This document has been compiled after reviewing the appointment and promotion guidelines adopted at other JHU professional schools and from models used at the business schools at Emory, Penn, Vanderbilt, Stanford, Dartmouth, and Duke and feedback received from external reviewers. The committee appreciates the willingness of these colleagues to assist us.

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Appendix A
Carey Business School

Academic Appointment and Promotion Policies and Procedures

1.0 General Considerations

1.1 Purpose

The Carey Business School (CBS) sets forth in this document policies governing faculty appointment, promotion and tenure and faculty responsibilities to the School and University. The Carey Business School expects that the obligations of faculty members and the School to each other are established through negotiations and agreements made in good faith between the faculty member and the Dean, subject to the approval of the Board of Trustees. Procedures are specified to ensure a fair and uniform process for all faculty, including criteria for appointment and promotion. Policies governing faculty responsibilities to the School and the School’s responsibilities to faculty provide a framework within which good faith negotiation between faculty member and the Program Director(s)/Dean will determine specific research, teaching, and service expectations. The framework should in no way inhibit direct personal interchanges among faculty members and among the Program Director(s)/Dean on issues related to their mutual obligations and rights.

1.2 Academic Board

Introduction

Academic governance of the Carey Business School is primarily the responsibility of the Dean and the School’s tenured ranked faculty. Sharing in this responsibility will be an Academic Board with two primary responsibilities: (1) to offer advice and counsel regarding the academic governance decisions of the Dean and tenured ranked faculty as requested by the Dean; and (2) to carry out responsibilities as described in the Academic Appointment and Promotion Policies and Procedures document.

Structure of the Academic Board

The Academic Board will be structured as follows:

a. The Academic Board will consist of nine voting members, including the Dean.

b. The Provost will be the chairperson of the Academic Board. The Provost’s membership will be ex-officio without a vote.

c. The Executive Vice Dean for Faculty and Research will serve as the Secretary of the Academic Board and will not have a vote, unless he is appointed by the Provost or the Dean as a voting member.

d. The Dean’s membership will be ex-officio with a vote.
e. Except as to the Dean and Provost, the Academic Board membership appointment is for one year and subject to reappointment without term limits.

f. The Academic Board will meet at the direction of the Provost as requested by the Dean, at least twice each year.

g. The Dean will propose the names of eight tenured Johns Hopkins University professors. The Provost will accept or reject the proposed names. If, after deliberation, the Dean and Provost cannot agree on membership, the Provost shall name the required number of Board members so that a majority of the Board members are approved for appointment by the Provost.

h. A simple majority of the Academic Board’s members will constitute a quorum. The Academic Board may act in its official capacity whenever there is a quorum, but only so long as the Dean and the Provost (or her/his designee) are among the members present.

i. If a faculty member petitions the Dean for an action requiring the approval of the Academic Board and the Dean denies the request, the faculty member may appeal the Dean’s decision to the Academic Board.

j. The decisions of the Academic Board regarding appointments, promotions, and tenure are advisory to the Provost.

k. The Provost in consultation with the Academic Board will appoint an Appointment and Promotion Committee (APT) described in Section 8 of this document.

Revisions

The Dean of the Carey Business School may consult with the Academic Board to recommend to the Provost revisions or a replacement to the procedures and structure set forth in this document. The Provost, in consultation with the faculty of the Carey Business School may revise the Academic Board and APT procedure and structure set forth in this document.

1.3 Obligations of the Carey Business School to its faculty members and of the faculty to the School

It is recognized that the School and its faculty members have basic obligations to each other. It is the responsibility of the Dean to determine how institutional resources can best be used to further institutional goals and provide a supportive environment in which individual faculty can achieve their career goals.

The obligations of the School to its faculty members are:

a. To protect the right of each faculty member to academic freedom; that is, the right to pursue knowledge, to write, and to speak freely as responsible citizens without institutionally imposed, arbitrary restrictions. A faculty member must be judged as a scholar, a teacher, and
practitioner on the basis of legitimate intellectual and professional criteria and not on his/her political views, religious beliefs, or other matters of personal preference.

b. To provide the intellectual and physical environment as well as appropriate time for scholarly growth and achievement.

c. To provide opportunity to be considered for academic advancement according to prescribed criteria and procedures.

d. To provide appropriate compensation for the services of its faculty members.

The obligations of faculty members of the School are:

a. To carry out duly assigned duties that represent an appropriate share of the school’s total academic and practice responsibilities in cooperation with members of the school’s faculty, academic leadership and administrative staff.

b. To teach with the highest levels of professional competence and with intellectual and ethical honesty.

2.0 Faculty Career Development

2.1 Principles
The selection of individuals for appointment to the faculty and for promotion must be made to the highest criteria and standards. Moreover, it must be carried out with the best judgment for the immediate and longer-range needs of the School and, equally, for the best interests of the individuals concerned.

The School will provide guidance and mentoring to faculty to assist them in the development of their academic careers. It is the responsibility the Dean to assure that faculty members receive guidance from more senior faculty members and that their progress in teaching, research, service, and other duties is actively reviewed. Faculty members must be provided guidance and evaluation as to their ultimate potential for academic advancement within this institution in order to give them maximum mobility in seeking career development opportunities.

Tenure is not an automatic consequence of full-time service on the faculty for any given number of years. Rather, it is a privilege that is earned by merit and conferred on an individual faculty member by action of the Academic Board, the President, and the Board of Trustees. Tenure decisions are based on the cumulative contribution of a candidate’s scholarship, teaching, and service to the School, University, and his/her 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.

2.2 Criteria for Appointment and Promotion
It is crucial to the academic health of the University and the Carey Business School that high standards for appointment and promotion be maintained. Scholarly productivity must reflect a
serious and sustained commitment to generation of knowledge and advance of practice. The following are important criteria:

a. **Scholarship** is defined as inquiry undertaken to establish facts, develop principles, answer, illuminate, analyze questions or evaluate hypotheses and situations proposed within an area of intellectual pursuit through the collection of well-documented evidence or conclusions, or the development or critique of theory and/or hypotheses. Scholarship can be for the purpose of advancing knowledge or application of new knowledge in practice.

Scholarship is evaluated primarily in terms of the overall significance of its contributions to the discipline as evidenced by scholarly publications and other scholarly indicators. It is important that the evaluation of scholarship be qualitative as well as quantitative in nature, with the emphasis on quality. 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. The 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.

b. **Teaching** in its various forms constitutes a central function of the Carey Business School. A high level of teaching effectiveness includes all of the School’s degree and non-degree programs. Excellence in teaching draws upon the teacher’s competence as a scholar or practitioner. Additional sources of information for use in the teaching evaluation process shall include, but not be limited to, school-administered student and alumni questionnaires and evaluations.

c. **Practice/Community Service** activities represent the outreach programs and activities of the school and its faculty. Emphasis is placed upon organized educational activities where knowledge, professional practice, and teaching are combined. Activities which may contribute to the growth of the faculty member, may include the enhancement of a professional discipline; service to business, government, and/or other non-profit organizations; 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.

d. **School and University 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 promote the general welfare of the School and the University.

2.3 Faculty Searches
The School’s most valuable resource is the faculty and the intellectual talent and productivity of the individual members of the faculty. It is the responsibility of the Dean and Program Director(s) to conduct open and thorough searches to identify the best candidate for each professorial position. An effective search is important for several reasons. First, it casts the net
as widely as possible to identify the best candidate nationally and internationally for a position. Second, it ensures that all persons, regardless of gender, race, age or other factors have equal opportunity to be considered fairly. Third, the search process exposes existing faculty to new ideas introduced by candidates from varied backgrounds. The CBS is committed to hiring a diverse faculty and is an Equal Opportunity Employer.

A thorough search includes broad advertisement of the position by personal contacts, letters, Web postings, or advertisements in professional journals. A thorough search can be conducted promptly using Web-based and personal contacts. The thoroughness of a search is not equivalent to the length of time it takes.

The Dean will provide evidence to the Academic Board of an open and thorough search for each faculty appointment or explanation of the circumstances that forced an abbreviated process. This explanation, if acceptable to the Academic Board, will be forwarded to the APT Committee along with the candidate’s materials.


3.0 Titles for Full-time Faculty in the CBS

Appointments to full time regular rank faculty shall be designated as either in the Research/Education Track (tenure) or in the Practice/Education track (non-tenure). The determination of tenure track status is made at the time the Dean requests the creation of the position and subsequent recruitment and hiring, although tenure eligibility is not visible as part of the faculty member’s title.

a. Professor, Associate Professor, Assistant Professor
Faculty with the titles of professor, associate professor, and assistant professor are regular rank and either tenure track or are non-tenure track. Tenure-track faculty at the rank of Professor are eligible for tenure consideration, and in exceptional circumstances at the rank of Associate Professor. All non-professorial ranks are not on a tenure track and are not eligible for tenure consideration.

b. Lecturer
Lecturer titles reflect a non-ranked, non-tenure track full-time appointment. Lecturers are generally expected to have at least a master’s degree, teach in the classroom, and may participate in scholarly and limited service activities.

c. Visiting Faculty
An individual from another institution or agency may be given the title of “visiting professor”, “visiting associate professor”, etc., as appropriate. In order to be considered for such a title, he/she must be in residence as a full-time member of the faculty. Otherwise, the appropriate part-time faculty titles are used. Visiting faculty appointments are typically limited to a
cumulative total of three (3) years but may be extended beyond this time upon recommendation of the APT Committee and approval by the Academic Board.

d. Emeritus Faculty
Distinguished faculty who have held the rank of professor or associate professor and who have retired from full-time service in the University may be granted emeritus rank based on the recommendation of the Dean, approval of the Academic Board and the approval of the President and the Board of Trustees.

4.0 Duration of Appointments

Professorial faculty are either on the tenure track or on the non-tenure track. Annual appointments are typically for nine (9) months. The tenure clock is typically ten (10) years. For tenure track faculty, the appointment durations are as follows.

4.1 Assistant Professor – Tenure Track
Assistant Professors in the tenure track are ordinarily appointed for a period of three (3) years from their first appointment at this rank and may be reappointed for a second three year term. At the end of the fifth year, the Program Director(s) or Dean, as applicable, will request the faculty member to submit materials for consideration for promotion to Associate Professor. No person may hold the rank of assistant professor for more than seven (7) years without specific approval of the Academic Board. This time period includes intervals spent in leave-without-pay status, except when leave-without-pay is granted for family leave reasons or other instances approved by the Academic Board in which case leave periods amounting cumulatively up to 36 months or less will not be counted against time-in-rank as described in Section 12, Faculty Family Leave Policy.

4.2 Associate Professor – Tenure Track
Appointment at the rank of associate professor in the tenure track is typically for a three (3) year term. Additional terms may be proposed at the discretion of the Dean. Except as stated below, appointments at the rank of associate professor are limited to nine (9) years. At the end of the eighth year from first appointment as assistant professor, the Program Director(s) or Dean, as applicable, will request the faculty member to submit materials for consideration for promotion to Professor with tenure. This time period includes intervals spent in leave-without-pay status, except when leave-without-pay is granted for family leave reasons or other instances approved by the Academic Board in which case leave periods amounting cumulatively up to 36 months or less will not be counted against time-in-rank as described in Section 12, Faculty Family Leave Policy.

Reappointment to the rank of associate professor after a period of nine years of service at that level shall be made only in rare situations where a special term or contractual appointment may be mutually agreed upon by the associate professor and the Dean and approved by the Academic Board.
The Academic Board may recommend tenure for an Associate Professor in exceptional circumstances, when the candidate has demonstrated outstanding achievement, substantial research in progress and clear promise of merit for eventual promotion to Professor.

4.3 Professor – Tenure Track
Appointment at the rank of professor in the tenure track shall ordinarily carry tenure, except in rare situations where a contractural appointment is mutually agreed upon by the professor and the Dean with approval by the Academic Board. Contractual appointments for non-tenured tenure-eligible full professors may be for a period of up to five years and are renewable. Appointment to Professor in either track requires approval of the Dean, the Academic Board, and, when tenure is conferred, the Board of Trustees upon recommendation of the Dean and the Academic Board.

4.4 Appointments – Non-Tenure Track Faculty
Full-time non-tenure track appointments at the rank of professor are typically for a period of five (5) years unless otherwise specified. Full-time non-tenure track appointments at the rank of Associate Professor and Assistant Professor are typically for a period of three (3) years. Full time lecturers are typically appointed for a period of one (1) year unless otherwise specified. There is no limitation to the length of time non-tenure track faculty may remain in each rank.

4.5 Notice of Termination - Tenure Track Faculty
A member of the tenure track faculty with an appointment at the rank of assistant, associate, or tenure-eligible full professor will be given written notice of termination of employment at least one year before the end of their appointment. If a notice of termination is not given in sufficient time prior to the expiration of a current contract to satisfy the notice requirement, the faculty member shall be offered a further contract for a period of time sufficient to satisfy the notice requirement.

4.6 Notice of Termination – Non-Tenure Track Faculty
A member of the non-tenure track with an appointment at the rank of assistant, associate, or professor will be given written notice of whether their contract with be renewed or terminated at least one year before the end of their appointment. If a notice of termination is not given in sufficient time prior to the expiration of a current contract to satisfy the notice requirement, the faculty member shall be offered a further contract for a period of time sufficient to satisfy the notice requirement.

5.0 Tenure Policies

5.1 General Principles
For the award of tenure, CBS requires at a minimum (1) excellence in scholarship; (2) a high level of effectiveness in teaching; and (3) a high level of effectiveness in the area of service. From discipline to discipline, the form taken by a candidate’s contributions will vary. But in each case, CBS expects the level and quality of achievement in these three areas to be equivalent to that required for tenure in leading business schools of other major research universities.

Tenure may only be granted to those professorial faculty members in the tenure track who have demonstrated unequivocally a present capacity and potential to contribute substantively to the
broader aims and objectives of the School. The University, in conferring tenure, and the faculty member, in accepting it, undertake to fulfill important responsibilities and commitments. Accordingly, the decision to recommend tenure requires careful consideration in regard to the qualities of the individual and the needs of the School. For the School and the University to assure to the extent possible that it be able to meet its obligations to tenured faculty, the number who may be tenured at any given time is limited. This number is determined by the Dean in consultation with the Academic Board and with the Provost and President of the University.

A grant of tenure at the Carey Business School means that, so long as the position occupied by the faculty member continues in existence, the faculty member alone may occupy it with compensation provided which is appropriate to the faculty member’s rank and responsibilities unless a) the faculty member shall have assumed retirement status; b) the faculty member shall have become physically or mentally incapacitated; or c) the faculty member shall have given just cause for dismissal (e.g., unsatisfactory performance, unacceptable behavior, conviction of a felony, or fraud whether personal or professional such as research fraud or plagiarism). A grant of tenure, however, does not confer the right to permanent or continued employment where the position to which the tenured faculty member has been appointed is eliminated by reason of program change or fiscal exigency (defined as a financial crisis which prevents the School from continuing to provide quality teaching, scholarship, and service).

5.2 Termination of an appointment with tenure or of any appointment before the end of a specified term for just cause

Terminations for just cause (e.g., unsatisfactory performance, unacceptable behavior, conviction of a felony, or fraud whether personal or professional such as research fraud or plagiarism) may be initiated by the Dean after consultation with the Program Director(s) and the Provost. After written notice of the charges is given to the accused faculty member, the matter shall be heard and decided by the Academic Board at a hearing to be presided over by a member of the Board selected by that body. If the Academic Board finds that just cause for termination exists, the faculty member may file an appeal in writing with the Provost within fourteen days of the receipt of the decision of the Academic Board. If the Provost affirms the finding that just cause for termination exists and that tenure should be revoked, the recommendation shall be forwarded to the President for submission to the Board of Trustees for consideration.

5.3 Termination of tenured and non-tenured faculty based upon fiscal exigency or change in a program of instruction.

When a state of financial exigency exists or is imminent, the Dean will inform the Academic Board. The Academic Board will then elect five of its members to a Fiscal Committee. The Dean will serve as a non-voting member of the committee and will act as chair. This committee will consider the magnitude of the existing or imminent financial exigency and the extent of the reduction, if any, needed in the fiscal obligations of the Carey Business School, as well as the means by which such reductions are to be effected. The findings of this committee and its recommendations shall be reported in writing to the Academic Board for action.
Any case involving the termination of the appointment of a tenured faculty member for financial exigency as determined by the fiscal committee or change in a program of instruction recommended by the Dean shall be submitted to a special committee of Professors established by the Academic Board and reporting to it. The findings of the Academic Board with its recommendations shall be forwarded to the President for submission to the Board of Trustees for consideration.

Tenured faculty will be given at least one year notice of termination due to financial exigency or change in a program of instruction. Where a program of instruction is to be discontinued, the Dean shall seek to identify other employment opportunities within the University and to place qualified affected faculty members in other available, suitable positions if such exist.

In case of financial exigency or change in a program of instruction, non-tenured faculty members will be given notice as soon as possible, and in accord with the provisions set forth in Section 4.6.

Where the appointment of a tenured faculty member has been terminated and where a term appointment has been terminated before the end of the contractual period due to financial exigency or change in a program of instruction, the position previously held by the terminated faculty member cannot be filled by a replacement within a period of at least three years unless the terminated faculty member first has been offered reappointment and an opportunity to accept such reappointment within thirty days.

### 6.0 Joint Appointments

#### 6.1 General Policy
Joint appointments with other divisions of the University and this School are encouraged whenever it is believed that such appointments would enrich the programs of the divisions or the program involved and/or when it appears to be professionally advantageous to a faculty member. The faculty member so appointed will continue to have primary academic obligations to the school or program of primary appointment and it is expected that the major portion of the individual’s effort will be identified with the division of primary affiliation. Joint appointments should be made only when there is a tangible contribution by the faculty member to the School’s academic program. Joint appointments will not be designated as such for individuals holding part-time or emeritus appointments. Individuals holding two or more part-time appointments will be appointed separately to each program or school and will not hold joint appointments.

#### 6.2 Rank
Joint appointments are made without designation of rank in the program or School of the secondary appointment.

#### 6.3 Responsibility for Promotion, Tenure, and Salary Level
Responsibility for recommendation for promotion rests with the department or school of primary affiliation and, similarly, consideration of the recommendation with the division of primary affiliation. The Dean of the School of primary affiliation will establish the annual salary level
with appropriate consultation, in case of interdivisional appointments, with the other deans involved. The amount of the salary paid by each division should reflect the portion of total effort assigned that division.

6.4 Procedure for Appointment
Joint appointments are proposed by the Program Director(s)/Dean with the consent of the chair of the department of primary affiliation and, when appropriate, the Dean of the School in which the primary appointment is held. Proposed joint appointments are placed before the Academic Board for approval but should be considered primarily as informational, subject to discussion only under unusual circumstances.

7.0 Criteria for Appointment and Promotion of Full-time Professorial Faculty

Recruitment for all professorial positions must be requested and justified by the CBS Dean, with review and approval by the Appointments, Promotion, and Tenure (APT) Committee of the Academic Board, which is chaired by the Provost. Positions will typically only be filled following a national search (refer to Section 2.3). The search process must be documented in the Affirmative Action Form and its compliance monitored by the Dean, and by the APT and Affirmative Action Committees. In addition, the position will be designated as tenure track or non-tenure track at the time the position is created.

a. Professor. The most important general criteria are that the candidate should be recognized nationally and internationally as an influential leader whose research and ideas make a significant contribution to his/her field of endeavor. Persons holding or being considered for this rank with tenure are expected to stand in competition with the foremost professors of similar rank in similar fields at other leading business schools and to exceed the standards expected of associate professors.

b. Associate Professor. Persons holding this rank are expected to stand in competition with the foremost associate professors in similar fields at other leading business schools and to have demonstrated a strong record of scholarly accomplishment. Persons holding this rank should contribute effectively to the school’s objective of excellence in the education of others, be it in classroom performance, directing student research, program management, executive education, or other areas of importance to the Carey Business School.

c. Assistant Professor. Persons holding or being considered for this rank are expected to show promise of qualifying for the rank of associate professor within six (6) years from their appointment as assistant professors.

7.1 Confidentiality
The entire appointment, reappointment, or promotion proceedings during which specific candidates are discussed are to be held in strict confidence by all participants. The opinions expressed by the school faculty or by internal or external referees shall not be discussed with the candidate or with other parties, except when necessary for University review of the process. The Dean or Program Director(s) (or his or her designee) shall be the point of contact with the
candidate for appointment, reappointment or promotion. A breach of confidence by a participant in an appointment, reappointment, or promotion case is a serious breach of professional ethics.

7.2 Tenure Track Faculty
Consistent with the criteria stated in section 2.0 Faculty Career Development, section 5.0 Tenure Policies, and in section 7.0, professorial faculty are expected to engage in research/scholarship, educational activities, and service activities to the School, to the University, and to the larger community. In most instances, faculty will have ten years from appointment as assistant professors to be promoted to professor with tenure. Not all faculty members will have the same balance across scholarship, teaching, and service. However, a deficiency in one area cannot be offset because the candidate exceeds the required standard in another.

The balance of activities and expectations should be appropriate to the needs of the program and the School. Appointment and promotion decisions will be based on the needs of the program and School as identified by the program director(s) and the Dean. It is anticipated that all professorial appointments will focus on scholarship.

The APT Committee will have complete information regarding the expectations and balance indicated for the individual faculty member.

A position on the tenure track is created to provide long-term development in an area critical to the academic mission of the School. Tenure track faculty are appointed and promoted with the expectation that they fulfill a central, academically compelling long-term need of the School.

7.3 Non-tenure Track Faculty
Appointments to the non-tenure track are designed to enrich the School’s capacity to provide high quality teaching, greater breadth of scholarship and expanded service capacity. The non-tenure track is particularly important in attracting and rewarding faculty who can bring the scholarship of professional practice, drawing on their professional expertise, and contribute to teaching programs. Faculty will be appointed (and promoted when appropriate) on the regular rank, non-tenure professorial track to respond to specific opportunities and needs.

Appointment to the non-tenure professorial track does not have limits on time in rank for assistant and associate professor as are present for the tenure track. Appointments are made based on the same high standards of excellence in scholarship, teaching, and service as are required of tenure-track appointments. Another difference is that the School is not making a long term programmatic commitment to faculty in the non-tenure track and their area(s) of specialization. The School’s commitment to each non-tenure track faculty member is project/program-specific and directly related to the long term programmatic needs of the School as delineated by the Program Director(s) and the Dean.

The scholarship of professional practice is generally built upon significant professional experience and a high level of skills-oriented education. Appointees will have demonstrated innovation and leadership in the practice of business commensurate with the level of appointment. Appointment criteria include excellent teaching, commitment to collegial service, relevant professional experience in business, government, and/or other non-profit organizations,
and publications in journals on subject matter related to the topics being taught. A reappointment or promotion within this category shall be recommended by the Program Director(s) or the Dean, as applicable, using a standard of past performance in fulfilling the promise and justifying an expectation of continued growth in professional skill, productivity, and recognition within the discipline.

Faculty in the non-tenure track are expected to be recognized as professional leaders in their field or for having the potential to become so and are expected to contribute to the goals and needs of the School.

The academic roles of faculty holding these titles will be defined in the offer of appointment and should be reviewed and revised as agreed upon at the time of reappointment or annual review with the Program Director(s) or the Dean, as applicable.

7.4 Early Consideration for Promotion
A faculty member may apply at any time in rank for promotion based on meeting or exceeding the criteria for promotion to the next higher rank. The request is made to the appropriate Program Director(s) and to the Dean. With the Program Director’s concurrence, the Dean will submit a letter of recommendation and supporting materials to the APT Committee.

8.0 Appointment and Promotion Procedures of Full-time Professorial Faculty
The Provost in consultation with the Academic Board will appoint an Appointments and Promotion Committee (APT). Notwithstanding the structure set forth below, the Academic Board may make any decisions regarding appointments, promotions, and tenure without referral to the APT Committee as it deems appropriate.

a. The Dean will be an ex-officio member of the APT Committee and will not have a vote.

b. The APT Committee will be a standing committee consisting of five members of the Academic Board (excluding the Dean); however, the Committee may add non-voting advisors who are not members of the Academic Board.

c. The Academic Board will appoint one of its members as the chairperson of the APT Committee.

8.1 Tenure Track

8.1.1 Appointment or Promotion to the Rank of Professor
The Dean, with input from the Executive Vice Dean for Faculty and Research and tenured Carey faculty, will submit a letter of recommendation for appointment, promotion or tenure to the APT Committee and provide notice of same to the Academic Board. The recommendation letter will outline the duties to be carried out by the professor and justify the long-term importance to the School of having a tenured faculty member with these responsibilities. The letter will include information on the candidate’s demonstrated scholarship, teaching, service, and general reputation in his/her field. The APT Committee shall also be provided complete and current
curriculum vitae, reprints of three to five of the candidate’s relevant publications, and the names of external referees who might appropriately be asked to write letters of reference. The APT Committee may consult with the candidate in identifying external reviewers. These external referees should be chosen on the basis of their expertise and standing in their field and should be at arm’s length from the candidate (for example, not his/her research advisor, postdoctoral advisor or co-author on publications). Ten letters of reference from external reviewers should be obtained.

The Academic Board will appoint one of its members to chairperson the APT Committee. The chairperson of the APT Committee will appoint an ad hoc committee of at least three members. If an appointment or promotion with tenure is under consideration, all members of the ad hoc committee must be tenured professors. The membership will include one member of the APT Committee, who will serve as chairperson, and two members, including a member familiar with the candidate’s field of scholarly activity, if available. The detailed guidelines for the ad hoc committee are included in Appendix A.

The ad hoc committee will solicit the opinions of all full-time tenured Carey faculty. The ad hoc committee will prepare its summary of the candidate’s accomplishments and potential for making significant contributions to the school and submit its assessment to the APT Committee for review and action. The APT Committee will review the analysis prepared by the ad hoc committee. Unless incapacitated, each APT Committee member’s vote must be counted. A decision by the APT Committee requires a simple majority of the counted votes. The APT Committee can take several actions according to the circumstances:

a. If the APT Committee votes in favor of tenure, it will make such recommendation to the Academic Board, which will vote for or against tenure. If the Academic Board votes in favor of tenure, it will make a final recommendation to the Provost.

b. If the majority of the APT Committee disagrees with the recommendation of the ad hoc committee or desires further information, it will meet with members of the ad hoc committee to secure the additional information or resolve the differences. If differences in judgment remain, the recommendation of the APT Committee will be final.

c. If the APT Committee or the Academic Board does not vote in favor of the appointment or promotion of the candidate to professor with tenure, the chairperson will inform the Dean, who may withdraw the nomination or appeal the matter to the Academic Board, whose decision will be final.

8.1.2 Appointment or Promotion to the Rank of Associate Professor
The Dean, with input from the Executive Vice Dean for Faculty and Research and tenured Carey faculty, will submit a letter of recommendation to the Academic Board, who may approve the recommendation or refer the request to the APT Committee, which will solicit and review six letters of reference from external reviewers. Appointments or promotions without tenure do not require approval of the Board of Trustees. The APT Committee may recommend tenure for an Associate Professor in exceptional circumstances, when the candidate has demonstrated
outstanding achievement, substantial research in progress, and clear promise of merit for eventual promotion to Professor. In that case, the procedures of Section 8.1.1 shall be followed.

8.1.2.1 Reappointment to the Rank of Associate Professor

A letter of recommendation from the Dean similar to that written for appointment to a first term is required. Ordinarily, a recommendation for reappointment is reviewed by the APT Committee without reference to an ad hoc committee. However, if for any reason the APT Committee has reservations about the continued appointment of an individual; an ad hoc committee may be appointed, given the same responsibilities, and follow similar procedures as outlined in Appendix A.

Typically, individuals are either tenured or their appointments terminate by the end of their sixth year at the rank of associate professor. Appointments beyond the sixth year at the rank of associate professor are exceptional and require the approval of the APT Committee and the Academic Board. The APT Committee may recommend tenure for an Associate Professor in exceptional circumstances, when the candidate has demonstrated outstanding achievement, substantial research in progress, and clear promise of merit for eventual promotion to Professor. The recommendation will be forwarded through the Chairperson of the APT Committee to the Academic Board.

Appointment termination is addressed in Sections 4 and 5 of this document.

8.1.3 Appointment to the Rank of Assistant Professor

8.1.3.1 Initial Appointment

A search committee report accompanied by current curriculum vitae and a letter of recommendation from the Dean confirming the majority vote of the Carey tenured faculty regarding the candidate will be provided to the APT Committee. In the absence of a search committee report, a letter of recommendation from the Dean, confirming a majority vote of the Carey tenured faculty, will suffice. The APT Committee will determine, what, if any, further information is required to make its recommendation. The APT Committee will convey the recommendation to the full Academic Board, which will make its recommendation to the Provost.

8.1.3.2 Reappointment to the Rank of Assistant Professor

Discretion as to reappointment at the rank of assistant professor to a second term will rest primarily with the Dean who will submit to the APT Committee a list of all assistant professors whom he/she would propose for reappointment for the following year or years. If the Committee has specific cause to evaluate more carefully any nominee, it will make its recommendation to the Dean. Should there be a question about re-appointment of an Assistant Professor, the APT Committee may request additional information from the Dean.

No person may hold the rank of assistant professor for more than six years without special approval of the Academic Board. The extension of an appointment beyond the sixth year at the rank of assistant professor warrants exceptional justification based on promise of eventual promotion. A request for extension of appointment at the rank of assistant professor beyond the
sixth year must be submitted in a letter by the Dean to the Academic Board. Along with the letter, a current curriculum vitae, information regarding the duties being carried out by the individual, and an outline of his/her scholarly, educational, and service activities shall be provided. On the rare occasion that such extension beyond the sixth year at the rank of assistant professor is granted, such grant shall not be deemed a commitment to employ the faculty member beyond the period of that extension.

Extensions for a period of one year may be proposed. Indication should be given as to which of the following actions are anticipated: (a) termination of the individual’s service after one-year’s notice; or (b) justification for a special request to the APT Committee for an extension of the appointment beyond the sixth year.

If promotion is envisioned, this will be proposed and justified by the beginning of the sixth year so that, should the recommendation be rejected, a one-year notice of termination can be given. The recommendation will be considered by the APT Committee, which may request the appointment of an ad hoc committee for a more thorough examination of the merits of the recommendation. The ad hoc committee will be comprised as under Sections 8.1.1 and 8.1.2 and Appendix A.

8.2 Non-Tenure Track

8.2.1 Appointment or Promotion to the Rank of Professor
The procedure for appointment and promotion is the same as described in section 8.1.1 except that eight letters from external references are required and non-tenured professors may be appointed without the input of an ad hoc committee at the discretion of the APT Committee. The APT Committee, in its discretion, may change the requirements set forth in section 8.1.1 for information that must be submitted.

8.2.1.1 Reappointment to the Rank of Professor
A letter of recommendation from the Dean similar to that written for appointment to a first term is required. Ordinarily, a recommendation for reappointment is reviewed by the APT Committee without reference to an ad hoc committee. However, if for any reason the APT Committee has reservations about the continued appointment of an individual, an ad hoc committee may be appointed. In no event shall a faculty member be deemed to have been reappointed or to have acquired tenure because notice of a terminal appointment was not timely received.

Appointment termination is addressed in Sections 4 and 5 of this document.

8.2.2 Appointment or Promotion to the Rank of Associate Professor
The Academic Board may choose or choose not to refer a recommendation for appointment or promotion to associate professor to the APT. If the Academic Board refers the recommendation to the APT, the procedure for appointment or promotion is the same as described in section 8.2.1 except that non-tenured professors and associate professors may be appointed to the ad hoc committee.
8.2.2.1 Reappointment to the Rank of Associate Professor
A letter of recommendation from the Dean similar to that written for appointment to a first term is required. Ordinarily, a recommendation for reappointment is reviewed by the APT Committee without reference to an ad hoc committee. However, if for any reason the APT Committee has reservations about the continued appointment of an individual, an ad hoc committee may be appointed. In no event shall a faculty member be deemed to have been reappointed or to have acquired tenure because notice of a terminal appointment was not timely received.

Appointment termination is addressed in Sections 4 and 5 of this document.

8.2.3 Appointment to the Rank of Assistant Professor
The procedures for appointment are the same as described in Section 8.1.3.1, except that the Academic Board may choose not to refer a recommendation for appointment to assistant professor to the APT.

8.2.3.1 Reappointment to the Rank of Assistant Professor
A letter of recommendation from the Dean similar to that written for appointment to a first term is required. The procedures for reappointment are the same as described in Section 8.1.3.2, except that the Academic Board may choose not to refer a recommendation for reappointment to assistant professor to the APT. If the Academic Board refers a recommendation for reappointment to the APT Committee, the APT Committee may conduct its review without reference to an ad hoc committee. However, if for any reason the APT Committee has reservations about the continued appointment of an individual, an ad hoc committee may be appointed. In no event shall a faculty member be deemed to have been reappointed or to have acquired tenure because notice of a terminal appointment was not timely received.

Appointment termination is addressed in Sections 4 and 5 of this document.

8.2.4 Appointments to the Rank of Lecturer and Senior Lecturer
The Executive Vice Dean for Faculty and Research submits a letter of recommendation for appointment and current curriculum vitae to the Dean. The letter provides information regarding the duties to be performed by the appointee and the School’s needs for the appointment, and commentary on the qualifications of the appointee. The appointment is reported to the APT Committee and the Academic Board for information only.

8.2.4.1 Reappointment to the Rank of Lecturer and Senior Lecturer
The procedure is the same as for initial appointments.

9.0 Annual Faculty Reviews

9.1 Review of Professorial Faculty on the Tenure Track
The Program Director(s) or the Dean (or his/her designee) will meet annually with every professorial-tenure track faculty member, at which time they will review the expectations for that faculty member, the degree to which they are being fulfilled by the faculty member, and any action that might benefit the faculty member and the School. This assessment should be
communicated to the faculty member by the Program Director(s) or the Dean as guidance on their career development.

Annually, the APT Committee shall review with the Dean (or his/her designee) the summary of the academic progress of all assistant professors and associate professors holding primary appointments in the School. The purpose of this review is to assist the Dean in the interpretation and application of the promotion procedures.

9.2 Review of Professorial Faculty on the Non-Tenure Track
The Program Director(s) or the Dean (or his/her designee) will meet annually with every professorial-non-tenure track faculty member, at which time they will review the expectations for that faculty member, the degree to which they are being fulfilled by the faculty member, and any action that might benefit the faculty member and the School. This assessment should be communicated to the faculty member by the Program Director(s) or the Dean as guidance on his/her career development.

Annually, the APT Committee shall review with the Dean (or his/her designee) the summary of the academic progress of all ranks of professorial faculty on the non-tenure track holding primary appointments in the School. The purpose of this review is to assist the Dean in the interpretation and application of the promotion procedures.

10.0 Affirmative Action and Equal Employment Opportunity

Before an initial appointment is recommended, all requirements having to do with affirmative action and equal employment opportunity must have been fulfilled and the recommendation must be accompanied by the Affirmative Action Form for Faculty Appointments. Detailed instructions for conducting University searches and complying with affirmative action and employment opportunity are published in Resource Guide for Searches, The Provost’s Office, September 2011.

11.0 Leave-Without-Pay

Leave-without-pay may be granted to a faculty member for a period of up to one year and, with special justification, extended to a second year. A recommendation for leave-without-pay is made by the Dean and approved by the Academic Board. The Dean may also recommend to the Academic Board whether or not the tenure clock is to be adjusted. Tenure clock adjustments must be approved by the Academic Board. No retroactive clock stoppages will be considered.

12.0 Faculty Family Leave Policy

12.1 Preamble
While the importance of rigorous adherence to the School’s high standards of scholarship is acknowledged, it is equally important that actual performance in relation to these standards be judged realistically in accordance with family as well as professional obligations. In particular, it is recognized that parental and other family responsibilities may legitimately draw certain individuals away from their professional duties for extended periods of time. Examples of these
responsibilities include pregnancy or childbirth, newly acquired dependents (including adoptions and elderly parents), new disabilities, or deaths of spouses or dependents. It is the responsibility of the faculty member to work with the Program Director(s) or the Dean, as applicable, to ensure that family leave is minimally disruptive to the research and teaching.

12.2 Leave Arrangements
Under the circumstances described below, full-time faculty with at least one year of service may be granted full leave without pay for a period typically not to exceed twelve months or part-time leave for a period not to exceed three years. Extension of the leave period may be granted in exceptional circumstances where special justification has been established. In all cases other than unforeseen emergencies, the faculty member will consult with the Dean who will make the final decision regarding the terms of the leave.

12.2.1 Authorization without need for prior approval is granted for leaves of up to 12 weeks within any fiscal year for reasons of pregnancy, childbirth, adoption, dependent care, new disability, or death of a spouse or dependent will be granted in accordance with the University’s family and medical leave policy. Faculty should consult with the Office of Human Resources regarding a determination of the applicability of Family and Medical Leave (FML).

12.2.2 Longer leaves for the above purposes must receive the written concurrence by the Dean.

12.2.3 Leaves necessitated by responsibilities to individuals (such as in-laws) who are not in the above categories but who are dependent upon the requesting individual will be granted as in 12.2.1.

12.2.4 Individuals appointed at typically full-time ranks may shift to part-time status for pre-determined periods not to exceed three years for one of the purposes cited above. Requests for such shifts must be formally submitted to and approved by the Dean. The request should describe in detail the reasons for the shift to part-time status, the percentage of effort to be devoted for a specified time period, and the manner in which the individual’s commitments to teaching, scholarship, and service will be maintained during the part-time association.

12.3 Time-in-Rank
Faculty may stop the clock in two ways, by shifting to part-time status for a pre-determined period, or without taking a leave of absence as described below.

12.3.1 Shift to part-time status
In the case of a shift to part-time status under condition (12.2.4) above, time-in-rank will be calculated proportionally up to a maximum extension of three calendar years. For example, an individual who gains approval to work half time for a period of two years will accumulate one year in rank during the part-time period of employment. For such an individual at the rank of assistant professor, the time-in-rank permitted would thereby be extended to 7 calendar years. The maximum would be the faculty member who worked at a third time for up to three years, thereby extending the maximum time-in-rank for an assistant professor up to nine calendar years.
12.3.2 Stop the tenure clock
It is also possible for faculty with family responsibilities to stop-the-clock without taking a leave of absence. Such leaves will include one promotion clock stoppage up to one year for pregnancies or childbirth experienced by a faculty member, for a newly-acquired dependent (includes, for example, adoptions and elderly parents), for a new disability, or for death of spouse or dependent. Under these circumstances, the clock may be stopped for a maximum of two years per promotion interval without shifting to part-time status, thereby extending the maximum time in rank from seven to nine years as assistant professor, and from nine to eleven years as associate professor.

While there are a variety of circumstances under which the promotion clock may be stopped, the most likely to affect assistant and associate professors are due to childbirth and adoption. A tenure-track assistant or associate professor who becomes the parent of a child by birth or adoption may be granted a one-year extension to his or her time in rank. Notifications must be made by the assistant or associate professor in writing to the Dean of the School prior to the clock stoppage, or, if such notification is not possible in advance, within 90 days of the childbirth or adoption. Faculty members whose promotion clocks are affected by this policy may be considered for promotion prior to the expiration of their term, upon recommendation of the Dean.

To stop the clock under other circumstances, such as new disabilities, or deaths of a spouse or dependent, the faculty member must make the request prior to or within 90 days of the start date of the clock stoppage through the Dean. No retroactive clock stoppages will be considered. The Dean must approve or modify the request by the faculty member before any changes to the tenure promotion clock.

12.3.3 Time limits
There will be a limit of a total of two years of stoppage within any promotion interval (i.e., from assistant to associate professor, or from associate to full professor) from either a shift to part-time status or from stopping the clock while employed on a full-time basis, or a combination thereof. Furthermore, the faculty member may request and negotiate release from teaching and committee responsibilities with the Dean for the periods corresponding to the above clock stoppages. Under typical circumstances, one course release will be granted.

12.3.4 Benefits
Eligibility for benefits during periods of leave will be governed by established Human Resources Policies of the University. Specifically, this means that:

a. If two full-time Carey Business School faculty members are requesting benefits for the same event, under typical circumstances the benefit will be shared proportionally as requested by the two faculty members.

b. During the period of leave medical, dental, group life and dependent life insurance will be made available on the same cost-sharing basis as is available under the Personal Benefits Elections Plan except that employee contributions will be made in after-tax dollars.
c. In order to qualify for tuition remission, requests for the benefits must be made prior to the initiation of the leave of absence.

### 13.0 APT Policy Revisions

It is anticipated that as the Carey Business School develops there may be a need to modify or revise these procedures. Proposed revisions may be submitted by the Program Director(s) and the Dean to the Academic Board. A majority of the Academic Board in attendance must approve the proposed changes. Changes to tenure policy must be submitted by the President to the Board of Trustees for approval.
Appendix A
Guidelines for Carey Business School Ad Hoc Committees

Committee Formation
Ad hoc committees are appointed to advise the Appointments, Promotions, and Tenure Committee (APT) on recommendations for initial appointment or promotion to the rank of professor. The APT Committee may also appoint ad hoc committees to advise in other circumstances that it judges to deserve special review as provided in the Academic Appointment and Promotion Policies and Procedures. The ad hoc committee will consist of at least three members and will be chaired by a member of the APT Committee. The Carey Executive Vice Dean for Faculty and Research shall support the ad hoc committee. Members of the ad hoc committee must be at least of the academic rank recommended for the candidate to be reviewed and at least one member should be knowledgeable in that individual’s field of specialization. Other members may hold a primary appointment in another division of the University or, in exceptional cases, might hold an appointment at another institution.

Confidentiality
Knowledge of the identity of ad hoc committee members must not extend beyond the APT Committee and Academic Board. All requests for reference letters and other information will be made through the Dean’s office. Under exceptional circumstances and after consultation with the chairperson of the APT Committee, the chairperson of the ad hoc committee may initiate direct follow-up contacts with persons outside the Johns Hopkins community. Such contacts within the Hopkins community should be made through the chairperson of the APT Committee.

Initial Review
The ad hoc committee will meet within two weeks after it is appointed to review the materials that have been submitted in support of the recommendation for appointment or promotion. These materials will include:

a. a letter of recommendation from the Dean
b. the candidate’s current curriculum vitae
c. three to five publications that are considered by the Dean and the candidate to be the best representation of the candidate’s scholarship to be sent to external referees for their review and appraisal
d. names of external referees with complete contact information, provided by the Dean

Solicitation of Referees
The choice of referees to be solicited is critical. The ad hoc committee should make every effort to identify a number of knowledgeable individuals who are able to make truly informed judgments about the candidate’s scholarship. The ad hoc committee should request reviews by enough external referees so that a sufficient number of substantive responses are obtained. The number of letters solicited depends on the position’s anticipated rank (Professor = ten (10) letters and Associate Professor = eight (8) letters). About half of those selected should be chosen from the list provided by the Dean.

The list of suggested references is submitted by the Dean.

Processing of Information Requests
Names of references and other information to be sought will be submitted by the ad hoc committee to the Dean’s office, which will process the requests with the request that responses be submitted within four weeks of the date of request. The ad hoc committee may modify the form letter that is sent out requesting a reference. Initial follow-ups of non-respondents will be made by the Dean’s office. In exceptional cases when the initial follow-up is unsuccessful and the information is considered vital, the chairperson of the ad hoc committee or of the APT Committee may contact a referee.

**Final Ad hoc Committee Review**
Within approximately seven weeks after its initial meeting, the ad hoc committee should meet again to review the information and documentation and to make its assessment.

When a decision has been reached, the ad hoc committee will prepare a report to the APT Committee describing the Committee’s evaluation and the reasoning behind it. The report should highlight information that weighed most heavily in the deliberations and include the opinions of all full-time tenured faculty members. The evaluation should be supported by substantive evidence that is objectively verifiable.

The report should indicate whether or not the committee is unanimous in making its evaluation. This report should include a list of all external referees’ contacted, pertinent information on the standing of the reviewers in their fields, and an indication of any special relationship between the reviewer and the candidate.

With the approval of the chairperson of the APT Committee, the ad hoc committee may under special circumstances meet with the Dean to discuss its final report. The chairperson of the APT Committee is also invited to this meeting.

If the ad hoc committee is seriously delayed at any point in its processes or deliberations leading to its final report, the chairperson of the APT Committee will alert the Dean to the general situation; the Dean can then communicate with the candidate.

**APT Committee Action**
The report and all supporting information will be forwarded to the APT Committee for action. The chairperson of the ad hoc committee, who is a member of the Academic Board, will summarize the ad hoc committee’s deliberations and respond to any questions the APT Committee may have about the report. When the APT Committee is satisfied that it is ready to begin evaluative discussions and take action, the members from the candidate’s program area and anyone else with a potential conflict of interest will absent themselves from the meeting. After evaluative discussions, the remaining members of the APT Committee, who must represent a quorum or majority of committee members, will vote whether or not to recommend appointment or promotion.

If the majority of the APT Committee in attendance disagrees with the recommendation of the ad hoc committee or desires further information, it will meet with members of the ad hoc committee to secure the additional information or resolve the differences. If differences in judgment remain, the recommendation of the APT Committee is final.
If the majority of the APT Committee votes to recommend appointment or promotion, that recommendation will be forwarded to the Academic Board. If the APT Committee or the Academic Board does not support a recommendation for appointment, promotion, or tenure as the case may be, the chairperson informs the Dean, who may withdraw the recommendation or appeal to the Academic Board, whose decision is final.

**Timetable**
The processing of requests for appointment and promotion should be both thorough and expeditious. The elapsed time between submission of the request and APT Committee action should typically be about three months. Committee staff will maintain a running record of the status of each request, and whenever an element in the process is delayed, the chairpersons of the ad hoc committee and the APT Committee will be alerted to consider action that might be taken to expedite the processing. The chairperson of the APT Committee should notify the Dean of any substantial delay.