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

**Department of Finance – Appointment, Annual Review, and Promotion Policy: Instructors, Faculty Associates, Lecturers, Clinical Faculty and Professors of Practice**

**Adapted to Include Provost Policies: June 2019**

**Approved by the Dean: July 2019**

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

**Department of Finance**

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

**Instructors, Faculty Associates, Lecturers,**

**Clinical Faculty and Professors of Practice**

**Adopted by Department of Finance Faculty: October 14, 2013**

**Revised March 24, 2014**

**Revised June 3, 2019**

**Approved by the W. P. Carey School of Business: July 29, 2019**

**Purpose**

This policy outlines the procedures related to the appointment, promotion, and review process of non-tenure track faculty within the Department of Finance who are classified as instructors, faculty associates, lecturers, clinical faculty and professors of practice[[1]](#footnote-1). This document relies on the *W. P. Carey School of Business Faculty Evaluation Policies, Guidelines, and Procedures* document approved January 28, 2015.

**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> |
| ACD 506-05: Faculty promotion | <http://www.asu.edu/aad/manuals/acd/acd506-05.html> |
| ACD 506-10: Annual evaluations of faculty | <http://www.asu.edu/aad/manuals/acd/acd506-10.html> |

**Instructors and Faculty Associates:**

**Appointment, Annual Review and Promotion Policy**

Instructors and faculty associates are fixed-term appointments, not eligible for promotion, and are not members of the Academic Assembly. Their sole responsibility is delivering excellent teaching. One-year appointments may be renewed for subsequent terms of appointment, but instructors and faculty associates are not eligible for multi-year appointments.

**Annual Review Process[[2]](#footnote-2):**

The review period for instructors and faculty associates is based upon the W. P. Carey School of Business and University calendar for personnel actions. They will have their teaching performances reviewed each spring semester by the Department of Finance Personnel Steering Committee and Department Chair. A copy of the performance review and the Department Chair’s recommendation on reappointment will be forwarded to the Dean of the W. P. Carey School of Business.

**Appointment, Retention and Promotion of Ranked Instructional Faculty:**

Clinical faculty members must 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 members may be either nine-month or twelve-month.

* Initial appointment of lecturers or clinical assistant ranks may be filled through either a local or national search.
* Initial appointment of advanced rank non-tenure track faculty must be made through a national search.
* 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.

**Lecturers:**

**Appointment, Annual Review and Promotion Policy**

Lecturers are qualified, by education and training, to teach undergraduate courses and, in some instances, masters level classes. See ASU policy ACD 505-02 for lecturer rank descriptions.

**Minimum Criteria for Lecturer Ranks:**

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

* Earned master’s degree in a related field.
* Have teaching experience at the college level in a related field.
* 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.

**Criteria for Lecturer:**

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

**Criteria for Senior Lecturer:**

In addition to meeting the minimum criteria for all lecturer ranks, senior lecturers typically have a minimum of five consecutive years of teaching service that have been successfully completed and reviewed. Exceptions can be made on a case-by-case basis for strong candidates with a strong record of teaching service elsewhere. Additional requirements for promotion are outlined below.

**Criteria for Principal Lecturer:**

In addition to meeting the minimum criteria for all lecturer ranks, principal lecturers typically have a minimum of seven consecutive years of teaching service that have been successfully completed and reviewed. Exceptions can be made on a case-by-case basis for strong candidates with a strong record of teaching service elsewhere. Additional requirements for promotion are outlined below.

**Appointment:**

Lecturer/senior lecturer/principal lecturer, at a minimum, holds a Masters of Business Administration (MBA) degree or a masters of science degree in a finance related field. The appointment is for one academic or fiscal year with duties and responsibilities assigned by the Department Chair or Chair’s designee. In the early spring of the appointment year, the lecturer will proceed through an evaluation for reappointment determination.

**Annual Review Process[[3]](#footnote-3):**

Review periods for lecturers/senior lecturers/principal lecturers are based upon the W. P. Carey School of Business and University calendar for personnel actions. Lecturers/senior lecturers/principal lecturers will have their performances and portfolios reviewed each spring semester by the Department of Finance Personnel Steering Committee and Department Chair. A copy of the performance review and the Department Chair’s recommendation on reappointment will be forwarded to the Dean of the W. P. Carey School of Business.

Lecturers/senior lecturers/principal lecturers preparing portfolios for annual review will include evidence of performance in teaching effectiveness (including consideration of student evaluation scores), scholarship of teaching, and service. These areas are elaborated upon next and later in the promotion discussion.

Scholarship of teaching will be examined on the basis of:

* Incorporating research into teaching
* Applying scholarly theory and/or findings in activities directed at practitioners
* Systematically improving teaching
* Publishing or making presentations on teaching.

Active participation in service roles related to teaching include:

* Participation in Department of Finance or W. P. Carey School of Business committees related to instruction, and
* Participation in national professional activities related to the faculty member’s teaching, such as continuing education or presentations at relevant national meetings.

**Promotion:**

For year-to-year appointments, the extensive review for promotion will occur in the spring semester of the appointment year. For multi-year appointments, the extensive review for promotion will occur in the spring semester of the year prior to the final year of the contract.

The initial appointment is usually at the lecturer rank and usually is a year-to-year appointment. A person promoted to (or hired into) the senior lecturer rank is eligible for a multiple-year appointment of up to three years if requested by the Dean and approved by the Provost. A person promoted to (or hired into) principal lecturer rank is eligible for a three-year rolling multiple-year appointment if requested by the Dean and approved by the Provost.

The Department of Finance Personnel Steering Committee will make an annual recommendation to the Department Chair regarding reappointment. Candidates for promotion will present a current résumé and evidence of sustained and continuing excellence in teaching, scholarship of teaching, and service, since the previous promotion. However, the primary criterion for the evaluation of lecturers, at all levels, is teaching effectiveness (ABOR 6-201.I-4).

* **Teaching**. Candidates for promotion will present a record of sustained excellence and effectiveness in teaching. Such evidence must include, but is not limited to, student evaluations[[4]](#footnote-4). Other evidence of effectiveness might include peer reviews, teaching awards, new course development, and course innovations. A record of continuing success in mentoring students, supervising honors theses, independent studies, or internships, and advising students should also be considered.

Candidates for promotion should summarize their record in the form of a teaching portfolio. This portfolio includes a statement of teaching philosophy, describes their contribution to the teaching mission of the Department of Finance and the W. P. Carey School of Business, and presents student evaluations of teaching performance for at least the past three years. The student evaluation document should summarize trimmed mean ratings for each of the five evaluation categories and the overall average, and show comparisons to similar category averages for the Department.

* **Scholarship of Teaching**. Candidates for promotion should present evidence of scholarship competence and accomplishment. Scholarly accomplishments expected of a candidate for promotion may vary by the role assigned the candidate by the Department Chair. However, all candidates should present evidence of a continuing commitment to the scholarship of teaching. Such evidence might include course development, instructional innovation, membership in professional associations, participation and presentation at professional meetings (particularly those relevant to pedagogical development), and continuing education.
* **Service – Internal & External Contributions**. Candidates for promotion should present evidence of sustained service contributions to the mission of the Department of Finance, W. P. Carey School of Business, and/or University (internal service) and to the profession and community at large (external service). The roles assigned the lecturer within the Department of Finance may be considered in evaluating the magnitude of accomplishment expected in service overall and in internal and external service. The emphasis in evaluation of service is on outcomes rather than process *per se*.

Evidence of internal service contributions includes records of accomplishment in administrative roles, committee work, and advisement to student groups and individuals. Evidence of external service include active participation and/or leadership in professional associations, representing the Department of Finance to external constituents, and professional service linking the University to the larger community.

**Clinical Faculty and Professors of Practice:**

**Appointment, Annual Review and Promotion Policy**

Clinical faculty and professors of practice are qualified by training, education, and/or experience to teach undergraduate, graduate, and executive education courses or other specialized functions as required. The role of each clinical faculty or professor of practice member must be clearly articulated and should advance the goals of the W. P. Carey School of Business and the Department of Finance. The Dean of the W. P. Carey School of Business and the Department Chair (or their designees) will assign to clinical faculty and professors of practice the specific roles and duties that faculty members will perform during the appointment period.

Consistent with the mission articulated for a particular clinical professor or professor of practice, workload performance assignments will be provided to and discussed with the individual faculty member by the Department Chair. The workload for a faculty member should reflect full-time employment status. The general guidelines for developing workload performance agreements for tenure-track faculty members will be applied to clinical professors and professors of practice.

**Minimum Criteria for Clinical Faculty:**

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

* Earned doctorate in a related field.
* 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.

**Criteria for Clinical Assistant Professor:**

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

**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:

* + - * The equivalent of five years of full-time teaching. 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 scholarly research or teaching accomplishments within the discipline or substantial relevant professional experience in business.
			* 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 of courses.
			* 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).
			* Additional requirements for promotion are outlined below.

**Criteria for Clinical Full Professor:**

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

* The equivalent of seven years of full-time teaching. A significant amount of this must be in in fields related to the W. P. Carey assignment of the faculty member. The guidelines of seven years may be reduced on a case-by-case basis provided the candidate has significant scholarly research or teaching accomplishments within the discipline or substantial relevant professional experience in business.
* 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.
* Demonstrated leadership in curriculum development.
* 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).
* Additional requirements for promotion are outlined below.

### Appointment:

The same recruitment procedures used to hire tenure-track faculty members will be used to hire clinical faculty members and professors of practice. These faculty members are full-time faculty but they are not eligible for tenure or sabbatical leaves.

The initial appointment for clinical faculty is usually at the entry rank and usually is a year-to-year appointment. Depending on prior academic or business experience, clinical faculty may be appointed at the rank of associate or full professor. Professors of practice are appointed as such with no other promotional ranks.

The Department of Finance Personnel Steering Committee will make an annual recommendation to the Department Chair regarding reappointment.

**Annual Review Process[[5]](#footnote-5):**

Clinical faculty members and professors of practice, whether on year-to-year or multi-year contracts, will have their performance and portfolios reviewed by the Department of Finance Personnel Steering Committee and Department Chair each year during the spring semester. Completed portfolios should be submitted to the Department each year according to the published University calendar for personnel actions.

Completed portfolios should be submitted to the Department Personnel Steering Committee in accordance with the W. P. Carey School of Business calendar for personnel actions. This extensive review will follow appropriate Department of Finance procedures, including review by the Department of Finance Personnel Steering Committee and Department Chair. A copy of the review will be forward to the Dean of the W. P. Carey School of Business.

Clinical faculty members and professors of finance preparing portfolios for the annual review should include evidence of performance in teaching effectiveness (including consideration of student evaluation scores), scholarship of teaching, and evidence indicating appropriate contributions in service (depending on the terms of appointment).

Scholarship of teaching will be examined on the basis of:

* Incorporating research into teaching
* Applying scholarly theory and/or findings in activities directed at practitioners
* Systematically improving teaching; and/or
* Publishing or making presentations on teaching.

Active participation in service roles related to teaching can include:

* Participation in Department of Finance or W. P. Carey School of Business committees related to instruction, and
* Participation in national professional activities related to the faculty member’s teaching, such as continuing education or presentations at relevant national meetings.

### Promotion:

### Criteria for promotion include an expectation of a minimum of five years’ experience for promotion from the assistant rank to the associate rank. A minimum of at least seven additional years is expected for promotion from associate to professor rank. This service should be at ASU; however, exceptions can be considered on a case-by-case basis for candidates with a strong record of service elsewhere.

A person promoted to (or hired into) the associate clinical rank is eligible for a multiple-year appointment of up to three years if requested by the Dean and approved by the Provost. A person promoted to the professor clinical rank is eligible for a three-year rolling multiple-year appointment if requested by the Dean and approved by the Provost.

### Clinical faculty members and professors of practice on single-year contracts will have an extensive review in the spring semester of the appointment year. Clinical faculty members and professors of practice on multi-year contracts will have an extensive review in the spring semester prior to the final year of their contract for purposes of renewal. Specific criteria for promotion follow.

### Specific Promotion Criteria for Clinical Associate Professor:

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

* The equivalent of five years of full-time teaching. A significant amount of this time must be in fields related to the W. P. Carey School of Business assignment of the faculty member. The guideline of five years may be reduced on a case-by-case basis (e.g., substantial relevant professional experience in business, substantial relevant teaching experience outside of ASU).
* Evidence demonstrating appropriate contributions in service (depending on the terms of appointment), as noted above under the “Annual Review Process”.
* Significant excellence in teaching, as demonstrated by good teaching evaluations, peer reviews, 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 of courses.

### Specific Promotion Criteria for Clinical Full Professor:

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

* The equivalent of seven years of full time teaching at ASU. A significant amount of this time must be in fields related to the W. P. Carey School of Business assignment of the faculty member. The guideline of seven years may be reduced on a case-by-case basis (e.g., substantial relevant professional experience in business, substantial relevant teaching experience outside of ASU).
* Sustained long-term excellence and diversity in teaching, as demonstrated by good teaching evaluations, peer reviews, 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 of courses.
* Demonstrated leadership in curriculum development.
* Demonstrated leadership in service roles related to teaching.

**Criteria for Promotion:**

Candidates for promotion should present evidence of sustained and continuing excellence in teaching, service, and scholarship since the previous promotion, 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

* **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.
* **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.
* **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.

**Requests for Promotion:[[6]](#footnote-6)**

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:

* The appropriate form provided by the Office of the University Provost along with any additional forms used by the academic unit and school
* Evaluations by personnel committees
* Transmittal letter of the Chair/Director and Dean
* Summary of teaching effectiveness, including both student and peer teaching evaluations
* Self-assessment
* 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.

1. Clinical faculty, lecturers, and professors of practice do not accrue time towards eligibility for tenure or sabbatical leaves. [↑](#footnote-ref-1)
2. For more complete information, refer to the Department of Finance policy entitled “Faculty Annual Performance and Post Tenure Review Guidelines”. [↑](#footnote-ref-2)
3. For more complete information, refer to the Department of Finance policy entitled “Faculty Annual Performance and Post Tenure Review Guidelines”. [↑](#footnote-ref-3)
4. Student evaluations of faculty teaching represent a required indicator of rigor but are not sufficient alone. The Department of Finance Personal Steering Committee and the Department Chair are encouraged also to consider grade distributions when analyzing these evaluations. [↑](#footnote-ref-4)
5. For more complete information, refer to the Department of Finance policy entitled “Faculty Annual Performance and Post Tenure Review Guidelines”. [↑](#footnote-ref-5)
6. For more information, refer to the W. P. Carey School of Business guidelines entitled, “Faculty Evaluation Policies, Guidelines, and Procedures” and the “Process Guide for Fixed-term Faculty Promotion.” [↑](#footnote-ref-6)