

## **Statement of Principles for Appointment, Reappointment, Tenure and Promotion of the Faculty**

### **Tenure and Promotion**

Appointments to a tenured position as an associate professor or full professor shall be based on the cumulative contribution of a candidate's research, teaching and service to the School, the University, and her/his academic and professional disciplines. The relative contributions of a candidate's research, teaching, and service may vary from case to case; however, the overall contribution must be outstanding. It is expected that both research and teaching contributions will be weighted significantly and that service contributions will not be the primary basis for awarding tenure or promotion.

Research is defined as inquiry undertaken to establish facts, develop principles, answer, illuminate, analyze questions or evaluate hypotheses and situations posed within an area of intellectual pursuit through the collection, ordering, and dissemination of well-documented evidence or conclusions, or the development or critique of theory and/or hypotheses.

Research is evaluated primarily in terms of publications. It is important that the evaluation of publications be qualitative rather than merely quantitative in nature. Publications that require rigorous review for acceptance or are subject to post-publication reviews (e.g., articles in refereed journals, books that are reviewed in scholarly journals, etc.) carry considerably more weight than those that do not. Impact of the individual and portfolio of publications will be assessed. In cases of multiple authorship, the degree of contribution to the study by each person should be established as clearly as possible.

Teaching in its various forms constitutes a central function of the Goizueta Business School. The scope of teaching to be considered includes all of the Goizueta Business School's degree and non-degree programs. Excellence in teaching draws continuously upon the teacher's competence as a scholar in the discipline. An important criterion of outstanding teaching is the development of innovative new courses and instructional methods as well as the development and publication of innovative teaching materials. Examples of appropriate teaching materials might include cases, textbooks, educational simulations, videotape materials and the like. Additional sources of information for use in the teaching evaluation process shall include, but not be limited to, school-administered student questionnaires.

School, University and Community Service is defined as active participation in school and university activities, such as committee work, administrative duties, student advising, student recruiting, student placement, and other activities that may promote the general school and university welfare.

Community service activities represent the outreach programs and activities of the School and its faculty. Emphasis is placed upon organized educational activities where knowledge and teaching are combined, but programs and activities of a professional nature should not be limited to those that are purely education-oriented. These activities, which contribute to the growth of the faculty member, may include the enhancement of a professional discipline, service to an outside agency, teaching in programs sponsored by other educational and business organizations, membership on research or scholarship evaluation teams, membership on publication review boards, committee membership or the holding of office in professional societies, or advising extra-university groups in matters of professional expertise.

### **Renewal at the Rank of Assistant Professor**

Assistant Professors will usually be considered for reappointment in the second half of the third year after entering the School's tenure track unless otherwise agreed to at the time of appointment. To be reappointed, the faculty member should show evidence of making substantial progress in the following:

Research. A faculty member should have published or have had accepted for publication competent research. This will often, but not necessarily, consist on the one hand of publishing some material component of the dissertation and, on the other, work that clearly shows evidence of moving beyond coverage of the dissertation. Outstanding research consists of a sustained record of publication works of outstanding quality that in the judgment of the committee either has had, or has a prospect of having, a material impact on one's chosen field of inquiry.

Teaching. The quality of classroom delivery should be well documented. At the minimum, it should be judged quite effective. Assistant professors aspiring to an outstanding record of teaching, at the time tenure is considered, should have initiated a program of curriculum innovation including the development of high quality teaching materials which either have been or have a reasonable prospect of being published.

Service: This category will not weigh heavily when it comes to the decision with respect to renewing an Assistant Professor in his or her third year.

In cases involving renewal at the rank of Assistant Professor, the Committee on Tenure and Promotion may recommend “renewal,” “deny renewal,” or “deferral for one year.” If the Dean decides to defer a renewal decision for one year, the case must be reviewed in the following year, at which time a “renewal” or “deny renewal” decision must be made.

### ***CONCLUDING COMMENTS***

The criteria stated above outline the general requirements for eligibility for employment, promotion and the granting of tenure, and if met do not guarantee any of the preceding actions.

All recommendations for appointment, promotion and the granting of tenure depend on whether or not the person under consideration is the best person in the market available to fill the position. Appointment, reappointment, promotion and tenure are also based upon the staffing needs of functional areas and School programs and on available and potential resources of the School. Specific guidelines and procedures for recommending faculty for appointment, reappointment, promotion and tenure are noted elsewhere.

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## *Procedures for Appointment, Reappointment, Tenure and Promotion of the Faculty*

### *Tenure and Promotion*

Limited (nontenured) and continuous (tenured) faculty appointments in the Business School are made either by the President of Emory University (nontenured) or the Board of Trustees (tenured), in each case after receiving the recommendations of or conferring with the Dean of the Goizueta Business School. The Dean's recommendation to the Provost and the President is made after consultation with and consideration of the recommendation of the Personnel Committee of the School.

Criteria for tenure and promotion are set forth in the "Statement of Principles for Appointment, Reappointment, Promotion, and Tenure of the Faculty" which should be read to include applicable University non-discrimination policies.

The following are the procedures followed by the Personnel Committee in making recommendations to the Dean concerning appointment, reappointment, promotion, and tenure for Business School faculty.

### ***PERSONNEL COMMITTEE***

#### **MEMBERSHIP**

The Personnel Committee shall consist of ten members – two from each of the five primary academic areas of the School (Accounting, Decision and Information Analysis, Finance, Marketing, and Organization and Management). The Committee members must be chosen from the ranks of the tenured faculty. Each area selects one Committee member by a democratic selection process approved by the Dean, and the Dean appoints the other Committee member from each area. Committee members shall serve two-year terms and may serve no more than two terms consecutively.

For cases involving promotion to full professor and appointment of new members of the faculty to the rank of full professor, only Personnel Committee members who hold the rank of full professor will be included in the deliberations and vote. If there are fewer than six members of the Personnel Committee who hold the rank of full professor, or if

any academic area has no full professor currently serving on the Committee, for an individual case the Dean shall augment the regular membership of the Committee with ad hoc appointments to the Committee from the Goizueta faculty to achieve a minimum of six full professors and to achieve balanced representation of all areas of the School for the case.

For cases involving reappointment of assistant professors or nontenured associate professors, promotion of assistant professors to the rank of tenured associate professor, promotion of untenured associate professors to the rank of tenured associate professor, or the appointment of new members of the faculty to the rank of tenured associate professor, the voting members of the Personnel Committee in a given year will consist of all members of the Committee .

The Vice Dean for Faculty and Research will serve as the non-voting chair of the Personnel Committee and her/his office will provide essential administrative support to the Committee, including scheduling of meetings, distribution of candidate dossiers, and processing of external review letters. The Personnel Committee makes recommendations to the Dean; therefore, the Dean is not a member of the Committee and does not attend its meetings.

### **RESPONSIBILITIES**

The function of the Personnel Committee is to make recommendations to the Dean concerning initial appointment with tenure, reappointment (of non-tenured faculty), and the promotion and/or tenure of Goizueta Business School faculty. The Personnel Committee shall hold meetings upon the call of the Chair.

### ***PROCEDURES***

At least once annually, the Dean or his designee shall consult with the Personnel Committee regarding the identification of then current members of the faculty to be considered for reappointment, promotion and/or tenure. The Vice Dean maintains a record of mandatory tenure reviews and provides this information each year to the Dean and the Personnel Committee. After consulting with the Personnel Committee, by July 1 the Dean shall identify current members of the faculty, if any, who are to be considered by the Personnel Committee for reappointment, promotion and/or tenure.

Current faculty members designated as candidates to be considered for reappointment, promotion and/or tenure shall be so advised by the Dean and requested to prepare and submit their files for review by the Personnel Committee. The Goizueta Business School faculty shall be informed of the names of the current faculty members who are to be considered for reappointment, promotion and/or tenure.

By July 1, candidates for review (who are not external hires) must submit a Declaration of Intent to proceed with the review along with a statement of contribution

that indicates why a review is warranted. This letter should be at most three pages and succinctly describe significant contributions by the candidate that are indicative of intellectual leadership. It is expected that the candidate will seek the advice of senior faculty in the School in preparing his/her declaration of intent. The faculty members can be from within the area and/or other areas of the school, where appropriate. Faculty requesting a tenure review prior to the mandatory review year, and faculty requesting a promotion in rank, shall make such requests to the Dean no later than July 1 of the year in which they wish to be reviewed.

Faculty who are considered for reappointment, promotion, or tenure by the Personnel Committee shall prepare and submit to the Chair of the Personnel Committee a dossier in accordance with procedures specified by the Personnel Committee, the Dean, and the Provost. The dossier shall include materials establishing the candidate's achievements in the following areas: research, creative scholarship and publication; teaching; and School, university and community service. The dossier shall include a summary of these achievements in a Professional Identity Statement (not to exceed five pages) to be prepared by the candidate. Candidates or any faculty member may also submit to the Committee such other materials as they consider relevant and appropriate (see Statement of Principles for Appointment, Reappointment, Promotion, and Tenure).

In cases of tenure or promotion to full professor, the Chair of the Personnel Committee, in consultation with the candidate, the Dean, the candidate's Area Coordinator, and other informed tenured faculty, will solicit external evaluations of the candidate's scholarly accomplishments. The external evaluators will be chosen from a list (usually four) prepared by the candidate as well as up to six other persons to be selected by the candidate's area faculty. The Dean and Vice Dean for Faculty and Research may also add names to the list of external reviewers. The primary criteria for selecting evaluators should be the evaluator's reputation as a leading scholar in the candidate's field, familiarity with the candidate's area of research, and objectivity and rigor of evaluation.

As each case is designated for review by the Personnel Committee, a Peer Evaluation Group (PEG) shall be formed, consisting of three members of the Personnel Committee. The Personnel Committee shall select the PEG for each candidate in consultation with the candidate, the Dean, and the candidate's area coordinator. The chair of the PEG shall not come from the candidate's academic area. The role of the PEG is to review thoroughly the strengths and weaknesses of the candidate's research and to prepare a summary of its findings for the Personnel Committee. The exclusive focus of the PEG will be evaluation of the quality of a candidate's research. The PEG's evaluation will include a comprehensive and independent evaluation of the candidate's research. PEG reports focus on the quality of the research based on a careful reading the papers to ascertain quality; reports placing excessive reliance on citation counts and recitation of quotes from external letters will be seen as fundamentally incomplete. The PEG will not have access to external letters nor the Area's report in preparing its report. As part of this review, the PEG shall invite comments from all tenured faculty regarding the candidate's research.

The candidate's area will provide a formal written report to the Personnel Committee as part of the review process. The area faculty holding rank at or above the rank being considered will also take a formal non-anonymous vote. Consistent with current Personnel Committee procedures, the specific votes will be revealed to all voting members of the Area's faculty as well as the members of the Personnel Committee at the time of their deliberations.

The Area's report provides the primary evidence on the candidate's teaching and service. This report should also consider research contributions, but the candidate's research contributions should be situated within the disciplines in which the candidate works. The Area's assessment of research will not substitute for the independent evaluation of research done by the PEG nor does the Area's consideration of research alter the process for obtaining citation analyses and external letters of evaluation for use by the Personnel Committee. To emphasize, the evaluation of a candidate's research contribution from the Area's perspective will be entirely independent of the evaluation conducted by the PEG. The Area will not see the PEG report when preparing its own report.

The Area Coordinator will typically be responsible for writing this report except when the candidate's case involves a promotion to full professor and the Area Coordinator is an Associate Professor, or when the case involves a promotion to full professor for the Area Coordinator. In these circumstances, the senior faculty of the area shall select a representative who will be responsible for writing the report. All faculty who are eligible will have the opportunity to sign the report, agreeing that it is an accurate reflection of the discussion, including the strengths and weaknesses of the case.

The final deliberation on each case by the Personnel Committee shall include the dossier prepared by the candidate, input from individual members of the Personnel Committee, consideration of the research evaluation prepared by the PEG, the Area's report and vote, and the letters of the external reviewers. The deliberations of the Personnel Committee will take place over two days to allow for a complete discussion of the evidence gathered as part of the review process. The first scheduled meeting is to discuss the case. The second is to discuss any remaining issues identified at the first meeting and also to take a vote. Subsequent to deliberation, Personnel Committee members individually shall vote on whether to recommend to the Dean that the candidate be appointed, reappointed, promoted or granted tenure, or whether to recommend that such action be denied or deferred. A quorum of two-thirds of the voting members of the Personnel Committee shall be required for a vote to be official. The committee chair will have discretion to call for a vote at the end of the first meeting if there are no remaining unresolved questions about any of the cases discussed. A decision can be made to cancel the second meeting on the basis of a vote of a two-thirds majority of the Personnel Committee members present.

Voting in tenure or promotion cases shall be conducted following the completion of the discussion of all cases presented to the Personnel Committee in a given semester. Voting shall be in the form of a written ballot which includes the name of the Committee

member and her/his vote on each of the candidates under consideration. After tabulating the votes, the Chairman will report to the entire Committee how each member voted in each case. Ballots shall be retained in the candidate's file in the Dean's Office until a final decision has been reached on the case within the School and the University. The same voting procedure shall be followed in third-year reappointment cases.

Following receipt of the Personnel Committee's recommendations, the Dean shall determine the recommendation he or she shall make to the President and Provost regarding tenured appointments to associate or full professor. The Dean's written recommendation shall be made available to each member of the Personnel Committee eligible to vote on the case. Any member who disagrees with the recommendation may state her/his reasons for disagreement in writing. (A voting member who does not respond to the Dean's recommendation within five business days shall be considered to have agreed.) Upon review of any dissenting statements, the Dean may modify the recommendation, in which event the procedure is repeated. The Dean's preliminary and final recommendation shall be shown only to voting members of the Personnel Committee. The Dean then shall inform the candidate of the Dean's recommendation and shall transmit his or her recommendation, with the candidate's dossier, to the Provost or other appropriate University authorities together with the written statements of dissenting committee members.

Any tenure or promotion case that receives two-thirds support of the members of the Personnel Committee voting on that case shall be forwarded with the Dean's recommendation to the Provost for further consideration. It is expected that cases receiving support of less than two-thirds of the voting members of the Committee will be forwarded to the Provost only in compelling circumstance where there is clear evidence of extraordinary scholarly merit, as determined by the Dean.

For decisions involving non-tenured actions such as reappointments of assistant professors and non-tenured associate professors and the promotion of non-tenured assistant professors to associate professor without tenure, following the receipt of the Personnel Committee's recommendation the Dean shall determine which action he or she will take and draft a letter to the candidate conveying the decision. The Dean's letter shall be made available to each member of the Personnel Committee. Any member who disagrees with the recommendation may state his or her reasons for disagreement in writing. (A member who does not respond to the Dean's recommendation within five business days shall be considered to have agreed.) Upon review of any dissenting statements, the Dean may modify his or her letter, in which event the procedure is repeated. The Dean shall then send the letter to the candidate and subsequently offer to meet with her or him to discuss the decision. A favorable recommendation shall be forwarded to the appropriate University official.

## ***REVIEW OF UNFAVORABLE DECISIONS***

If a candidate is not recommended by the Dean to the President and Provost for reappointment, promotion and/or tenure, the following procedures will be followed in order:

1) First, the candidate may have the decision reviewed upon written request, which must be made to the Dean within 15 business days of the receipt of notice by the candidate of the unfavorable decision. In the request for a review, the candidate must state specifically the respects in which the original consideration was inadequate in the sense that certain important information relating to the candidate's accomplishments was not considered by the Personnel Committee and/or the Dean, that relevant criteria were not substantially employed in arriving at the recommendation, or that University policy on non-discrimination was violated.

2) Following consultation with the Personnel Committee, the Dean, together with any other voting members of the Personnel Committee that the Dean designates, shall, within a reasonable time, meet with the candidate and discuss the responses of the Personnel Committee and the Dean to the candidate's objections.

3) Within ten business days following the discussion, the candidate may request an outside review of the Dean's original or modified recommendation to the Provost or other appropriate University authorities. A three-person Review Committee shall be convened consisting of one member of the Personnel Committee appointed by the Dean and one member each from the personnel (or promotion and tenure review) committees of two Schools or Emory College departments whose disciplines have commonalities with the discipline of the candidate (e.g., Economics, Sociology, Mathematics, Law). One of the two members of the Review Committee from outside the Business School shall be designated as the Chair of the Review Committee. The focus of this external review committee shall be on issues of process as opposed to the substantive issues involving the merit of the case.

The Review Committee may interview the candidate, meet with the members of the Personnel Committee and the Dean, and have access to the candidate's reappointment, promotion and/or tenure dossier. If the Review Committee finds that the original consideration was inadequate or somehow improper (e.g., University policy on non-discrimination was violated), it shall state specifically wherein it found the original process to be inadequate or improper, state what remedies are necessary to assure appropriate consideration, and recommend that the case be reconsidered by the Personnel Committee and/or the Dean with the deficiencies remedied.

It is not the purpose of the review to substitute the Review Committee's judgment on the merits of the case for that of the Personnel Committee or the Dean. The report of the Review Committee should be addressed to the candidate and the Dean.

The Dean, in consultation with the Personnel Committee, shall prepare a letter of response to the report of the Review Committee indicating the Dean's decision regarding the appeal. The Dean's letter of response will be delivered to the candidate and the Provost. If the decision is adverse to the faculty member, he/she has 15 business days in which to appeal to the Provost in accordance with procedures established by the Provost.

***CONSISTENCY WITH EMORY UNIVERSITY POLICIES***

These procedures shall be construed so as not to conflict with Emory University policies and rules relating to appointment, reappointment, promotion and/or tenure and shall be subject to such policies and rules.

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