

Arizona State University

W. P. Carey School of Business

FACULTY EVALUATION POLICIES, GUIDELINES, AND PROCEDURES

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PART I: OVERALL PHILOSOPHY

- I.1. The promotion, tenure, and retention guidelines contained in this bylaw should be applied in a manner consistent with overall faculty resource availabilities.
- I.2. The procedures for promotion/tenure/retention and sabbatical leave evaluations are specified by the Academic Affairs Manual.
- I.3. Each academic unit shall develop written guidelines concerning academic unit personnel committee procedures, expectations, and actions.
- I.4. Promotion and tenure embody earned rights, privileges, and obligations that are vested in recognition of achievement in scholarship and leadership in the academic area of relevance to the candidate's discipline. The assessment of quality and the nomination to rank and tenure status is a faculty function and represents the ultimate responsibility in the concept of faculty governance.
- I.5. Promotion is awarded on the basis of cumulative contributions to the institution and the profession, with the rank of professor reserved for those who have achieved scholarly distinction.
- I.6. Tenure is awarded on the basis of both cumulative contributions to the institution and the profession and the anticipation of continued performance at a high level.
- I.7. Each academic unit is responsible for nominating its respective candidate for promotion and/or tenure, based on school criteria and procedures and appropriate peer benchmarks as adapted to the needs of the academic unit, but in all cases recognizing that achievement in research and publication, teaching, and institutional service is an integral part of an acceptable record of performance.
- I.8. School guidelines for promotion and tenure should not be regarded as rules that demand rigid adherence to a specific scheme or mold into which all must fit. While achievement is expected in each of the three areas of research and publication, teaching, and institutional service, it is not anticipated that successful performance resulting in recommendation for promotion and/or tenure will require identical records of all candidates.
- I.9. While the guidelines contained in this document are not specifically intended for merit pay deliberations, it is anticipated that a faculty member's performance in the areas of research and publication, teaching, and institutional service will be considered in the merit pay decision process. However, the relative importance of each category may vary significantly over the course of a faculty member's career. For example, more senior faculty are often expected to increase their service contributions. Accordingly, the school's merit pay system should recognize appropriate faculty contributions in each of the three areas of performance.

- I.10. Deliberations relating to promotion, tenure, retention, and sabbatical reviews are highly sensitive, requiring openness and candor of all involved in the review process. Therefore, the confidentiality of these deliberations shall be maintained by each person involved in the review process.

- I.11. The W. P. Carey School of Business seeks to hire, promote, and retain candidates who have faculty qualifications as defined by AACSB.

**PART II: CRITERIA FOR EVALUATION OF PROMOTION AND TENURE;
RETENTION OF PROBATIONARY FACULTY; SABBATICAL LEAVE APPLICATIONS;
AND RANKED INSTRUCTIONAL FACULTY**

II.1. OVERVIEW

Decisions concerning faculty promotion, tenure, retention, sabbatical leaves and clinical faculty ranks are of extreme importance to both the school and the individual faculty members involved. This section describes the criteria to be used by evaluative bodies within the school in reaching decisions relative to each of these types of actions. It is recognized that differences among the activities of individual faculty members are to be expected and are desirable from the perspective of the school and the university. However, it is also important that guidelines be developed that may be applied equitably to all faculty within the school.

II.2. PROMOTION FROM ASSISTANT TO ASSOCIATE PROFESSOR AND CONCURRENT GRANTING OF TENURE

Since tenure is conveyed with promotion to Associate Professor, it is essential that rigorous professional judgment be applied to each candidate's petition. Concurrent granting of promotion and tenure involves a twofold evaluation of a candidate's record. Promotion from Assistant to Associate Professor recognizes the candidate's achievements in the areas of research and publication, teaching, and institutional service, with greatest emphasis on performance in research and teaching. Granting of tenure must take into consideration not only the candidate's past performance but expectations regarding the candidate's continued progress toward promotion to Professor.

II.2.1. Promotion and Tenure in Final Probationary Year

It is recognized that some faculty will achieve most in research and publication or other creative work of a professional nature, some in teaching, some in institutional service, and some in a combination of any or all of these areas. While effective teaching and institutional service are necessary, they are not sufficient conditions for promotion and tenure. A strong record of scholarly research and publication, or other creative work of a professional nature, as defined by academic units as appropriate for specific academic areas, must accompany achievement in the other areas if promotion and tenure are to follow. Promotion to Associate Professor implies that the faculty member has demonstrated proficiency in scholarly research and publication and/or other creative work of a professional nature, showing evidence of development of one or more research foci, has demonstrated continuing growth as an effective teacher, and has given evidence of institutional service and the potential for continued growth in this area.

II.2.2. Promotion and Tenure Prior to the Final Probationary Year

An Assistant Professor may apply for promotion prior to the final probationary year. Promotion and tenure will be granted if the faculty member has met established criteria for the full

probationary period.

II.3. PROMOTION FROM ASSOCIATE PROFESSOR TO PROFESSOR

In the case of promotion to Professor, the individual must have demonstrated genuine and significant achievement, as embodied in original contributions in his or her areas of work, and must have shown a commitment to high scholarship. In addition, clear evidence of academic leadership that includes nationally recognized contributions will be essential to promotion to Professor.

Academic leadership may be shown through the number and quality of journal articles, as service as the principal investigator in joint research projects, receipt of competitive, peer reviewed sponsored research grants and projects, leadership and participation in professional conferences, course and program development, and service as the chair of major committees. In addition, the number and quality of technical reports and presentations, leadership in professional and technical activities, etc., may serve as evidence of nationally recognized contributions.

The criteria set forth in this bylaw shall be rigorously applied on a consistent basis across the school. Accomplishment of the goals of achievement and scholarship associated with promotion to Professor must be fully realized and evaluated through the application of school and national standards for performance. Promotion from Associate Professor to Professor is not associated with a particular span of time.

II.4. GRANTING OF TENURE TO INDIVIDUALS HIRED AT THE RANKS OF PROFESSOR AND ASSOCIATE PROFESSOR

The granting of tenure to a faculty member hired at the rank of Professor or Associate Professor is contingent upon the successful outcome of ASU's expedited tenure review process as stipulated in ACD 506-04.

II.5. APPOINTMENT, RETENTION AND PROMOTION OF TENURE TRACK FACULTY

Tenure track faculty reviews will be performed in accordance with the schedule and guidelines established by the university. A favorable retention decision implies evidence of continued growth toward tenure, commensurate with the candidate's rank and time of service. Growth may be evidenced through enhancement of the candidate's research and publication record, continued development as a teacher, and expanded institutional service.

II.6. APPOINTMENT, RETENTION AND PROMOTION OF RANKED INSTRUCTIONAL FACULTY

Clinical faculty have an earned doctorate. In contrast, faculty without a doctorate who focus on a teaching career hold lecturer ranks, and people with extensive business experience, either with or without doctorates, who plan to teach for only a few years are appointed as professors of practice. Clinical faculty, lecturers, and professors of practice are not eligible for tenure. Contracts for these faculty may be either nine-month or twelve-month.

- a. Initial appointment of lecturers or clinical assistant ranks may be filled through either a local or national search.
- b. Initial appointment of advanced rank non-tenure track faculty must be made through a national search.
- c. Application for and promotion to advanced rank for non-tenure track faculty should follow W. P. Carey School promotion procedures and time schedules established by the university.

II.6.1. Minimum Criteria for Clinical Faculty

All clinical faculty in the W. P. Carey School must meet the following minimum criteria:

- 1) Earned doctorate in a related field.
- 2) Faculty qualifications, as defined by the W. P. Carey School of Business for AACSB accreditation purposes and as assigned by the department head.

To maintain a clinical faculty designation, the minimum criteria must be maintained.

II.6.1.1 Criteria for Clinical Assistant Professor

Must meet the minimum criteria for all clinical faculty, but does not meet the criteria for a higher rank.

II.6.1.2 Criteria for Clinical Associate Professor

In addition to meeting the minimum criteria for all clinical faculty, Clinical Associate Professors typically demonstrate all of the following:

- 1) The equivalent of five years of full-time teaching at ASU. A significant amount of this must be in courses in fields related to the W. P. Carey assignment of the faculty member. The guidelines of five years may be reduced on a case-by-case basis provided the candidate has significant teaching and/or research accomplishments within the discipline or substantial relevant professional experience in business.
- 2) Significant excellence in teaching, as demonstrated by such indicators as good teaching evaluations, preparation of innovative course materials, textbook or case publication, new course preparation, academic or practitioner-oriented

publications, and successful teaching in a variety of different types or courses.

- 3) Active participation in service roles related to teaching. This must include a) active participation in academic unit or school committees related to instruction and b) participation in national professional activities related to the faculty member's teaching (such as attending relevant national meetings).
- 4) Additional requirements for promotion are outlined in sections II.6.3 and II.6.4.

II.6.1.3 Criteria for Clinical Professor (Full)

In addition to meeting the minimum criteria for all clinical faculty, Clinical Professors typically demonstrate all of the following:

- 1) The equivalent of 12 years of full-time teaching in at ASU. A significant amount of this must be in courses in fields related to the W. P. Carey assignment of the faculty member. The guidelines of 12 years may be reduced on a case-by-case basis provided the candidate has significant teaching and/or research accomplishments within the discipline or substantial relevant professional experience in business.
- 2) Sustained long-term excellence and diversity in teaching, as demonstrated by such indicators as good teaching evaluations, preparing of innovative course materials, textbook or case publication, new course preparation, academic or practitioner-oriented publications and successful teaching in a variety of different types of courses.
- 3) Demonstrated leadership in curriculum development.
- 4) Demonstrated leadership in service roles related to teaching. This must include a) successful leadership roles in academic unit or school committees related to instruction and b) active participation in national professional activities related to the faculty member's teaching (such as making presentations at relevant professional meetings or serving on relevant professional committees).
- 5) Additional requirements for promotion are outlined in sections II.6.3 and II.6.4.

II.6.2. Minimum Criteria for Lecturer Ranks

All lecturers in the W. P. Carey School must meet the following minimum criteria:

- 1) Earned master's degree in a related field.
- 2) Have teaching experience at the college level in a related field.
- 3) Faculty qualifications, as defined by the W. P. Carey School of Business for AACSB

accreditation purposes and as assigned by the department head.

To maintain a lecturer rank designation, the minimum criteria must be maintained.

II.6.2.1 Criteria for Lecturer

Must meet the minimum criteria for lecturer ranks, but does not meet the criteria for a higher rank.

II.6.2.2 Criteria for Senior Lecturer

In addition to meeting the minimum criteria for all lecture ranks, Senior Lecturers typically have a minimum of five consecutive years of teaching service at ASU that have been successfully completed and reviewed. Additional requirements for promotion are outlined in sections II.6.3.1 and II.6.3.2.

II.6.2.3 Criteria for Principal Lecturer

In addition to meeting the minimum criteria for all lecture ranks, Senior Lecturers typically have a minimum of twelve consecutive years of teaching service at ASU that have been successfully completed and reviewed. Additional requirements for promotion are outlined in sections II.6.3 and II.6.4.

II.6.3 Criteria for Promotion of Ranked Instructional Faculty

Candidates for promotion in should present evidence of sustained and continuing excellence in teaching, service, and scholarship, including evidence regarding AACSB faculty qualification status. Academic units and the school will sometimes assign roles to Lecturers that vary in their emphasis on teaching, service, and scholarship contributions. The emphasis assigned to these roles by the Lecturer's unit will be considered in the overall evaluation of performance.

- 1) Teaching. Candidates for promotion should present a record of sustained long-term excellence and diversity in teaching. Evidence of sustained excellence and diversity includes, but is not limited to, good student evaluations, teaching awards, new course development, course innovations, and successful teaching in a variety of different types of courses. Evidence of a record of continuing success in mentoring students, supervising honors theses, independent studies or internships, and advising students will also be considered. Candidates will typically present evidence of leadership in curriculum development. Candidates for promotion should summarize their record in the form of a teaching portfolio that describes their contribution to the teaching mission of their academic unit and the school, presents evidence of excellence in the areas noted above and any other areas relevant to their teaching role, and includes a statement of teaching philosophy.
- 2) Service – Internal and External Contributions. Candidates for promotion should present evidence of sustained service contributions to the mission of the academic unit, school, and/or university (internal service) and to the profession and community at large (external service). The roles assigned within his/her unit will be considered in

evaluating the magnitude of accomplishment expected in service overall, and in internal and external service. Evidence of internal service contributions includes, but is not limited to, records of accomplishment and leadership in administrative roles, committee work, and advisement to student groups and individuals. Evidence of external service includes, but is not limited to, active participation and/or leadership in professional associations, representing the unit to external constituents, and professional service linking the university to the larger community.

- 3) Scholarship of Teaching. Candidates for promotion should present evidence of scholarship competence and accomplishment. Scholarly accomplishments expected of a candidate for promotion will vary by the role assigned by his/her unit. However, all candidates will present evidence of a continuing commitment to the scholarship of teaching. Such evidence includes, but is not limited to, course development, instructional innovation, membership in professional associations, participation and presentation at professional meetings (particularly those relevant to pedagogical development), and continuing education.

Promotion is warranted only if and when the achievements outlined above are tangibly demonstrated. Thus, promotion is based neither on promise nor longevity. It is natural for faculty members to vary in the time required to attain the appropriate level of achievement.

II.6.4 Requests for Promotion

Requests for promotion should occur at the time of the normal review and are due in the Office of the University Provost by the date set by the University. If the promotion is awarded, it will become effective during the following academic year. Promotion, regardless of length of appointment, also will be contingent upon the offer of a contract in the following academic year. Materials to be sent forward for promotion review generally include:

- 1) The appropriate form provided by the Office of the University Provost along with any additional forms used by the academic unit and school.
- 2) Evaluations by personnel committees
- 3) Transmittal letters of the chair/director and dean
- 4) Summary of teaching effectiveness, including both student and peer teaching evaluations
- 5) Self-assessment
- 6) Current curriculum vita

This file is reviewed by the Dean's Personnel Advisory Committee which writes a memo to the dean with its recommendation. The dean then writes an independent review of the material. The entire packet is forwarded to the Office of the University Provost for final

approval.

II.7. EVALUATION OF FACULTY HOLDING ADMINISTRATIVE POSITIONS

The research and publication or other creative work of a professional nature of administrators, produced while serving in that capacity, shall be evaluated in terms of the amount of their time allocated to teaching and research. While performance in an administrative capacity may affect the expected level of a candidate's research output, the quality of that effort should not be diminished.

II.8. EVALUATION OF SABBATICAL LEAVE APPLICATIONS

Sabbatical leave applications will be evaluated in accordance with the criteria specified in the Academic Affairs Manual. Excerpts from the Academic Affairs Manual detailing the most relevant evaluative criteria are presented below:

- a. A sabbatical leave should not be considered as deferred compensation to which a faculty member is automatically entitled after six years of service, but is granted or denied on the merits of the individual case.
- b. Normally the applicant's proposal must have merit according to one or more of the following criteria: potential value to the teaching program of the academic unit and/or school, probable enhancement of the applicant's effectiveness as a faculty member, adding to the reputation of the institution, contributing to knowledge in the subject field, providing outstanding public or professional service at a local or national level.
- c. The chair with the counsel of the appropriate faculty committee will review the material and recommend leave where 1) the proposal is judged worthwhile and 2) there is a reasonable probability that the faculty member will carry it out.

**PART III: FACTORS RELATED TO THE DETERMINATION OF
ACHIEVEMENT IN RESEARCH AND PUBLICATION,
TEACHING, AND SERVICE**

III.1. OVERVIEW

Promotion and tenure are based on achievement in research and publication, teaching, and institutional service. This section provides guidelines for the determination of achievement in each of these three areas. These guidelines do not preempt variety in the activities of individuals (not all faculty will teach in the same way, perform similar research, or be involved in the same service activities) nor eliminate an academic unit's prerogative relative to evaluative criteria. However, they do provide a common framework for discussion of faculty achievement in each of the three areas.

III.2. RESEARCH AND PUBLICATION

Achievement in research and publication may be demonstrated through the development of a record of productive scholarship, supported by substantial publication and/or other original work of a professional nature. Specific types of research outlets are presented below. In some cases this listing may be too comprehensive, and in others not comprehensive enough. It records commonly used outlets for scholarly research. Each evaluative body is responsible for judging the quality of research done. This list does not imply weights regarding the value of one research outlet relative to another, beyond the preference given to recognized academic and professional journals.

The quality of a candidate's research and publication record is best judged by his/her peers and is to be assessed by peers in the field, both from the school and from other universities, in accordance with university guidelines. While it is anticipated that individual faculty will seek a wide variety of appropriate research outlets, publication in recognized academic and professional journals in each candidate's field is considered an integral element of an acceptable research and publication record.

In general, co-authorship shall not be viewed negatively. Assessment of the individual's contribution to coauthored works is best achieved by the academic unit's personnel committee.

III.2.1. Recognized Academic and Professional Journals

Recognition shall be given to both research and publications in academic and professional journals. The quality and relative importance of specific outlets will be determined within the candidate's academic unit, but publication in leading outlets will be an integral part of all acceptable candidate records.

III.2.2. Books/Monographs

The quality of the book or monograph shall be a major criterion for evaluation. Special consideration will be given to scholarly books or monographs that extend the frontiers of knowledge as compared to textbooks that compile and organize existing knowledge. Readings, edited books, and proceedings shall be given less importance than standard

textbooks. In general, books and monographs are not essential for promotion and/or tenure. Textbooks, by themselves, are not sufficient for promotion and/or tenure.

III.2.3. Professional Reports

Professional publications, such as technical reports, shall be considered neither necessary nor sufficient for promotion and/or tenure. Still, their positive contribution to a candidate's stature and reputation warrant consideration. The size and nature of a report's audience shall be considered in evaluating its relative merit.

III.2.4. Professional Papers

Competitive papers shall be considered for promotion and tenure. The values assigned to professional papers are flexible and will be determined by such factors as: (a) the quality of the paper, (b) the nature of the competition, and (c) whether the paper was invited. In most cases, competitive or invited papers, even when published in proceedings, will not normally be considered as substitutes for articles in recognized academic and professional journals.

The actual presentation of professional papers at meetings may additionally be considered as evidence of professional service. Any overlap between the research and publication and service sections of a candidate's vita should be clearly noted.

III.2.5. Other Publications

In some fields, case studies, prototypical software, and other types of publications provide vehicles for developing national reputations and should accordingly be considered in promotion and tenure deliberations. Such outlets, by themselves, shall be considered neither necessary nor sufficient for promotion and/or tenure.

III.2.6. Funded Research Grants

A funded research grant that is awarded on the basis of a competitive peer review process provides evidence of recognized scholarship, especially if the competition for grants is broadly based. Research awards shall carry more or less weight in evaluating a record of scholarship depending on the norms of the candidate's field of study and the rigor of the grant program's evaluation process. Decisions about the relevance of grants to the candidate's research productivity are best made by department personnel committees and the importance of such grants may even vary within academic units. Research awards alone are not sufficient for promotion and/or tenure. Funded research is construed to mean grants that are explicitly awarded to further a candidate's research productivity, and this category does not include awards for training, education or service projects, or projects funded under 'sale of services'.

III.2.7. Research in Progress

Research in progress, in addition to research accomplished and published, is a barometer of research activity. Research in progress is obviously not a sufficient

contribution for promotion and/or tenure. However, research in progress, especially on-going work on funded projects, manuscripts currently undergoing review, and formal working papers, is a useful indicator of a candidate's progress. Research in progress that can be supported by documented evidence will be viewed more favorably than that which cannot.

III.3. TEACHING EFFECTIVENESS

Effective teaching is expected of all faculty. The elements to be considered in judging teaching effectiveness may include, but not necessarily be limited to:

III.3.1. Student Evaluations and Other Inputs from Students

Formal student evaluations of teaching effectiveness provide evidence of teaching performance, recognizing the limitations of any evaluative instrument. Documentation should include a current comparison to relevant benchmark data. Lack of formal evaluations will be viewed negatively.

III.3.2. Course Development, Outlines, and Innovative Practices

Evidence of course development will be viewed favorably. Evidence of development may include such things as course outlines and descriptions of innovative practices incorporated into classroom activities.

III.3.3. Facilitation of Student Development

Facilitation of student development may include activities such as advisement of individual students, service on graduate program committees, facilitation of student publications, attention to curriculum matters, maintenance of standards and fairness, service on dissertation committees, and Honors Program thesis and Master's Program supervision.

III.3.4. Teaching Evaluations from Executive Education Courses

While teaching in continuing education programs such as those offered by the Center for Executive and Professional Development are generally considered as part of a faculty member's service activities, teaching evaluations from such program offerings constitute additional evidence of teaching effectiveness.

III.3.5. Peer Evaluations

Peer evaluation by members of the faculty within the department can provide evidence of teaching effectiveness. This evaluation follows an observation of classroom teaching as well as review of materials used for the class.

III.3.6. Other Considerations

Several other factors contribute to the evaluation of a candidate's teaching

effectiveness. Some of these factors include: (a) course loads, (b) numbers of new and repeat course offerings, (c) graduate and undergraduate course levels, (d) class sizes, (e) the availability of grading assistance, and (f) the nature of the class (e.g., courses offered through the Center for Executive and Professional Development). The effect of these factors on a candidate's overall teaching performance must be evaluated carefully.

III.4. INSTITUTIONAL SERVICE

Institutional service encompasses those activities of the faculty other than teaching and research. Contributions will generally fall into one of three areas: collegial, professional, and community and governmental service. Activities that enhance the reputation or effectiveness of an individual faculty member may indirectly benefit the university.

Typically, however, these activities are considered within the teaching and research dimensions of the university reward system and would not receive additional consideration under the institutional service dimension. When exceptions occur, it will be the responsibility of the faculty member to demonstrate that benefits to the university have occurred and that these benefits are outside the teaching and research dimensions of the university reward system so that they merit consideration as service to the institution or the profession.

Institutional service criteria should be performance related. That is, the results of a particular activity should be emphasized whenever possible.

Good citizenship is an admirable quality deserving of recognition within the community. Nonetheless, community or civic activities normally shall not qualify as institutional service. When exceptions occur, it will be the responsibility of the faculty member to provide evidence that such activities were of direct benefit to the university or profession.

III.4.1. Collegial Contributions

The decision-making bodies shall evaluate the individual's collegial contributions not only on the basis of degree of participation, but also on the quality of contributions. The contributions shall include, but not be limited to:

- 1) Committee assignments within the academic unit, school and university
- 2) Committee chairperson director/chair assignments
- 3) Program and curriculum development
- 4) Generation of funds from non-research activities
- 5) Student counseling related to course and career development
- 6) Projects carried out for the school or university that receive no compensation
- 7) Service as faculty advisor to student organization

III.4.2. Professional Contributions – Professional Organizations

Service to local, regional, and national business and professional organizations shall be considered by the decision-making bodies.

Membership in professional organizations is not sufficient to warrant a significant evaluation. Direct participation and leadership roles through offices held, speeches given, committee assignments, etc. will be the type of criteria utilized by the decision-making bodies. Professional contributions are desirable at all levels of promotion but will be considered more important for the Associate Professor to Professor promotion than for the Assistant Professor to Associate Professor promotion. Examples include.

- 1) Editorial activities with academic and professional journals
- 2) Referee for academic journals
- 3) Reviewer of books for academic journals or textbook publishers
- 4) Serving as a moderator, panel member, discussant, paper presenter, or in some other capacity at a meeting of professional associations
- 5) Serving as an officer or board member of a professional association

III.4.3. Professional Contributions – Consulting Activities

Consulting activities are defined as any activity, normally compensated, performed for a public or private organization, institution or association at their request. This would include, but not be limited to:

- 1) Giving advice
- 2) Designing and/or implementing policies, procedures, or methods
- 3) Data gathering, analysis, and reporting when it is done at the request of the organization and the results are not made public
- 4) Expert testimony
- 5) Conducting training or educational courses or seminars

Consulting activities are acceptable as institutional service only if evidence is presented to show a direct, tangible benefit to the institution and/or profession. The burden for demonstrating such benefits is upon the individual submitting the request. While consulting activities may constitute evidence of a faculty member's professional reputation, most consulting activities will not count as institutional service.

III.4.4. Community and Governmental Contributions

Community and governmental service shall be considered desirable for promotion and/or tenure, with more importance placed on such service at the Associate Professor/Professor levels. Since the scope of such service is broad, decision-making bodies will have discretion in determining the nature and importance of community service activities. Included among the more important activities are serving on working committees and boards of directors of significant community groups, and public service volunteerism to local/national governmental agencies. A key element is that the faculty member served in a capacity as a representative of the university, not just as an individual.

**PART IV: PROCEDURES FOR PROMOTION, TENURE, PROBATIONARY,
SABBATICAL, AND INSTRUCTIONAL FACULTY REVIEW**

IV.1. OVERVIEW

School promotion, tenure, and sabbatical review procedures will follow accepted university guidelines as specified in the Academic Affairs Manual. In the absence of specific school guidelines or in case of conflict, university guidelines will take precedence.

Deliberations relating to promotion, tenure, retention, and sabbatical reviews are highly sensitive, requiring openness and candor of all involved in the review process. Therefore, the confidentiality of these deliberations shall be maintained by each person involved in the review process.

IV.2. ACADEMIC UNIT PERSONNEL COMMITTEES

Each academic unit shall have a personnel committee to evaluate each candidate's qualifications for promotion, tenure, retention, and sabbatical leave. This committee shall be structured as deemed appropriate by the academic unit faculty, but shall exclude the academic unit director/chair from membership. Faculty from outside the academic unit may serve as members when such membership is deemed appropriate by the academic unit faculty. Each academic unit shall develop written guidelines to direct committee procedures and actions.

IV.3. W. P. CAREY SCHOOL OF BUSINESS DEAN'S PERSONNEL ADVISORY COMMITTEE

IV.3.1. Minimum Qualifications of Members

- 1) Shall be tenured and hold the rank of Professor. Not more than two faculty members from any one academic unit may serve on the committee at any one time except that this limit does not apply for at-large committee members.
- 2) Shall not be an academic unit director/chair or administrator. An administrator shall be defined as a person holding a formal administrative position with the university. Administrative positions are defined as including such positions as Assistant or Associate Dean or Director of an academic unit or program but may not be limited to such positions.
- 3) Shall not be a member of any decision-making group that acts on matters that would be considered and acted upon by the W. P. Carey School of Business Dean's Personnel Advisory Committee (DPAC).
- 4) Each academic unit in the school with five (5) or more tenured faculty members shall be represented on the committee, if possible. Lack of representation shall occur only if all Professors in the academic unit hold administrative positions or are for some other reason disqualified from membership on DPAC.

- 5) DPAC shall consist of nine (9) members. One member shall be elected from each academic unit, whenever possible, with the remaining members being elected from the school at-large. In the event that the number of academic units in the school increase beyond nine (9), the committee will be expanded as necessary to accommodate representation from all qualified academic units. If expanded beyond the original nine (9) members, at-large representatives will be added as necessary to maintain an odd-numbered total membership.
- 6) The Tellers Committee shall consist of those members of DPAC who are not candidates for re-election. Voting shall be by secret ballot, supervised by the Tellers Committee or its designee.
- 7) Initially, academic unit or at-large representatives were elected to one, two or three year terms decided by lot in such a way that one-third of the membership would be retired each year. All elections of representatives are for three-year terms, with the exception of members elected to fill an uncompleted term. For purposes of rotation, at-large representatives will be considered as one academic unit. The original intent of rotation with three-year terms should be adhered to as much as possible.

In the event that additional academic units become eligible for representation on the committee, their first elected representative will either take the place of one of the at-large representatives at the time of election for a full three-year term or fulfill the uncompleted term of an at-large representative. In the latter case, if two at-large representatives are currently members of the Committee, the one replaced by the new academic unit representative will be selected by lot by the remaining members of the Committee. Election of new academic unit representatives, as required, must take place prior to the beginning of DPAC deliberations for the current academic year.

- 8) The chair/director of each eligible academic unit shall prepare a list of faculty members willing and eligible to serve. This list shall be made available to the Tellers Committee or its designee. The academic unit faculty, by secret ballot, must select at least two nominees from the list of willing and eligible faculty, unless two or fewer academic unit members are eligible. The list of nominees shall be sent to the Tellers Committee for presentation to the faculty.

IV.3.2. Procedures for Election

- 1) A school ballot shall be prepared showing the candidates, their academic rank, and their academic unit. A vita of each candidate shall be available for review on a W. P. Carey School web site with its URL prominently displayed on the ballot.
- 2) At-large members of the committee shall be nominated by members of the Faculty Assembly. Only those who agree to serve and who are certified as eligible by the academic unit chair/director shall be considered valid nominees.

- 3) For a ballot to be counted there must be no more than one vote recorded for each vacant position. It is not necessary to vote for any specific number of candidates.
- 4) The candidate receiving the most votes cast on each academic unit slate, and the number of candidates to be elected from the at-large slate receiving the highest number of votes, shall be elected.
- 5) In the event of a vacancy on the Committee, the unexpired term or part-term for that portion of the term for which the incumbent may not be able to serve will be filled by special election. The replacement shall be nominated from the same source, academic unit or at-large, as was the member being replaced.
- 6) Nominations for the regular rotational replacements to this committee are due by March 1. The mail ballot shall be sent out as soon as nominations are received. The election results shall be announced to the faculty by the Tellers Committee or its designee.

IV.3.3 Committee Structure

- 1) A committee chairperson will be elected for a one-year term by the elected committee members.
- 2) The committee, when reviewing nominees for sabbatical leave requests, shall convene for official business when a quorum consisting of a majority of the committee is present. When the committee is reviewing requests for promotion, retention, or tenure, the quorum shall be three-quarters of the committee members. A committee member who is a nominee for sabbatical leave must absent himself/herself from the committee deliberations concerning all sabbatical leave requests.
- 3) A committee member who resigns or who is absent without excuse by the chairperson for three (3) meetings in any one academic year shall be replaced by an election held no longer than one month after the third absence or after the resignation. The replacement will be elected from the same source, academic unit or faculty at-large, for the remaining portion of the former member's term and by the same balloting and nominating procedures as was the former member.
- 4) A member who accepts an administrative position with the university must resign from the committee. The replacement will be elected from the same source, academic unit or faculty at-large, for the remainder of the member's term and by the same balloting and nominating procedures as was the former member.

IV.3.4. Procedure for Handling Petitions

- 1) Personnel actions handled by petition include promotion, tenure, retention, and sabbatical leave applications.

- 2) A petition may be initiated from one of the following sources, provided it falls within school and university guidelines and meets the prescribed deadline for submission of the petition class. The interested faculty member may submit a petition to the academic unit chair/director. The academic unit chair/director in consultation with the academic unit personnel committee may initiate a petition. A petition is deemed to be initiated at such time as the faculty member is aware of and approves that petition going to the academic unit personnel committee.
- 3) The academic unit personnel committee shall review each petition and make its recommendation in writing. The academic unit chair/director will add his or her written recommendations.
- 4) The initial petition and the academic unit recommendations must be submitted to the DPAC, unless withdrawn by the faculty member concerned according to the procedures contained in the Academic Affairs Manual.
- 5) The DPAC will review each petition presented, along with the academic unit recommendations, and will evaluate the petition applying the relevant criteria.
- 6) Each petition will be openly discussed among the members of DPAC in developing a recommendation for each case. Each case is to be evaluated on its own merit. This discussion and the committee's recommendation are to be treated confidentially by the members.
- 7) The DPAC will then report its advisory recommendation for each petition, with written support for the recommendation, to the Dean. The DPAC recommendation, along with the recommendations of the academic unit personnel committee and the academic unit chair/director, shall be provided to the Dean for his or her recommendation to the Vice Provost for Academic Personnel. Committee minority opinions, where appropriate, will also accompany each petition.

**PART V: MATERIALS TO BE SUBMITTED FOR PERSONNEL ACTIONS:
PROMOTION, TENURE, REVIEW OF PROBATIONARY FACULTY,
REVIEW OF INSTRUCTIONAL FACULTY, SABBATICAL LEAVE APPLICATIONS**

V.1. OVERVIEW

This section details a list of materials that are to be submitted to the Office of the Provost of the University in support of faculty being considered for promotion and/or tenure, for faculty being reviewed during their probationary years, and for faculty being considered for sabbatical leave.

V.2. PROMOTION AND/OR TENURE

Faculty should supply the materials indicated in the Process Guide for Promotion and/or Tenure, available at the following link: https://provost.asu.edu/promotion_tenure

V.3. PROBATIONARY OR CONDITIONAL FACULTY OR ACADEMIC PROFESSIONAL REVIEW

Faculty should supply the materials indicated in the Process Guide for Probationary or Conditional Review, available at the following link: https://provost.asu.edu/promotion_tenure

V.4. SABBATICAL LEAVE APPLICATIONS

Faculty should supply the materials indicated in the Process Guide for Sabbatical Leave, available at the following link: https://provost.asu.edu/promotion_tenure

In addition to the materials indicated in the process guide, faculty should include the following materials:

- a. Any additional forms utilized by the academic unit
- b. Summary evidence of teaching and/or job effectiveness, but not limited to summaries of student evaluations
- c. Report from candidate's last sabbatical

V.5. RENEWAL AND/OR PROMOTION FOR RANKED INSTRUCTIONAL FACULTY, RESEARCH FACULTY, PROFESSORS OF PRACTICE

Faculty undergoing review for promotion should supply the materials indicated in the Process Guide for Fixed-Term Promotion, available at the following link: https://provost.asu.edu/promotion_tenure.

Faculty undergoing review for multi-year renewal should supply the materials indicated in the Process Guide for Multi-Year Faculty Renewal, available at the following link: https://provost.asu.edu/promotion_tenure

Renewals of multi-year academic appointments are approved by the dean. Promotion, non-renewal or termination cases must be reviewed by the Vice Provost for Academic Personnel.