Thunderbird School of Global Management

Promotion and Tenure Criteria

We made some important resolutions during the School's first year. One was that this School would always keep itself free to experiment both in subject matter and in educational techniques. Another was that the School would always keep itself wide awake to new developments and to new information. Third, we decided to make the instruction as practical and realistic as we possibly could without sacrificing an understanding of fundamental principles, which are always very important to realism.

Barton Kyle Yount
Founding President, 1946

Approved: 30 March 2011

PROMOTION AND TENURE CRITERIA

A primary goal of Thunderbird School of Global Management is to be considered among the top international business management schools globally. Hence, policies governing faculty promotion must support the goal of academic excellence endorsed by ASU and the Thunderbird School of Global Management. The School will achieve its goals only if individuals who demonstrate a capacity for superior performance are advanced in the faculty.

Promotion—Overview

The procedures relevant to promotion to all tenure eligible faculty ranks should begin with the candidate. The candidate should initiate these procedures, in counsel with the Associate Director General, by submitting in writing a request for promotion consideration. All materials to be considered must be submitted by dates provided each year by Arizona State University.

A candidate for promotion must make available to the Associate Director General and PERCOM all data regarding his/her performance in the areas of teaching, intellectual contributions, service, and other professional activities by September 1. It is the responsibility of the candidate to provide a complete accounting of this performance data during his/her employment period at Thunderbird, and at any other academic institutions. Materials to be submitted are the same as those for consideration for any academic rank promotion. Candidates for promotion to Associate and Full Professor are required to submit outside of ASU reviews.

The Personnel Committee (PERCOM) will submit its formal recommendation to the Associate Director General in line with the prescribed ASU dates. The Associate Director General shall present a separate opinion to the CEO and Director General in addition to the committee's consensus opinion. The file is then submitted to the Provost's Office for a final decision. The CEO and Director General will inform the candidate of the promotion decision by the prescribed ASU date.

General criteria:

- **Assistant Professor**. Faculty appointed as Assistant Professors should be in the initial stage of their academic career, and are appointed on the basis of their potential for professional development and contribution to School goals.

- **Associate Professor**. In general, promotion from Assistant to Associate Professor will be merited where a candidate has consistently demonstrated a high level of competence in the classroom and course development related activities, a capacity for scholarly writing, and has

achieved significant professional recognition. Consistent, quality service to the institution is also important.

- **Professor**. The general criteria for promotion to Full Professor is that faculty have achieved a level of professional accomplishment significantly higher than that expected for becoming a tenured Associate Professor at Thunderbird.

  A person considered for appointment as Professor should have a lengthy record of demonstrated excellence in his/her field. Promotion to Professor should be awarded to individuals who are clearly outstanding faculty members and who have made outstanding professional and scholarly contributions to his/her field. Under no circumstances should promotion to Professor be granted solely on the basis of duration of employment, as this promotion should be reserved to recognize outstanding accomplishments.

  Given the expectation that Full Professors will exercise organizational and service leadership, an already demonstrated record of doing so and/or a convincing potential to do so, must play some role in the decision to promote a faculty member to Full Professor. Promotion to Full Professor, then, also involves a review of the candidate's performance on service.

Review Process

The review and included materials follow the procedures set out in ACD 506-05 (Faculty Promotion) and those specified by the Office of the Provost (Faculty Promotion Process Guide). In the event that the process changes, the Process Guide will take precedence over these guidelines.

The evaluation of faculty for promotion is an important decision that must be carefully and thoroughly deliberated. After the candidate notifies the Associate Director General of his/her intent, and documents and other information to support the candidate's position have been distributed, a four-stage evaluation process will be followed:

1. PERCOM Evaluation: The recommendation and accompanying rationale will be forwarded to the Associate Director General.

2. Associate Director General Evaluation: The Associate Director General will make his/her recommendation which will be forwarded to the CEO and Director General.

3. The CEO and Director General Evaluation: The CEO and Director General's recommendation will be forwarded to the Provost's Office.

4. The Provost's Office Evaluation: The Provost or his/her designee will make the final determination.

**GUIDELINES FOR FACULTY PROBATIONARY
REVIEW, PROMOTION, AND TENURE: EXPECTATIONS AND OUTCOMES**

These guidelines concern the process, standards, and criteria for faculty probationary review (Section 1), and promotion and/or tenure (Section 2). It is the responsibility of each individual faculty member to be familiar with them.

Definitions of performance, and criteria of effectiveness, in teaching, intellectual contributions, and service must support this mission, while taking into account the competitive environment of our industry, the distinctiveness of Thunderbird and the norms of our academic professions.

Although the *relative* importance of teaching, intellectual contributions, and service may vary depending on competitive demands and strategic imperatives of Thunderbird, *in general*, the teaching performance of the faculty, as a whole, is the dimension of performance most necessary for the fulfillment of the School's mission. However, excellence in teaching performance of our faculty must be complemented by strong collective performances on intellectual contributions and service. Intellectual contributions and service to the institution and profession are important factors both in and of themselves, and how they can enhance the quality of teaching, as well. Intellectual contributions can also bring the school valuable external visibility and credibility

1   PROBATIONARY FACULTY PERFORMANCE REVIEW

While a system of variable-year contracts exists at ASU, most tenure-track appointments shall consist of two separate three-year contracts (for a probationary period of 6 years). Prior to the end of the third year of the first contract, PERCOM, in conjunction with the Associate Director General, shall review the faculty member for the next contract renewal or nonrenewal. Such review shall be completed, and any decisions communicated to the faculty member, prior to the end of the third year of the contract. Failure to secure a renewal of a three year contract will result in the issuance of a terminal one year contract or other alternative as agreed upon by the probationary faculty member and the CEO and Director General. Contract renewal beyond the 6 year probationary period is subject to the Tenure/Promotion process which must be completed by the end of the probationary period. Failure to achieve tenure by the end of the probationary period will result in the issuance of a 1 year terminal contract or other alternative as agreed upon by the probationary faculty member and the CEO and Director General.

The Associate Director General and/or CEO are expected to counsel untenured, tenure-track faculty at least once every year in a formal manner about their progress. In this role the Associate Director General and/or CEO should solicit the advice and feedback from other faculty members in that same area where the probationary (untenured) faculty member resides.

Probationary contract reviews should take into account whether the faculty member is making progress toward meeting the criteria for tenure. Upon completion of the first review each probationary faculty member will receive a letter which is meant to clarify, as best possible, the progress made toward tenure and what additional activities/outcomes are necessary to enhance the prospects for future tenure. The letter will serve the purpose of clarification of current status and future needs and not a listing of specific activities which will guarantee tenure in the future. Actual granting of tenure rests with the process established for Tenure and Promotion. Probationary reviews must also consider:

1. The first three year review (during the third year of service) must recognize a balanced assessment of both intellectual contributions (including work in progress such as manuscripts not yet submitted or accepted) and teaching, with an appropriate level of service. Failure to receive an offer of a second three year contract will result in the issuance of a one year terminal contract for the seventh year of service or other alternative as may be agreed upon by the probationary faculty member and the CEO and Director General.

2. The second three year review (during the 6th and final year of the probationary period) will be held unless the faculty member has received tenure prior to that time. This review will be carried out under the standards related to tenure. Failure to receive tenure will result in the issuance of a one year terminal contract for the tenth year of service or other alternative as may be agreed upon by the probationary faculty member and the CEO and Director General.

2   TENURE AND PROMOTION

A primary goal of Thunderbird is to be considered among the top international business management schools globally. Hence, policies governing faculty promotion and tenure must support the goal of academic excellence endorsed by Thunderbird. The School will achieve its goals only if individuals who demonstrate a capacity for superior performance are advanced in the faculty.

2.1   Promotion—Overview

The procedures relevant to promotion to all ranks should begin with the candidate. The candidate should initiate these procedures, in counsel with the Associate Director General, by submitting in writing, prior to May 15, a request for promotion consideration to the Associate Director General. All materials to be considered must be submitted by August 15 or sooner.

For purposes of evaluating candidates for promotion to Professor, only individuals of the rank of Professor shall serve on the appropriate review committee(s). If a committee member is below this rank, s/he must step down (for the purpose of consideration of promotion to Professor only) and be replaced by another member of his/her area of study holding the rank of Professor or above, appointed by the Associate Director General. If the area of study does not have a member holding the rank of Professor available for committee membership, the Associate Director General shall draw upon other full-time faculty holding the rank of professor to complete the committee roster.

A candidate for promotion must make available to the Associate Director General and PERCOM all data regarding his/her performance in the areas of teaching, intellectual contributions, service, and other professional activities by August 15. It is the responsibility of the candidate to provide a complete accounting of this performance data during his/her employment period at Thunderbird, and any other academic institutions. In the case of promotion to both Associate Professor and Full Professor, external reviews of a candidate's credentials are required.

The PERCOM will submit its formal recommendation to the Associate Director General by October 1. The Associate Director General shall present a separate opinion to the CEO and Director General in addition to the committee's consensus opinion. The Associate Director General and PERCOM reports will be forwarded to the CEO and Director General by November 1.

2.2   Tenure—Overview

Consideration for tenure at Thunderbird is based upon a faculty member's total performance both before and after appointment to the faculty at Thunderbird. Standards to be used as a guide for evaluation are articulated in the Section, "Standards for Faculty Tenure." A favorable decision on a candidate's tenurability shall automatically also convey a promotion to Associate Professor..

Consideration for tenure does not assure that tenure will be granted. ASU will give official notice of the granting or withholding of tenure no later than the end of the faculty member's

probationary period of service, with the understanding that any individual who is denied tenure at that time may continue for one more academic year as a faculty member of the School (except where a faculty member is dismissed "for cause"). This practice does not, of course, create an obligation for any faculty member to remain at the School for this additional year.

If a faculty member becomes sick, takes maternity leave, or for some other approved reason must interrupt their tenure clock they must request so in writing to the CEO and Director General who will confirm in writing the time period for which the tenure clock will stop and when it will start again.

2.3   Procedures - **Review Process**

The evaluation of faculty for promotion and/or tenure is an important decision that must be carefully and thoroughly deliberated. After the candidate notifies the Associate Director General of his/her intent and documents and other information to support the candidate's position have been distributed a three-stage evaluation process will be followed:

1. PERCOM Evaluation: The recommendation and accompanying rational will be forwarded to the Associate Director General and the CEO.

2. Associate Director General Evaluation: The Associate Director General will make his/her recommendation which will be forwarded to the CEO.

3. The CEO's Evaluation: The CEO's recommendation is forwarded to the Provost.

2.3.1   PERCOM

For tenure decisions, the PERCOM shall be composed of tenured faculty persons respected by their colleagues. If a committee member is untenured, s/he shall step down solely for purposes of evaluating the candidate for tenure, and be replaced by a tenured member of his/her area of study, appointed by the Associate Director General.

Votes on candidates going up for promotion to full professor will be cast only by peers who already hold the rank of full professor. If the current area representative on PERCOM is of a lessor rank PERCOM Chair and the Associate Director General will seek counsel/vote from another faculty member who holds the rank of full professor in the same area. Members of the Associate level cannot vote in such cases.

2.3.1.1 PERCOM Responsibilities

PERCOM is advisory to the Associate Director General, the CEO and Director General. The Committee shall consider all data pertinent to the tenure decision. Gathering of such data is primarily the responsibility of the tenure candidate, with advice from the Associate Director General.

2.3.2   Data Required

At a minimum, a tenure candidate should submit the following materials for review:

- A current curriculum vita.

- Written evaluations accumulated during the candidate's professional career at Thunderbird and elsewhere, covering any aspect of his/her professional endeavors, including:

– Student evaluations of teaching;

– Peer evaluations of teaching and/or scholarly writing with a citation count;

– Participant and peer evaluations of management development, education, or other professional activities;

– Evaluations of the candidate's contributions by external (non-Thunderbird) reviewers. Each candidate should submit a list of six possible external reviewers. The Associate Director General is also responsible for designating six names (other than those designated by the candidate) as possible external reviewers. The candidate should note the nature of his/her relationship with each of the names listed. Initially, eight external reviewers will be contacted, with 50% chosen from the candidates' list and 50% chosen from the list compiled by the Associate Director General. At least six external reviews need to be returned. If that does not happen with the initial solicitation, additional requests will be mailed, again using a 50/50 mix from the two lists. In order to obtain the most reliable evaluations, all reviews received will be held in strict confidence.

The Associate Director General is responsible for sending the following materials to the external reviewers: a cover letter that explains what personnel action is involved, e.g., tenure or promotion and, if promotion, to what level; a vita; two to four articles chosen by the candidate; and a statement that clarifies the mission of the school and the criteria used in promotion and tenure decisions. The cover letter will be of standard form as approved by the Provost. The candidate must include a "research statement" that allows the candidate to describe their research program.

– Evidence of significant achievements, such as national or international awards, professional recognition, service to ASU/Thunderbird and the community.

– Reprints of any scholarly writing, including articles, books, case studies, monographs, and working papers.

– Examples of instructional development material, such as syllabi, outlines, computer programs and other classroom materials.

3 STANDARDS FOR FACULTY TENURE

3.1 General Criteria

The strength of an academic community depends upon its ability to attract and hold high caliber people and its willingness to accept and utilize effectively the widely differing contributions of such persons. Notwithstanding individual excellence, it is necessarily the case that an individual's achievements must be judged in light of Thunderbird's needs, given the existing portfolio of individual qualities and capabilities of its faculty and the demand for its programs.

Teaching and intellectual contributions are the primary determinants of faculty performance for evaluating tenure candidates. Normally, the faculty member must be "outstanding" in at least one of these two dimensions and must have "demonstrated excellence" in the other. "Outstanding" performance in research would place the candidate below the top tier of contributors internationally, but clearly in a broader group of accomplished, well-regarded researchers in his/her peer group. "Outstanding" performance in teaching requires similar evidence from numerous sources that the candidate is in fact among a similarly selective group of Thunderbird and international peers. "Demonstrated Excellence," while below "Outstanding," still places the

candidate in the upper half of active researchers at his/her career level and clearly above average in teaching quality.

Service to the School is an additional determinate of faculty performance for purposes of the tenure decision. While each faculty member should be judged individually on the basis of his/her particular ability to contribute to the educational, intellectual, and creative life of Thunderbird and his/her professional field, tenure should be awarded to those who satisfy the criteria for teaching and research proficiency and whose service is completely and conscientiously undertaken. Criteria for tenure include:

- Annual Performance Evaluation criteria
- Any additional criteria (outputs and activities) and additional evidence that is unique to a tenure versus annual performance decision..

3.2 Specific Criteria

3.2.1 Teaching

Outstanding teaching rests on a candidate's capacity to evoke from students analytical and creative approaches to management decision-making (broadly defined to reflect the diverse teaching disciplines of Thunderbird). The candidate should be able to motivate and encourage students toward learning. The candidate should give promise of ongoing concern for the literature and research in the candidate's field, as well as for the problems of practitioners. A high level of ability in presenting material to students, although important, is not enough when it rests on outlines and teaching materials prepared solely by others. Further, the candidate should be available to, and show an ability to work with, students to solve problems they encounter in learning the subject matter.

Criteria for tenure include:

- Review of Annual Performance Evaluation ratings on teaching
  Plus:
- Overall assessment of performance on the five components of teaching performance (Course Delivery, International Perspective; Contemporary in Content; A Blend of Scholarly and Applied; and Contribution to Curriculum Integration)
- The breadth of teaching capabilities, or the ability to teach a variety of courses at Thunderbird.
- Recommendations from the Associate Director General on how the faculty member contributes in integrating their courses in the curriculum and with their colleagues.
- Overall pattern and trends in the APE ratings over the years.

3.2.1.1 Illustrations of Teaching

The following activities (not rank ordered) are examples of activities that may be considered in this evaluation:

- Classroom teaching in programs leading to academic degrees.
- Teaching in School-related executive education programs (degreed and non-degreed) and comparable programs developed for professional organizations.
- Directing and coordinating courses or course projects.
- Online teaching (degreed and non-degreed)
- Working with students outside the classroom on course materials, and counseling students on course selection, career choices, and related matters of student concern.

- Preparing teaching materials such as textbooks, books of readings, cases and case teaching notes, course syllabi, bibliographies, business games, computer programs, and business simulations.
- Developing a course, sequence of courses, curriculum changes, or new and effective techniques of instruction for academic programs, School-related continuing education programs, and educational programs of professional organizations.
- Publications or the presentation of papers or seminars on teaching.
- Lectures or teaching at other universities or professional meetings.

3.2.1.2 Evidence of Teaching Effectiveness

Significant types of evidence of teaching effectiveness include but are not limited to the following (not rank-ordered):

- Various student evaluations, particularly those administered using forms adopted by Thunderbird.
- Evaluations by participants in School-related executive education (non-degreed) programs and in comparable programs for professional organizations.
- Faculty peer evaluations, particularly if based on classroom visitations, on attendance at lectures, academic presentations, or on participation in team teaching.
- Evaluations by former students, particularly graduates who have achieved notable professional success.

3.2.2   Intellectual Contributions

High-quality, scholarly writing is an increasingly important activity of professional schools. Faculty members should show superior intellectual attainment and creativity in their writings, including evidence of continuous and effective research.

A Review of Annual Performance Evaluation rating on Intellectual Contributions will be a part of any promotion or tenure decision.

3.2.2.1 Scholarly writing may include:

- Creating or empirically validating ideas and theories, either descriptive or normative.
- Expanding, analyzing, or creatively synthesizing ideas and theories.
- Innovatively applying knowledge within the professional field.
- Contributions to instructional development in the area of expertise

3.2.2.2 Evidence of Scholarly Writing

Intellectual Contributions that can be considered for tenure may include outputs from any of the three categories of "Basic Scholarship," "Applied Scholarship," and "Instructional Development" (see definitions in Annual Evaluation Section). However, as a practical matter, it may be more difficult for a candidate to satisfy the intellectual contributions criteria for tenure, based on the instructional development component, than is true for either basic or applied scholarship. This is because important criteria such as establishment of leadership in their academic field and favorable reviews of scholarship from external reviewers may be more difficult to accomplish with respect to instructional development outputs. (Also, as a practical matter, it should be noted that instructional development-based records of Intellectual Contributions may place some career mobility constraints on faculty).

As to "quantity," the Associate Director General is responsible for providing untenured faculty guidelines about levels of quantity of Intellectual Output required for tenure, and tenure expectations generally. Expectations must reflect Thunderbird's mission and competitive environment, Thunderbird's distinctiveness, and the norms of the academic profession. Some amount of refereed journal articles (top tier and highly respected second tier) will be required for tenure. In some areas of study, scholarly books may be the professional norm as much or more so than refereed journal articles.

Both the quality and the quantity of scholarly writing should be evaluated, along with consistency in effort. The standards of excellence by which a faculty member's research is evaluated should be in accordance with the quality of research attainable in the faculty member's field. Significance, impact on the field, innovation, and creativity are important tests. Being theoretically sound, empirically validated, and capable of application are all valuable characteristics. Scholarly writing accomplishments are evidenced by (in paper or electronic format; not rank ordered):

- Publications in refereed journals;
- Publications in non-refereed journals;
- Monographs;
- Books (including textbooks—paper or electronic);
- Case studies (including case teaching notes) involving field research;
- Papers in established working paper series;
- Unpublished papers;
- Papers delivered at colloquies, symposiums, academy meetings, or meetings of professional groups;
- Computer programs;
- Serving as an editor, on an editorial board, or as a referee of a major journal in the candidate's field.

3.2.2.3 Clarifications

Textbooks, cases (and related teaching notes), computer programs, business simulations, reports, and similar publications will be considered evidence of teaching ability unless they present new ideas or incorporate original scholarly research (*i.e.*, they involve a significant amount of field research). The classification of such material as either primarily teaching-related or primarily research-related should be agreed upon, in advance of any evaluation, by a candidate and the Director of Faculty, and then communicated to all evaluation committees.

The significance of where and how research is disseminated should also be evaluated during peer review. Consequently, published work outweighs unpublished work; refereed work outweighs unrefereed work; and solely authored work outweighs joint-authored work. Work in progress should also be considered whenever possible, with careful consideration of a faculty member's ability to bring work to closure. In the case of joint publication and research, the specific role of the faculty member who is being considered for tenure must be established as clearly as possible.

Research effectiveness is judged by the candidate's peers. The peer group may include faculty colleagues, faculty at other academic institutions, and where appropriate, members of the non-academic professional community.

3.2.2.4 Additional Considerations for Tenure

- Impact as evidenced by citation counts, adoption rates, outside reviewer' opinions, and fit with Thunderbird's mission.

- Overall pattern of IC outputs, as evidenced by the faculty members' record on annual performance evaluations, most respected work not being exclusively significant earlier in their career, evidence of a current active IC agenda, and likelihood of future IC outputs.
- Outside reviewers' opinions.
- Instructional Development outputs potentially scoring higher on internal annual performance evaluations than on external reviews of materials for tenure.

3.2.3 Service

Service, as described earlier, are those faculty behaviors and activities that enhance the mission of Thunderbird, but are not classified as Teaching or Intellectual Contributions.

Faculty members have service obligations to Thunderbird, their academic disciplines or professional fields, and the larger community. Illustrations of service include, but are not limited to, the following activities (not rank ordered), in addition to attendance at scheduled Thunderbird functions:

- Making a significant contribution as a chairperson, administrator, or facilitator for an academic group or committee—appointed or elected;
- Making contributions through service on student-faculty committees or as an adviser to student organizations;
- Serving as an officer of an academic or professional association—appointed or elected;
- Serving as a speaker or presenter at non-school meetings in areas of professional competence;
- Serving as an organizer or liaison between groups desiring workshops, panels, or meetings in areas of professional competence;
- Creating executive management development programs, short courses, conferences and seminars relating to the professional community;
- Serving on committees providing expertise to local, state, regional, national or international communities;
- Serving as a consultant to public or private organizations provided that such services are supportive of the faculty member's total School commitment and not in conflict with that commitment.
- Serving on editorial review boards and as an ad hoc reviewer are an indication of service to the profession.
- Student advising.
- Preparing or facilitating the receipt of federal and/or other grants and contracts.

3.2.3.1 Evidence of Service

- Annual Performance Evaluation ratings on service.

- Positive, constructive, supportive contributions toward Thunderbird achieving its mission. Overall pattern of activity that contributes to the betterment of Thunderbird, its students, staff, and faculty. Obviously, this is open to interpretation—and so is left to the interpretation of PERCOM, a committee of peers, and the Dean of Faculty.

- Service obligations and committee work is a normal function and expectation of an academic institution; however, the mere membership on committees is not in itself a criterion for evaluating service activities when they are offered as evidence of performance. When service activities are offered as important performance criteria for tenure, testimonial letters or other documentation may come from persons at various levels within the School, other academic institutions, other organizations, or other recipients of the service.

Promotion Criteria for Full Professor

In addition to meeting the minimum criteria for promotion to associate professor, full professors typically demonstrate outstanding performance in both teaching and intellectual contributions with a significant amount of service to the profession which result in a truly international reputation in his/her discipline.