**W. P. Carey School of Business**

**School of Accountancy – Appointment, Annual Review, and Promotion Policy for Instructional Faculty**

**Adapted to Include Provost Policies: July 2015**

**Approved by the Dean: August 2015**

**W. P. Carey School of Business**

**School of Accountancy**

**Appointment, Annual Review, and Promotion Policy**

**for Instructional Faculty**

***Draft***

***July 24, 2015***

**Purpose**

This document outlines procedures related to the appointment, annual review, and promotion process of Instructional faculty within the School of Accountancy (hereafter, “SOA”). Instructional faculty include those classified as clinical faculty, lecturers, professors of practice, and faculty associates. This document supplements the School of Accountancy *Faculty Review Procedures*.

**Links to University Policies**

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| ACD 505-02: Faculty Membership, Appointment Categories, Ranks, and Titles | <http://www.asu.edu/aad/manuals/acd/acd505-02.html> |
| ---Process Guide Review for Renewal of Multi-Year Appointments | <http://provost.asu.edu/promotion_tenure/multiyear> |
| ACD 506-05: Faculty promotion | <http://www.asu.edu/aad/manuals/acd/acd506-05.html> |
| ---Process Guide for Promotion of Fixed-Term Faculty | <https://provost.asu.edu/sites/default/files/ProcessGuideFixed-TermFacultyPromotion_0.pdf>  |
| ACD 506-10: Annual evaluations of faculty | <http://www.asu.edu/aad/manuals/acd/acd506-10.html> |

**Clinical Faculty**

Clinical faculty are fixed-term faculty members who direct or participate in specialized university functions, including teaching, mentoring, advising, student internships, training, or other components of degree programs. The Dean of the W.P. Carey School of Business (hereafter, “Dean”) and the SOA Director (hereafter, “Director”) or their designees will assign to clinical faculty the specific roles and duties to be performed during the appointment period.

### Appointment

Clinical faculty members may be appointed at the rank of assistant, associate, or professor.[[1]](#footnote-1)

A position at the clinical assistant level will be filled through either a local or national search. An appointment at either clinical associate professor or clinical professor level will be made through a national search. Clinical faculty members are full-time faculty, but are not eligible for tenure or sabbatical leaves.

*Minimum Criteria for Clinical Faculty:*

All clinical faculty must meet the following minimum criteria:

1. Earned doctorate in Accounting or 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 Director.

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

Clinical associate professors who have developed substantial experience and demonstrated excellent teaching may be eligible for multiple-year appointments. Clinical professors who have developed substantial experience and demonstrated excellent teaching may be eligible for rolling multiple-year appointments. The offer or renewal of a multiple-year appointment is made at the determination of the Director and Dean, and is subject to the approval of the Provost.

**Annual Review**

Clinical faculty members, whether on year-to-year or multi-year contracts, will have their performance and portfolios reviewed annually by the SOA Personnel Advisory Team (hereafter, “SAPAT”) and the Director. Completed portfolios should be submitted to the SAPAT in accordance with the W.P. Carey School of Business calendar for personnel actions. A copy of the annual review will be forwarded to the Dean.

Consistent with the School of Accountancy *Faculty Review Procedures*, clinical faculty members preparing portfolios for annual review should include evidence showing *meritorious (or higher) performance*[[2]](#footnote-2) on the following dimensions: (i) teaching effectiveness, (ii) service (depending on the terms of appointment), and (iii) scholarship of teaching. It is the responsibility of the faculty member to present evidence supporting performance.

*Teaching Effectiveness*

Teaching effectiveness is evaluated both by in-class and other measures. Examples of teaching effectiveness include, but are not limited to, the following: (i) Student evaluation scores benchmarked to SOA in general and SOA same-course scores on the dimensions of course structure, learning climate, instructor involvement, academic rigor, and evaluation; (ii) Annual review and in-class peer review of instruction on the dimensions of course structure, learning climate, instructor involvement, academic rigor, and evaluation; (iii) Design of new course or substantive redesign; (iv) Design of teaching case or simulation added to course syllabus; (v) Preparation of innovative course materials; (vi) Publication of textbooks, chapters, or cases; (vii) Completion of program for professional development/pedagogy; (viii) Maintain professional licensure/obtain additional nationally recognized professional certification; and (ix) Successful teaching in a variety of different types or courses.

*Service*

Service is evaluated using a variety of internal and external measures, including, but not limited to, the following: (i) Active participation in academic unit or school committees related to instruction, (ii) Participation in national professional activities related to teaching, (iii) Leadership role/committee member in American Accounting Association or related conference/meeting, (iv) Leadership role/committee member in accounting professional organizations (e.g., American Institute of Certified Public Accountants, Association of Certified Fraud Examiners) or related conference/meeting, (v) Case competition mentoring/judging, (vi) Beta Alpha Psi advising or mentoring, and (vii) Supervising honors theses.

*Scholarship of Teaching*

Scholarship contributions include those through academic research journals as well as a number of other means. In sum, a clinical faculty member must maintain AACSB scholarship requirements. Examples of such contributions include, but are not limited to, the following: (i) Editorship/reviewer/authorship roles for any of the following: SOA Tier 1-3 journals, other peer reviewed journals, practitioner journals, scholarly text, or practitioner text; and (ii) Presentation at meeting/conference/university/ professional forum.

### Promotion

Candidates for promotion should present evidence of sustained and continuing excellence in teaching, service, and scholarship, including evidence regarding AACSB faculty qualification status.

Promotion is warranted only if and when the achievements outlined below 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.

Application for and promotion to advanced rank should follow W. P. Carey School promotion procedures and time schedules established by the university.

### *Promotion Criteria for Clinical Associate Professor:*

In addition to meeting the minimum criteria for assistant clinical faculty members, associate clinical professors typically demonstrate all of the following:

* The equivalent of five years of full-time teaching in higher education. A significant amount of this must be in courses at the four-year institution level 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 scholarly research accomplishments within the discipline or substantial relevant professional experience in business.
* Teaching. Candidates for promotion should present a record of sustained long- term excellence and diversity in teaching (see criteria outlined in the Annual Review section). 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.
* 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) (see criteria outlined in the Annual Review section). 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.
* 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 (see criteria outlined in the Annual Review section).

### *Promotion Criteria for Clinical (Full) Professor*

In addition to meeting the minimum criteria for associate clinical professors, clinical professors typically demonstrate all of the following:

* The equivalent of 12 years of full-time teaching in higher education. A significant amount of this must be in courses at the four-year institution level 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 scholarship research accomplishments within the discipline or substantial relevant professional experience in business.
* Continued excellence on the dimensions of Teaching, Service, and Scholarship of Teaching as outlined above.

**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 SOA and School.
2. Evaluations by SAPAT.
3. Transmittal letters of the 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.

**Lecturers**

Lecturers are fixed-term faculty members with responsibilities that may include teaching, service responsibilities, supervising supplemental kinds of student learning, professional development, and/or administrative duties related to teaching.

The Dean and the Director or their designees will assign to lecturers the specific roles and duties that they will perform during the appointment period.

### Appointment

Lecturers may be appointed at the rank of lecturer, senior lecturer, or principal lecturer.

A position at the lecturer rank can be filled through either a local or national search. An appointment at either senior or principal lecturer rank will be made through a national search. Lecturers are full-time faculty, but they are not eligible for tenure or sabbatical leaves.

*Minimum Criteria for Lecturer Ranks*

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

1. Earned master in Accounting or a related field.
2. Have teaching experience at the college level in Accounting or a related field, or equivalent experience.
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.

Senior lecturers who have developed substantial experience and demonstrated excellent teaching may be eligible for multiple-year appointments. Principal lecturers who have developed substantial experience and demonstrated excellent teaching may be eligible for rolling multiple-year appointments. The offer or renewal of a multiple-year appointment is made at the determination of the Director and Dean, and is subject to the approval of the Provost.

**Annual Review**

Lecturers, whether on year-to-year or multi-year contracts, will have their performance and portfolios reviewed annually by SAPAT and the Director. Completed portfolios should be submitted to the SAPAT in accordance with the W.P. Carey School of Business calendar for personnel actions. A copy of the annual review will be forwarded to the Dean.

Consistent with the SOA *Faculty Review Procedures*, lecturers preparing portfolios for annual review should include evidence showing *meritorious (or higher) performance* on the following dimensions: (i) teaching effectiveness, and (ii) service (depending on the terms of appointment). It is the responsibility of the faculty member to present evidence supporting performance.

*Teaching Effectiveness*

Teaching effectiveness is evaluated both by in-class and other measures. Examples of teaching effectiveness include, but are not limited to, the following: (i) Student evaluation scores benchmarked to SOA in general and SOA same-course scores on the dimensions of course structure, learning climate, instructor involvement, academic rigor, and evaluation; (ii) Annual review and in-class peer review of instruction on the dimensions of course structure, learning climate, instructor involvement, academic rigor, and evaluation; (iii) Design of new course or substantive redesign; (iv) Design of teaching case or simulation added to course syllabus; (v) Preparation of innovative course materials; (vi) Publication of textbooks, chapters, or cases; (vii) Completion of program for professional development/pedagogy; (viii) Maintain professional licensure/obtain additional nationally recognized professional certification; and (ix) Successful teaching in a variety of different types or courses.

*Service*

Service is evaluated using a variety of internal and external measures, including, but not limited to, the following: (i) Active participation in academic unit or school committees related to instruction, (ii) Participation in national professional activities related to teaching, (iii) Leadership role/committee member in American Accounting Association or related conference/meeting, (iv) Leadership role/committee member in accounting professional organizations (e.g., American Institute of Certified Public Accountants, Association of Certified Fraud Examiners) or related conference/meeting, (v) Case competition mentoring/judging, (vi) Beta Alpha Psi advising or mentoring, and (vii) Supervising honors theses.

### Promotion

Candidates for promotion should present evidence of sustained and continuing excellence in teaching and service, including evidence regarding AACSB faculty qualification status.

Promotion is warranted only if and when the achievements outlined below 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.

Application for and promotion to advanced rank should follow W. P. Carey School promotion procedures and time schedules established by the university.

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.

### *Promotion Criteria for Senior Lecturer:*

In addition to meeting the minimum criteria for lecturers, senior lecturers typically demonstrate all of the following:

* The equivalent of five years of full-time teaching in higher education. A significant amount of this must be in courses at the four-year institution level 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 scholarly research accomplishments within the discipline or substantial relevant professional experience in business.
* Teaching. Candidates for promotion should present a record of sustained long- term excellence and diversity in teaching (see criteria outlined in the Annual Review section). 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.
* 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) (see criteria outlined in the Annual Review section). 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.

### *Promotion Criteria for Principal Lecturer*

In addition to meeting the minimum criteria for associate clinical professors, clinical professors typically demonstrate all of the following:

* The equivalent of 12 years of full-time teaching in higher education. A significant amount of this must be in courses at the four-year institution level 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 scholarship research accomplishments within the discipline or substantial relevant professional experience in business.
* Continued excellence on the dimensions of Teaching and Service as outlined above.

**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 SOA and School.
2. Evaluations by SAPAT.
3. Transmittal letters of the 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.

**Professors of Practice**

Professors of practice are fixed-term faculty members who are not eligible for promotion. Their expertise, achievements, and reputation developed over a sustained period of time qualify them to be distinguished professionals in an area of practice or discipline, although they may not have advanced academic credentials or experience. The responsibilities of this position are teaching courses, seminars, and independent studies to undergraduate and graduate students or other duties that the Dean or the Director determine are appropriate.

The Dean and the Director or their designees will assign to professors of practice the specific roles and duties to be performed during the appointment period.

### Appointment

The professor of practice position will be filled through either a local or national search. Professors of practice must maintain their faculty qualifications, as determined by the W.P. Carey School of Business for AACSB accreditation purposes.

**Annual Review**

Professors of practice will have their performance and portfolios reviewed annually by the SAPAT and the Director. Completed portfolios should be submitted to SAPAT in accordance with the W.P. Carey School of Business calendar for personnel actions. A copy of the annual review will be forwarded to the Dean.

Consistent with the School of Accountancy *Faculty Review Procedures*, professors of practice preparing portfolios for the annual review should include evidence showing meritorious performance on the following dimensions: (i) teaching effectiveness, and (ii) contributions to service (depending on the terms of appointment).

*Teaching Effectiveness*

Teaching effectiveness is evaluated both by in-class and other measures. Examples of teaching effectiveness include, but are not limited to, the following: (i) Student evaluation scores benchmarked to SOA in general and SOA same-course scores on the dimensions of course structure, learning climate, instructor involvement, academic rigor, and evaluation; (ii) Annual review and in-class peer review of instruction on the dimensions of course structure, learning climate, instructor involvement, academic rigor, and evaluation; (iii) Design of new course or substantive redesign; (iv) Design of teaching case or simulation added to course syllabus; (v) Preparation of innovative course materials; (vi) Publication of textbooks, chapters, or cases; (vii) Completion of program for professional development/pedagogy; (viii) Maintain professional licensure/obtain additional nationally recognized professional certification; and (ix) Successful teaching in a variety of different types or courses.

*Service*

Service is evaluated using a variety of internal and external measures, including, but not limited to, the following: (i) Active participation in academic unit or school committees related to instruction, (ii) Participation in national professional activities related to teaching, (iii) Leadership role/committee member in American Accounting Association or related conference/meeting, (iv) Leadership role/committee member in accounting professional organizations (e.g., American Institute of Certified Public Accountants, Association of Certified Fraud Examiners) or related conference/meeting, (v) Case competition mentoring/judging, (vi) Beta Alpha Psi advising or mentoring, and (vii) Supervising honors theses.

### Promotion

### Professors of practice are not eligible for promotion.

**Faculty Associates**

Faculty associates are appointed on semester or annual, fixed term appointments, are not eligible for promotion, and are not members of the Academic Assembly. Individuals in this rank are qualified by training and experience to teach university-level courses.

The Dean and the Director or their designees will assign to faculty associates the specific roles and duties to be performed during the appointment period.

### Appointment

### The faculty associate position will be filled through either a local or national search. Faculty associates must maintain their faculty qualifications, as determined by the W. P. Carey School of Business for AACSB accreditation purposes.

**Annual Review**

Faculty associates will have their performance and portfolios reviewed annually by the SAPAT and the Director. Completed portfolios should be submitted to SAPAT in accordance with the W. P. Carey School of Business calendar for personnel actions. A copy of the annual review will be forwarded to the Dean.

Faculty associates preparing portfolios for the annual review should include evidence regarding teaching effectiveness.

### *Teaching effectiveness.*

### Teaching effectiveness is evaluated both by in-class and other measures. Examples of teaching effectiveness include, but are not limited to, the following: (i) Student evaluation scores benchmarked to SOA in general and SOA same-course scores on the dimensions of course structure, learning climate, instructor involvement, academic rigor, and evaluation; (ii) Annual review and in-class peer review of instruction on the dimensions of course structure, learning climate, instructor involvement, academic rigor, and evaluation; (iii) Design of new course or substantive redesign; (iv) Design of teaching case or simulation added to course syllabus; (v) Preparation of innovative course materials; (vi) Publication of textbooks, chapters, or cases; (vii) Completion of program for professional development/pedagogy; (viii) Maintain professional licensure/obtain additional nationally recognized professional certification; and (ix) Successful teaching in a variety of different types or courses.

### Promotion

### Faculty associates are not eligible for promotion.

1. The “professor” level is sometimes referred to as “full professor.” Throughout this document we use the term professor; this is consistent with (1) the School of Accountancy *Faculty Review Procedures* and (2) ASU’s ACD 505-02: Faculty Membership, Appointment Categories, Ranks, and Title. [↑](#footnote-ref-1)
2. The School of Accountancy *Faculty Review Procedures* document requires classification of performance into (0) unsatisfactory, (1) satisfactory, (2) satisfactory—merit (here, meritorious), (3) satisfactory—medium high merit, and (4) satisfactory—high merit. [↑](#footnote-ref-2)