evaluations to assure that the comments of the individual members of the committee are properly synthesized and fairly presented before issuance to the faculty member and the Department Chairperson. The members of the FEC may review the current written evaluations of other faculty members of the department.

5. The FEC Chair prepares a written evaluation of the non-tenured faculty member’s progress towards tenure, as provided in paragraph F of this section. The written evaluation will also be reviewed by the committee of tenured faculty and then provided to the individual faculty member and the Department Chairperson.

6. The FEC Chair (or the Assistant FEC Chair) will call a meeting of the FEC to conduct an evaluation of the department chairperson regarding his or her duties as chairperson. The results will be forwarded to the department chairperson and the dean by April 15th.

J. Late balloting is not allowed. If a faculty member will not be present during the voting period, the member should cast their ballot early. Faculty members on leave or otherwise unable to be present should cast their ballot by mail if they so desire. The ballot must be received by the voting deadline.

III. Student Evaluation Committee

A. The Assistant FEC Chairperson will appoint at least three (3) students, including at least one student member from each of the emphasis areas (Accounting & Finance), to the Student Evaluations Committee (SEC). One student will be a MACCT student.

B. The Assistant FEC Chair will manage the Student Evaluation Committee in regards to the evaluation process.

C. The Chairperson of the department will provide the annual summary evaluation reports of the faculty member’s performance for each of the classes taught to the SEC.
D. The SEC will make its report to the Department Chairperson by the due date for faculty files. The Department Chairperson and the faculty member being evaluated must sign the SEC report.

E. Neither error nor omission of student participation in any evaluation may constitute grounds for a grievance. The evaluation procedure may proceed without participation by the SEC.

IV. Documentation

A. Each faculty member shall document his or her performance as indicated in the CBA. (For more specific statement of evidence which may be used to document teaching, service and scholarship, see Section V of this document). All faculty members are to include a self-assessment summary. This summary shall be no more than two pages in length and should summarize and justify the material provided in the IPR in support of the faculty member’s requested action. For instance, a faculty member requesting merit needs to indicate in which area(s)—teaching, research or service—he or she considers his or her performance above normal or outstanding (see Section VII.). The self-assessment and the Individual Performance Record (IPR) submitted as part of the documentation may only include the information pertaining to the timeframe for which the action is requested. For instance, a faculty member requesting merit for the period of 2004-2007 may only list activities for this timeframe.

B. Each faculty member shall document his or her performance to a degree sufficient to allow the FEC to make a competent judgment of that performance.

C. Faculty members will be informed in writing if additional documentation is solicited by the FEC. The exact nature of the additional documentation must be specified. The faculty member shall submit any additional documentation he or she desires within 5 working days of receipt of the request.

D. The FEC Chair shall not accept material after the deadline for submission of the IPR without approval of the FEC.

V. General Criteria

A. Faculty responsibilities in the areas of teaching, service and scholarship are outlined in the CBA. The following criteria are intended as an elaboration of the CBA.
B. Each faculty member is expected to function in a cooperative manner within the department by exhibiting a willingness to carry a fair share of such routine activities as advising, registration, committee work, and student and faculty recruiting. Faculty members are also expected to cooperate in other department matters, such as class scheduling, coordinating course materials with other faculty, curriculum work, and participating in faculty meetings. Additional aspects of professional behavior expected of all faculty members are delineated in the CBA (for example see CBA 6.200 in the 2012 CBA or the appropriate section of an updated contract).

C. The following examples are to be used only as a general guide as the Department does not wish to constrain creative endeavors which would further the objectives of the University. As such this list is not intended to be all-inclusive and a faculty member is expected to engage in these or other similar activities.

1. Evidence of teaching effectiveness:
   a. Students’ evaluation of the faculty member based on specific questions selected by the department should be provided for every course taught during the academic year (evaluations of summer and winter session courses or any course not part of his/her normal load may be included or excluded at the faculty member’s option). At a minimum, the summarized results of these questions shall be included as evidence. The set of specific questions selected by the department shall be in compliance with the teaching evaluation format adopted by the UFA-Administration Committee although a faculty member may use a different form that is approved by the A&F department.

   b. Student opinion, gathered by the faculty member under evaluation from either present or former students. All opinions of teaching effectiveness must be documented and in a format such that the faculty member has a fair opportunity to confirm or refute such opinions.

   c. Classroom visits by peers and or the departmental chairperson. The Department Chairperson or a tenured faculty member will conduct at least one classroom visit and provide a written evaluation of all untenured faculty members prior to the candidate’s application for tenure and promotion to the next level. The written evaluation will be made available to the FEC.
d. Other evidence of teaching effectiveness, which may include student performance on standardized tests, department or university teaching awards and other recognition.

e. Evidence of providing the appropriate level of rigor in classes in line with the department’s goals of a high quality education that allows students to successfully compete in the job market upon graduation and subsequently progress in their career.

f. Participation in General Education courses as opportunities arise.

2. Evidence of university, community, or professional service:

a. Active participation in professional organization(s) including, but not limited to such matters as chairing discussant sessions at meetings, refereeing papers for presentation or publication, and serving as an officer or a committee member of a professional organization.

b. Continuing education activities, such as extension courses, workshops, and/or seminars for business and government personnel.

c. Rendering professional service as a member of private or public boards or committees.

d. Speaking engagements related to one’s professional field.

e. Receipt of awards in recognition of professional accomplishments.

f. Active and positive participation in the activities of the department and school, including but not limited to curriculum development and service on school/department committees.

g. Active and positive participation on campus-wide faculty committees.

h. Consulting which contributes to professional growth and/or enhancement of the University.
i. Other significant public, community or university service which contributes to professional growth and/or enhancement of the University whether such activity is for compensation or not.

3. Evidence of scholarship:

a. Publication of journal articles, books, cases, software, proceedings, articles, or monographs. When appropriate, work should be submitted to a blind, peer reviewed process. All faculty members are expected to have blind, peer reviewed publication. Other evidence of scholarship may include peer reviewed publications that are not blind reviewed and non-refereed publications. A publication can be in any widely available media.

b. Receipt of grants or contracts for research or other scholarly activity.

c. Direction of student research.

d. Professional research efforts incident to publication.

e. Presentation of papers at meetings of professional organizations.

f. Formal working papers reviewed by professionals outside the University.

VI. Definitions

The following are intended as an elaboration of the CBA.

A. Terminal Degree. A terminal degree for the Department is defined as an earned research doctorate in the faculty member’s area of competence.

B. Professional Qualification. Professional qualification is defined as appropriate professional experience. Examples include high-level corporate or government experience relevant to the position, or unique experience in business or government, which provides the candidate with special qualifications.
Before offering employment to any individual who does not possess the appropriate research doctorate or the JD degree, the Department will determine if the candidate meets the criteria of having appropriate professional experience. This will be done by the department in consultation with the Dean and the Department Chair. Appropriate professional experience cannot be granted or earned while an employee of the University, except by taking leave to pursue such experience.

The concept of appropriate professional experience is not taken lightly by the department. It can only be granted for major and significant experience directly related to the responsibilities of the faculty member. The documentation required to support appropriate professional experience will vary with each individual depending on factors such as the organization in which the experience was acquired, the level of responsibility held in the organization, diversity, or experience and other factors. For this reason a standard documentation cannot be specified which will fit all cases.

Prior to a consideration of appropriate professional experience the department, the Department Chair and the Dean will determine what documentation will be required. A statement specifying the requirements will be communicated to the candidate in writing so that the evidence may be returned prior to any action.

C. Satisfactory Teaching. Requests for promotions, tenure, normal and retention require evidence of satisfactory performance in teaching. Courses should be designed so that they are rigorous, challenging and conducive to learning. Interpretation of student evaluation scores should take in consideration mitigating factors such as average GPA for the class, class size, course level, and whether the class is required or optional. For example a faculty member teaching a new course preparation would not be expected to have student ratings as high as in other circumstances. For example, it is understood that given the same level of teaching effectiveness, evaluations will be poorer in a large lecture class than in a small discussion class, poorer in a required class than in an elective, poorer in a lower division class than in an upper-division class, and poorer in a class where the average grades are lower than in a class where the average grade is higher. Other factors such as significant course and curriculum development, including development and/or use of innovative teaching methods and materials, new course preparations, and professional development related to instruction may also be considered as evidence of teaching effectiveness.
D. Satisfactory Scholarship. The definition of Satisfactory Scholarship varies with the requested action and level of the faculty member and is outlined in the appropriate parts of Section VII.

E. Satisfactory Service. The definition of Satisfactory Service varies with the requested action and level of the faculty member and is outlined in the appropriate parts of Section VII.

F. The Concept of Professional Growth. The concept of professional growth, as stated in the CBA (for example see CBA 10.100 in the 2012 CBA or the appropriate section of an updated contract, shall be based on a thorough assessment of the applicant’s performance while at the University of Montana. The overall guiding criteria in evaluating professional growth for a faculty member shall be his or her demonstrated ability to carry out the academic responsibilities in the areas of teaching, scholarship and services as stated in the CBA. The FEC is responsible for assessing the performance of the faculty member based on the criteria in the CBA, the elaboration of the criteria in this document and any other information put before the Committee by the individual being considered.

VII. Requested Action

A. Promotion and change in status.

1. Promotion to any rank will depend upon attainment of the academic qualification and an academic record appropriate to that rank. Promotion is not, in other words, merely a matter of years in rank. It is the faculty member’s responsibility to apply for promotion in a timely manner, in accordance with the provisions of the CBA. Promotion to any higher rank or award of tenure requires evidence of satisfactory performance in teaching, research and service that forwards the department’s mission and goals. Receiving normal evaluations as per the CBA during the evaluation period is not sufficient evidence to automatically result in a FEC recommendation for promotion to the next level or award of tenure. The FEC may decide that a person who has received normal evaluations during the period in question has not sufficiently contributed to meeting department goals in the three critical areas of teaching, research and service to warrant promotion or tenure. In addition to the criteria listed in the CBA the following will apply as appropriate:
2. **Change of status from Instructor or Visiting to a tenure-track Professor**

There are two ways in which a visiting or adjunct instructor may become a tenure-track assistant professor: 1) if the individual is conditionally hired through a national search into a tenure-track assistant professor position after having completed all requirements for the terminal degree except completion of the final document (all but dissertation, A.B.D.) and then receives the terminal degree or 2) if the instructor or visitor is selected for a vacant assistant professor position advertised through a national search. In the first case, the conditions for conversion from instructor to assistant professor are specified in the offer letter.

3. **Promotion from Assistant to Associate Professor**

All candidates for promotion to Associate Professor must present evidence of satisfactory performance in teaching as described in V C. 1. In addition, the candidate must present evidence of satisfactory performance in scholarship and service. Satisfactory performance for scholarship and service at this level are discussed below. The character of the service in rank as Assistant Professor shall be such that there is a clear demonstration of professional growth and an increasingly valuable contribution to the University. Receiving normal evaluations as per the CBA during prior evaluation periods is not sufficient evidence to automatically warrant promotion to Associate Professor. Satisfactory performance in teaching, research and service necessary for promotion and tenure requires the applicant to exceed the normal performance level in one or more areas. The applicant may provide evidence of satisfactory performance as allowed by the CBA.

For promotion to Associate Professor, satisfactory performance in scholarship will generally be evidenced by three or more refereed journal publications while at the assistant rank, related to the candidate’s field of expertise and be evidenced by “other related activity” demonstrating potential for future professional growth. At least one of the three articles must be published in a quality nationally respected journal. Evidence of “other related activity” may include non-refereed publication in journals and conference proceedings, presenting papers at conferences, discussing conference papers, chairing sessions, participation on conference program committees, serving as an editor or reviewer for professional journals, assisting in organizing
conferences, developing cases or book for publication, and
developing software or other innovative materials for
publication.

For promotion to Associate Professor, satisfactory performance
in service requires active and positive participation in SoBA
committees as opportunities and needs arise. Service on UM
level committees and other external service is also appropriate
but is not necessary at this level.

4. Promotion from Associate to Full Professor

All candidates for promotion to Full Professor must present
evidence of satisfactory performance in teaching as described
in V.C.1. In addition, the candidate must present evidence of
satisfactory performance in scholarship (such evidence to
normally include at least three refereed journal publications
while at the rank of associate professor, related to the
candidate’s field of expertise, or the equivalent in other areas
of scholarship) and service. At least one of the three articles
must be published in a quality nationally respected journal.
The character of the service in rank as Associate Professor
shall be such that there is a clear demonstration of professional
growth and an increasingly valuable contribution to the
University.

For promotion to Full Professor, satisfactory performance in
the areas of teaching, research and service shall be defined in
terms of increasing value to The University. Examples include
development of new programs, leadership in affairs of the
University, the Business School and the Department of
Accounting and Finance, and leadership activities in the
professions of accounting and finance. Promotion to Full
Professor requires evidence of a clear demonstration of
professional growth and an increasingly valuable contribution
to the faculty member’s area of expertise via additional
refereed publications or “other related activities” as defined in
Section V.C.3. over and above those activities required for
promotion to Associate Professor. Receiving normal
evaluations as per the CBA during prior evaluation periods is
not sufficient evidence to automatically warrant promotion to
Full Professor. Satisfactory performance in teaching, research
and service necessary for promotion and tenure requires the
applicant to exceed the normal performance level in one or
more areas. The applicant may provide evidence of
satisfactory performance as allowed by the CBA.
B. Tenure.

Granting of tenure reflects not only past performance, but also potential for significant future growth. The Department does not require an external review for the award of tenure. However, demonstration of efforts to develop a positive reputation beyond The University of Montana is required. Associate Professors must show satisfactory progress and potential for promotion to Full Professor. Full Professors must show continued productivity in all three areas of teaching, scholarship, and service. Receiving normal evaluations as per the CBA during prior evaluation periods is not sufficient evidence to automatically warrant tenure. Satisfactory performance in teaching, research and service necessary for tenure requires the applicant to exceed the normal performance level in one or more areas. The applicant may provide evidence of satisfactory performance as allowed by the CBA.

The attention of those faculty members concerned with tenure is directed to the CBA regarding “Eligibility for Tenure Application,” “The Tenure Application,” “Limitations on Tenure Awards,” “Rights of Tenured Appointees,” and “Failure to Attain Tenure”, as well as the sections in the CBA and this document which cover criteria, documentation and procedure. Particular note should be taken of the statement in the CBA, which reads in part, “It shall be the responsibility of the eligible faculty member to initiate the application for tenure… (for example see CBA 9.320 in the 2012 CBA or the appropriate section of an updated contract)”

C. Merit Recognition.

Merit recognition is covered in the CBA. To be eligible for merit, a faculty member must have demonstrated above normal performance in at least two of the three areas—teaching, scholarship, and service—or outstanding performance or special recognition in at least one of these areas. Receipt of a merit award does not provide sufficient evidence that the requirements of promotion and tenure have been met.

D. Normal.

The performance of a majority of faculty members will generally be evaluated as “Normal.” They will be expected to grow in value to the institution through continued satisfactory teaching, scholarship, and service (and will be rewarded with a normal increment to their salary.)

E. Less-Than-Normal Increment.
Less-than-normal increment is covered in the CBA and is recommended for either the absence of any performance or poor performance of assigned responsibilities within the scope of employment.

**F. Retention.**

The FEC shall make a recommendation concerning retention of non-tenured faculty members that are covered by the CBA. The following statements in this section are intended as amplifications of the CBA language.

The documentation and evidence submitted by the faculty member in conformance with the CBA and this document also will be used by the FEC in consideration of retention and non-reappointment. As indicated in the CBA (for example see CBA 10.230 in the 2012 CBA or the appropriate section of an updated contract), the FEC may also receive or seek evidence from other sources and may request additional documentation from the faculty member being evaluated.

The procedure used for making a recommendation concerning retention and non-reappointment will be the same as provided in the CBA and this document for making recommendations concerning tenure, salary and promotion. That is, satisfactory performance in the areas of teaching, service and scholarship is required.

The procedure used for making a recommendation concerning retention and non-reappointment of non-tenurable faculty will be the same as provided in the CBA and this document. That is, a normal level of performance in teaching as defined by the CBA and this document is required.

**G. Non-reappointment.**

Non-reappointment of a probationary faculty member (tenure track or non-tenurable) will be recommended when the FEC makes a judgment that the performance of the faculty member is unsatisfactory with respect to the standards applicable to such faculty member given his/her rank for example see CBA 10.110.3C in the 2012 CBA or the appropriate section of an updated contract.

**H.** Within three days of knowledge of the vote, a faculty member has the right to change his/her requested action in the event of a negative vote by the FEC, provided a majority of the FEC has supported the alternative action.