1.0 General Considerations

1.1 Purpose

The Carey Business School (“School”) sets forth in this document policies governing faculty appointments, promotion, and tenure, and faculty responsibilities to the School and to The Johns Hopkins University (“University”). The procedures herein provide a fair and uniform process for decisions regarding faculty appointments, promotions and tenure. Policies governing faculty responsibilities to the School and the School’s responsibilities to faculty provide a framework by which the Dean, along with the Vice Dean for Faculty & Research and Vice Dean for Education, will determine specific research, teaching, and service expectations.

1.2 Academic Governance

Academic governance of the School is primarily the responsibility of the Dean, the Vice Dean for Faculty & Research, and the Vice Dean for Education, along with the School’s faculty who hold full tenured professor rank. There will be a Senior Faculty Committee (SFC), which will be chaired by the Dean and in addition comprise all full-time tenured faculty at the Professorial level. (This includes the School’s Bloomberg Distinguished Professors. All references hereinafter to full-time faculty include the School’s BDP faculty.) The Dean may add a representation of practice track faculty at the Professorial level. All members of the SFC are voting members. When the number of tenured Professorial faculty exceeds fifteen (15), a process will be designed by which all School faculty will elect a subset of the tenured faculty to serve on this committee, along with representation by practice track faculty at the Professor rank.
The SFC serves in an advisory capacity to the Dean, and advises the Dean on faculty annual evaluations, appointments, contract renewals, promotions, as well as such policy matters that the Dean or other members of the committee may choose to bring forward. Sharing in this responsibility will be an Academic Board (see section 1.2.1).

In their advisory capacity to the Dean, a simple majority of the SFC’s members will constitute a quorum. At face-to-face (or conference call) meetings where a quorum is reached, decisions require a simple majority, with the exception of decisions regarding an increase in teaching load or dismissal of a tenured faculty member, which require a two-thirds vote. For email votes, unanimous consent of all voting members is required. However, the Dean can specify in the email communication that unanimous consent can be determined by an absence of objections via email by a specified date. Any concern or objection from an SFC member regarding an email vote – either on substance of the issue or an objection to conducting the vote via email – by the date specified will trigger a face-to-face meeting of the SFC to decide the issue.

1.2.1 Academic Board Structure

The Academic Board has the primary responsibility of offering advice and counsel regarding academic governance decisions that the Dean may choose to bring forward, and to carry out responsibilities as described herein. The Academic Board will be structured as follows:

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

b. Composition of the Academic Board will be of eight tenured University professors, five of whom are appointed from Johns Hopkins University divisions other than the Carey School, and three of whom are appointed from the Carey School, as proposed by the Dean. 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.

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

d. The Vice Dean for Faculty & Research will serve as the Secretary of the Academic Board and will not have a vote, unless he/she is appointed as a voting member.

e. The Dean’s membership will be ex-officio with a vote.

f. Except for the Dean and Provost, the Academic Board membership appointment is for one year and subject to reappointment for one-year terms, with a maximum term of eight (8) years, unless this requires replacement of more than two members in any given academic year. Members who are rotated off the Academic Board may be reappointed after a one-year hiatus.

g. The Academic Board will meet at the direction of the Provost upon request by the Dean, and shall meet at least twice each year.

h. A simple majority of the Academic Board’s members will constitute a quorum, i.e., 5 of the 9 voting members constitutes a quorum. The Dean and the Provost (or his/her designee) must be present if any votes are taken. At face-to-face (or conference call) meetings where a quorum is reached, decisions require a simple majority, e.g., 3 of 5 or 4 of 7 votes. For email votes, unanimous consent of all 9 voting members is required. However, the Dean can specify in the email communication that unanimous consent can be determined by an absence of objections via email by a specified date. Any concern or objection from a board member regarding an email vote – either on substance of the issue or an objection to conducting the
vote via email – by the date specified will trigger a face-to-face meeting of the Academic Board to decide the issue.
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 Academic Board will, with consideration of recommendations from the Dean, appoint an Appointments, Promotion, and Tenure Committee (“APT Committee”), a subcommittee of the Academic Board (see section 4 for details).

1.2.2 Revisions, Amendments, and Updates

The Dean will consult with the SFC regarding revisions and updates to the policies and procedures described in this document. Such changes, as well as the vote of the SFC, will be presented by the Dean to the Academic Board, including revisions to the Academic Board itself, as well as the APT structure and procedures set forth in this document. All such changes regarding policies and procedures contained in this document require a vote by the Academic Board according to the rules set forth in 1.2.1.h. Changes to the tenure policy are reviewed by the Academic Board; if approved, these changes are submitted to the Provost.

1.3 Obligations of the School and Faculty

The Dean has the responsibility 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 School and its faculty members have basic obligations to each other. 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. The Johns Hopkins University academic freedom statement can be found here: http://web.jhu.edu/administration/provost/initiatives/academicfreedom/index.html.

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

c. To provide an 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 the faculty to the School are:

e. 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.

f. To teach with the highest levels of professional competence and with intellectual and ethical honesty.
g. To continue professional development in their academic discipline, and, for tenure-track faculty in particular, to create and disseminate new knowledge in their field via research activities and other scholarly contributions.

h. To actively participate in service roles both at the School and University levels, such as committee work and other administrative duties.

i. To contribute to the School’s community building, as well as that of the University.

j. To carry out other responsibilities as requested by the Dean.

1.4 Faculty Voting Rules

When matters are brought to the faculty for a formal vote, the governing faculty shall include all full-time faculty members of the school, both tenure-track and practice track, who are professors, associate professors, assistant professors, senior lecturers, and lecturers. For in-person votes or those conducted via email, fifty percent of the full-time faculty shall constitute a quorum and must participate in the ballot. Votes will pass with a simple majority of the fifty percent or more participating.

2.0 Faculty Titles

This section lists the academic titles of different types of full-time and part-time faculty appointments used at the Carey School. A description of the criteria for appointment and, where relevant, promotion, are listed in the following sections.

For all faculty, full-time and part-time, the official titles are listed on the faculty directory websites of the Carey Business School and Johns Hopkins University.

2.1 Full-Time Faculty Titles

Appointments to full-time regular rank faculty shall be designated as either in the tenure-track (research focus) or in the practice track (teaching focus). The determination of tenure-track status is made by the Dean at the time the Dean creates the position.

a. Professor, Associate Professor, Assistant Professor

Faculty with the titles of Professor, Associate Professor, and Assistant Professor are in the tenure track. Tenure-track faculty are eligible for tenure at the rank of Professor.

b. Professor of Practice, Associate Professor of Practice, Assistant Professor of Practice

Faculty with the titles of Professor of Practice, Associate Professor of Practice, and Assistant Professor of Practice are in the non-tenure track and are not eligible for tenure consideration.

c. Senior Lecturer, Lecturer

Faculty with the titles of Senior Lecturer and Lecturer are in the non-tenure track and are not eligible for tenure consideration.

d. Emeritus Faculty

Distinguished faculty who have held the rank of Professor and who have retired from full-time service at the University and been granted emeritus faculty status.

e. Joint Appointments and Courtesy Appointments

Faculty holding joint appointments (with a teaching load obligation) and courtesy appointments (an affiliation without a teaching obligation), with primary appointment at another school, see Section 3.10.
2.2 Part-Time Faculty Titles

a. Adjunct Instructor
Adjunct Instructors contribute in a part-time capacity to the teaching programs of the School. There are no ranks for Adjunct Instructors, nor is there a limit on the length of time such a title can be held. Invitations to teach as an adjunct are made on a semester-by-semester basis.

b. Senior Professional Instructor
The Senior Professional Instructor (SPI) title has historically been reserved to recognize Adjunct Instructors who have taught at least two courses per year for a minimum of three years and have consistently been highly effective in their teaching, and who have demonstrated or expressed an interest in furthering the mission of the School beyond teaching in the classroom. The School will be discontinuing new appointments to this title as of January 1, 2018. Adjunct faculty who currently hold the SPI title will be grandfathered in and can continue holding this title, subject to teaching needs of the school and continued strong teaching performance.

c. Visiting Faculty
An individual with a full-time appointment at another institution or agency may be given the title of “Visiting Professor,” “Visiting Associate Professor,” etc., as appropriate, if their primary role while visiting at the School is instructional, or “Visiting Scholar” if their primary role is to conduct research activities with one or more School faculty. Visiting faculty are typically appointed for periods ranging from one month to a semester, although can be appointed for a period not to exceed 12 months, with no commitment for appointment to the permanent faculty. Such appointments may be renewed upon review.

d. Executive Visiting Professors and Executive Professors of Practice
Appointed by the Dean and comprise accomplished business, non-profit, or government leaders who bring practice into the classroom and connect Carey to the practice world. There are no ranks for these faculty; contracts are short-term, teaching one or two courses per year as part-time faculty. Executive Visiting Professors may have contracts ranging from one (8-week) term to one year. Executive Professors of Practice may have contract terms of three years or less.

3.0 Criteria for Appointment and Promotion of Full-Time Faculty

3.0.1 Overview: Contracts and Tenure Clock
This section covers tenured, tenure-track and practice track full-time appointments and promotion. The School requires two primary types of full-time faculty members to achieve its mission: (1) those who focus on delivering a unique or extraordinary educational experience to students (largely practice track faculty); and (2) those who focus on delivering the highest-quality and most influential scholarship and on bringing that scholarship into the classroom (largely tenure-track faculty). Both faculty types contribute to achieving Carey’s mission and enhance its reputation within and outside of the University.

Each faculty member is subject to contract terms (e.g., contract length and teaching load) within each title, as determined by the Dean with advice from the Vice Dean for Faculty & Research and the SFC. Appointments typically begin August 16th of each year.

In March 2017, the Academic Board approved a change to the tenure-clock, effective with faculty appointments as of August 16, 2017. The previous version of the Faculty Handbook stipulated that appointment at the rank of Assistant Professor in the tenure track consisted of one
three (3) year contract with an option for renewal for a second three (3) year contract, followed
by promotion decision to Associate Professor, which, if successful carried a three (3) year term
and with a renewal option for a second three-year term. Thus, there was a twelve (12) year clock
from initial appointment as Assistant Professor until the tenure decision at promotion to
Professor. All tenure-track faculty holding the title of Assistant Professor or Associate Professor
(untenured) as of August 15, 2017, are grandfathered into the previous 12-year clock. New
faculty who begin their contracts on or after August 16, 2017, are governed by a nine (9) year
tenure clock. On the 9-year clock, the Assistant Professor contract terms do not change, however
upon successful promotion to Associate Professor (untenured), there is one three (3) year
contract, before the promotion decision to Professor with tenure. See Section 3.3 for further
details, including the option to request consideration for promotion at any time in rank.

3.0.2 Summer Stipends
Tenured and tenure-track faculty with 9-month contracts are eligible to receive a summer stipend
of up to 2/9 of base salary, e.g., a faculty member may receive no summer stipend, a 1/9 stipend,
or a 2/9 stipend. Eligibility of tenure-track professors for summer stipends is determined based
on an assessment of whether the faculty member is actively pursuing a research agenda, with
evidence of successful outcomes over the previous three years (i.e., eligibility recognizes the
time it takes for academic publication and does not rest strictly on only the previous year’s
activities and results). In determining eligibility of less than 2/9 of base salary, the Dean will
consult with the SFC, which will make a recommendation to the Dean, and the vote recorded.
For tenured professors, the Dean will make a determination of the summer stipend on the
recommendation of the Vice Dean for Faculty and Research.

3.1 Principles for Appointment and Promotion of Full-Time Faculty
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 the University, and in light of the skills,
expertise, and academic and professional 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 of the Vice Dean for Faculty & Research and the
Dean to create an environment which fosters development, both through a formal annual review
process (see section 7.0), as well as informal mechanisms of support.

Tenure is not an automatic consequence of full-time employment at the School for any given
number of years. Rather, it is a privilege that is earned by merit and conferred on an individual
tenure-track faculty member by the action of the Academic Board, the University President, and
the University Board of Trustees. Tenure decisions are based on the cumulative contribution of a
candidate’s scholarship, teaching, and service to the School, University, community, and his/her
academic and professional disciplines. The relative contributions of a candidate’s scholarship,
teaching and service may vary from case to case – however, the overall contribution must be
outstanding.

It is crucial to the academic health of the University and to the School that high standards for
appointment and promotion be maintained. The following are important criteria that will be
considered in the appointment and promotion of full-time faculty:
a. **Scholarship** is defined as the substantive contribution of new knowledge, whether that knowledge enhances our understanding of the world or advances practice. Scholarship seeks to establish facts, develop principles, analyze questions or evaluate hypotheses proposed within an area of intellectual pursuit through the collection of well-documented evidence, or the development or critique of theory. Scholarly productivity reflects a serious and sustained commitment to the generation of new knowledge. New knowledge can be put to use and influence the thought or work of others only if it is communicated or demonstrated in a form that can be passed on to peers in a given field of study, particularly in written form. Thus, 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; practice-oriented scholarship is evaluated on quality of publications as well as impact metrics that include influence in one’s field and outside one’s field or significant recognition by business. Both the quantity and quality of all such indicators are evaluated, with the emphasis on quality. The essence of creative scholarship is significance and quality, as well as the establishment of an independent identity as a researcher, as assessed by peer judgment. For example, publications that require rigorous review for acceptance (e.g., articles in refereed journals or in refereed conference proceedings) carry considerably more weight than those that are not. In cases of multiple authorship, the degree of contribution to the study by each person should be established as clearly as possible. Excellence in scholarship connotes a high level of significance, quality and influence in one’s field, and outside one’s field, given one’s rank.

b. **Teaching** constitutes a central function of the School. Faculty members are expected to demonstrate a sustained commitment to excellence in teaching in the School’s various degree programs. (Note that non-degree program teaching is referred to in part 3.1.c, on service.) There are many components of such excellence (in both onsite and online instruction), including the ability to organize material and convey it effectively to students, and the ability to successfully design a course or implement a course developed by others. Evidence of teaching quality can include course evaluations in their totality (not a single quantitative score or comment), course development, updated materials, or approaches to a course developed by others, evidence of well-designed assessments to achieve student learning goals, teaching methods designed to engage students and promote critical thinking, recognition of teaching efforts such as nomination or receipt of awards for teaching, technological innovations for instruction, demonstration of quality of student advising through letters or emails from advisees, and other evidence of impact. Additional sources of information for use in the teaching evaluation process may include, but not be limited to, observations by faculty colleagues or Teaching & Learning staff, and school-administered alumni questionnaires.

c. **Service** is defined as active participation in professional activities internal and external to the School and University. Excellence in service connotes a strong reputation (internal or external) for a high level of competence and integrity in the discharge of a wide range of service duties. Additional signals of excellence come from the diversity of service duties across internal and external contexts, as well as demonstrable impacts of one’s service on the functioning or reputation of institutions. A high level of effectiveness in service connotes achievement of many, but not all, of the dimensions of excellence in service.

i. **School and University Service** is defined as active participation in School and University activities, such as committee work, administrative duties, faculty
mentoring, faculty recruiting, Executive Education (non-degree program development and/or teaching), student advising, student recruiting, student placement, and other activities that promote community building and the general welfare of the School and the University.

ii. *Professional/Community Service* represents external activities, with an emphasis on organized activities of an educational nature or influencing the world of professional practice. Examples include the enhancement of a professional discipline; service to business, government, or other non-profit organizations; teaching in programs sponsored by educational and business organizations, membership on academic evaluation teams or review boards, professional or community committee membership, holding of office in professional societies, or advising external groups in matters of professional expertise.

Tenure-track and tenured faculty are expected to engage in scholarship, teaching, and service activities to the School, to the University, and to the larger community. Although all tenured and tenure-track faculty have a primary focus on scholarship, not all 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.

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.

Appointments to the practice track are designed to enrich the School’s capacity to provide high quality teaching, expanded service capacity, and, in some cases, scholarship. The mission of the School requires practice track faculty who contribute to building the School’s capacity and reputation for delivering high-quality business education.

### 3.2 Appointment: Tenured Professor

Appointment at the rank of Professor in the tenure track shall carry tenure, except in rare situations where a contractual appointment is mutually agreed upon by the faculty member and the Dean with approval by the Academic Board. A Professor is expected to be a nationally and internationally recognized leader in his or her field, whose research and ideas are influential and make a significant contribution to scholarship. He or she is expected to stand in competition with the foremost professors of similar rank in similar fields at other peer business schools and to exceed the standards expected of Associate Professors. Furthermore, tenure may only be granted to those faculty members in the tenure track who have demonstrated unequivocally a present capacity and future 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. For the award of tenure, the School 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 (to the School and University, as well as to the profession or community). Tenured Professors must also be capable of mentoring, supervising and evaluating all other full-time faculty in the discharge of their duties. From discipline to discipline, the form taken by a candidate’s contributions will vary. In each case, the School expects the level and quality of achievement in these three areas, along with the prospects for
continued growth in these areas, to be equivalent to that required for tenure in peer business schools of other major research universities.

A tenured member of the faculty may be suspended or dismissed for cause on the basis of: (a) incompetence, (b) persistent neglect of duty, or (c) substantial and material misrepresentations in dealings with University officials, including, without limitation, during the appointment process, (d) conduct which is shown to violate University policies, rules and procedures applicable to a member of the faculty, or (e) conduct which is shown to substantially impair the individual's performance of the full range of his or her responsibilities as a member of the faculty. Matters involving revocation of tenure will be handled in accordance with the processes outlined in section 9.4.5.

3.3 Appointment & Time in Rank: Tenure-Track Associate Professor

To be appointed at the rank of Associate Professor on the tenure track, the candidate must have a clear record of steady progress towards outstanding achievement in scholarship, along with evidence of strong teaching quality, and significant service contributions. Additionally, the candidate is expected to show the promise of qualifying for the rank of Professor within the appointed timeframe. Persons holding this rank are expected to be on par with the foremost associate professors in similar fields at other peer competitor business schools and to have demonstrated a strong record of scholarly accomplishment. Associate Professors must also be capable of mentoring and evaluating tenure-track and practice track Assistant Professors, as well as Lecturers, in the discharge of their duties. From discipline to discipline, the form taken by a candidate’s contributions will vary. Appointment to Associate Professor may only be granted to those faculty members in the tenure track who have demonstrated the potential to contribute substantively to the broader aims and objectives of the School.

Associate Professors in the tenure track are appointed for a period of three (3) years. In the spring of an Associate Professor’s penultimate tenure clock contract year, the SFC will make a recommendation to the Dean regarding whether to proceed with the case for promotion to Professor with tenure. The Dean will send a letter to the Academic Board reflecting his or her opinion, as well as a summary of the SFC’s assessment, to the Academic Board for consideration. The remaining steps in the process are described in section 4.1.1.

If a positive promotion decision is made in the spring of the final tenure clock contract year, then the faculty member’s appointment will change to Professor with tenure beginning August 16th of the subsequent academic year.

In cases of a negative promotion decision by the Academic Board after review of the completed promotion package and solicitation of external letters, the faculty member will be given a terminal year following the academic year in which the negative decision is reached. If the faculty member does not come up for promotion in their final contract year (i.e., the Academic Board does not send the case to the APT committee to solicit external letters), then the subsequent academic year will be the terminal year.

If in the spring of an Associate Professor’s penultimate tenure clock contract year, the Dean or the Academic Board does not recommend proceeding with the case for promotion, the faculty member can appeal to the Provost (see section 4.6). The Provost’s decision shall be final.

Associate Professors may request consideration for promotion at any time in rank, prior to the timing mandated by the tenure-track clock (see section 4.0.2.2).
In exceptional circumstances, the Academic Board may recommend tenure for an Associate Professor before the expiry of the three (3) year period. Such candidates will have demonstrated outstanding achievement, substantial research in progress, and clear promise of merit for promotion to professor.

3.4 Appointment & Time in Rank: Tenure-Track Assistant Professor

Appointment to Assistant Professor is based on clear signals of aptitude for high-quality scholarship, and effective teaching and service. Persons holding this rank are expected to show the promise of qualifying for the rank of Associate Professor within six (6) years from their appointment as Assistant Professors.

Assistant Professors in the tenure track are appointed for a period of three (3) years from their first appointment at this rank and may be reappointed for a second three (3) year term. Reappointment is based on an assessment of whether the candidate has an emerging record of accomplishment towards outstanding achievement in scholarship, along with evidence of strong teaching quality (or trajectory of improvement with the promise of a high level of teaching effectiveness), along with demonstrated service contributions to the School (at the level appropriate for an Assistant Professor who has served for three years, e.g., service on a faculty committee or similar).

In the spring of an Assistant Professor’s penultimate tenure clock contract year, the SFC will make a recommendation to the Dean regarding whether to proceed with the case for promotion to Associate Professor without tenure. If the SFC votes to recommend promotion and the Dean is in agreement, the Dean will present the SFC’s recommendation and the vote count to the Academic Board, to request that the case be sent to the APT Committee of the Academic Board. If the Academic Board votes to approve, then the Vice Dean for Faculty & Research will work with the Assistant Professor to prepare their packet (see section 4.1.1).

If the SFC votes to recommend promotion and the Dean is not in agreement, the Dean will present his/her views along with those of the SFC to the Academic Board. This process shall also apply if the Dean recommends promotion and the SFC votes not to recommend promotion. The Academic Board will consider the case and vote whether to proceed with the promotion, sending the case to the APT Committee.

If a positive promotion decision is made in the spring of the final tenure clock contract year, then the faculty member’s appointment will change to Associate Professor without tenure beginning August 16th of the subsequent academic year.

If the SFC votes not to recommend promotion and the Dean concurs, the faculty member can appeal to the Provost (see section 4.6). The Provost’s decision shall be final.

If the faculty member is not put forward for promotion or is denied promotion in their final contract year, then the year after their final contract year will be the terminal year.
3.5 Appointment: Professor of Practice

Initial appointment to Professor of Practice (hereinafter Professor (Practice)), is for full-time faculty whose primary role is associated with the School’s educational mission and who, by virtue of their pedagogical expertise, external reputation and leadership, or their prior professional careers, merit a broader role. Such an appointment requires a sustained record of teaching experience and either recognition for excellence in teaching or for excellence in advancing the teaching mission of academic programs, including curriculum development, pedagogical innovation, or program leadership. A terminal degree is required.

In addition to their performance in the classroom, faculty at the rank of Professor (Practice) are expected to enhance the reputation of the School in other ways by contributing to the educational mission more broadly, and, if they choose, via scholarship with demonstrated impact. Contribution to the School’s educational mission and external reputation is evaluated by the degree to which the faculty member can demonstrate: (a) leadership in curriculum delivery; (b) service to the School, the University, the profession, and to business education or practitioner associations; or (c) impact on practice through such mechanisms as business or public policy consulting (in line with conflict of interest/commitment policies), Executive Education teaching, media interviews, op-eds, and public presentations. Where it is required, faculty must be capable of mentoring, supervising and evaluating full-time, practice track faculty as part of the School’s annual faculty evaluation process or mentoring programs. For faculty who choose to engage in scholarship and elect to include it as part of their performance evaluations (including promotion review), scholarly contributions will be evaluated based on quality of the publications and impact metrics including, but not limited to, the level of significance, influence in one’s field and outside one’s field (commensurate with the rank of Professor), and peer judgment.

Contract terms for full-time faculty at the rank of Professor (Practice) are determined by the Dean with input from the SFC.

3.6 Appointment: Associate Professor of Practice

Initial appointment to Associate Professor of Practice (hereinafter, Associate Professor (Practice)) requires a record of teaching experience and excellence in teaching, typically at the rank of Assistant Professor (Practice) for at least six (6) years. In addition, it requires the elements for initial appointment in the practice track as outlined in section 3.5, appropriate to the career stage and experience level of an Associate Professor. A terminal degree is required.

The expectations of faculty at the rank of Associate Professor (Practice) follow those outlined in section 3.5, appropriate to the career stage and experience level of an Associate Professor.

Where it is required, such faculty must be capable of mentoring, supervising and evaluating full-time, practice track faculty as part of the School’s annual faculty evaluation process or mentoring programs.

Contract terms for full-time faculty at the rank of Associate Professor (Practice) are determined by the Dean with input from the SFC.
3.7  Appointment: Assistant Professor of Practice

Initial appointment to Assistant Professor of Practice (hereinafter Assistant Professor (Practice)) is based on clear signals of teaching quality or aptitude, and the potential to contribute to the School’s educational mission. In addition, it requires the elements for initial appointment in the practice track as outlined in section 3.5, appropriate to the career stage and experience level of an Assistant Professor. A terminal degree is required.

The expectations of faculty at the rank of Assistant Professor (Practice) follow those outlined in section 3.5, appropriate to the career stage and experience level of an Assistant Professor.

Contract terms for full-time faculty at the rank of Assistant Professor (Practice) are determined by the Dean with input from the SFC.

3.8  Appointment: Senior Lecturer

Initial appointment to Senior Lecturer is based on a record of teaching excellence, or a distinguished professional record and aptitude for teaching excellence. In addition to progressing to the position of Senior Lecturer via promotion (see section 4.5), this title may be bestowed at initial appointment of those whose prior position at another academic or practice-oriented institution was one of appropriate responsibility and seniority. This appointment also requires the potential to contribute to the School’s educational mission beyond performance in the classroom, including, but not limited to course oversight, pedagogical or technological innovations for instruction, and student advising.

Contract terms for full-time Senior Lecturers are determined by the Dean with input from the SFC.

3.9  Appointment: Lecturer

Initial appointment to Lecturer is based on clear signals of teaching quality or aptitude, and the potential to contribute to the School’s educational mission. The primary focus of this appointment is a dedicated and sustained contribution to classroom teaching, student advising, and an overall engagement with student learning activities.

Contract terms for full-time Lecturers are determined by the Dean with input from the SFC.

3.10 Joint Appointments and Courtesy Appointments

3.10.1 General Policy

Joint appointments of faculty from another JHU school are proposed by the Vice Dean for Faculty & Research and approved by the Dean, with the consent of the chair of the department of primary affiliation of the faculty member being considered (i.e., the department chair of the faculty member’s home school) and, when appropriate, the Dean of the school in which the primary appointment is held.

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 school of primary affiliation. Joint appointments to the School, of a faculty member with a primary appointment in another school, should be made only when there is a tangible contribution by the faculty member to the School’s academic program or enrichment to research collaborations.
Courtesy appointments of faculty from another JHU school are proposed by the Vice Dean for Faculty & Research and approved by the Dean. Such appointments carry no teaching load obligation.

Joint and courtesy appointments may be granted for up to a three-year term and are subject to periodic review. Such appointments may be presumed to renew, unless rescinded by request from the courtesy/joint faculty member, the School, or the primary affiliation department or school.

3.10.2 Responsibility for Promotion, Tenure, and Salary

Responsibility for recommendation for promotion rests wholly with the department or school of primary affiliation and, similarly, consideration of the recommendation with the school 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 school should reflect the portion of total effort assigned that school.

3.11 Other Appointments: Emeritus and Adjunct

3.11.1 Emeritus Faculty

Distinguished faculty who have held the rank of Professor and who have retired from full-time service at the University may be granted an appointment as Professor Emeritus based on the recommendation of the Dean, with review and vote by the SFC. If approved, the recommendation goes to the Academic Board for approval by vote. If approved, the recommendation for appointment is sent to the Provost for consideration.

3.11.2 Part-Time (Adjunct) Faculty

Part-time instructors are hired based on expertise, after vetting of credentials by relevant academic discipline senior faculty or Academic Program Director, and upon approval by the Vice Dean for Faculty & Research. Contracts are for a given term or semester, and may be renewed based upon availability of classes and prior teaching performance.

3.12 Faculty Searches

It is the responsibility of the faculty, with oversight by the Vice Dean for Faculty & Research and Dean, to conduct open and thorough searches to identify the best candidate for each full-time faculty position consistent with the School’s Guidelines for Faculty Searches (see http://carey.jhu.edu/inside/resources-for-faculty/faculty-handbook/faculty-policies-and-procedures/). The School embraces the University’s commitment to hiring and retaining exceptional faculty who represent diverse backgrounds and experiences. We continue to build a foundation for faculty recruitment strategies best practices in the areas of equity, inclusion and diversity. Faculty search processes are in place to ensure that the School can attract, recruit, and retain a diverse faculty comprising exceptional candidates, and incorporate the core elements recommended in the University’s Faculty Diversity Initiative.

Recruitment for all full-time faculty positions must be approved by the Dean. Informational updates will be provided at least once each academic year to the Academic Board.
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’s 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 Vice Dean for Faculty & Research (or his/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.

4.0 Procedures for Appointment and Promotion of Full-Time Faculty

4.0.1 Structure of Appointments, Promotion, and Tenure Committee

The Appointments, Promotion, and Tenure Committee (“APT Committee”) is consulted regarding the following promotion cases: tenure track promotions from Assistant to Associate Professor, practice track promotions from Associate Professor to Professor, promotions with tenure to Professor, and appointments of faculty hired from other institutions as tenure-track Associate Professor and tenured Professor. Promotion on the practice track from Assistant to Associate Professor do not come to the Academic Board. Notwithstanding the structure set forth below, the Academic Board may make any decisions regarding appointments, promotions, and tenure at the rank of Professor, without referral to the APT Committee as it deems appropriate.

a. The APT Committee will be a standing subcommittee consisting of three to five members of the Academic Board (excluding the Dean), however the Academic Board may add non-voting advisors who are not members of the Academic Board. The APT Chair and at least one other committee member must be Carey faculty. The Dean will appoint one of the APT Committee members as the APT Committee chairperson. The APT Committee chair will be one of the School faculty members serving on the Academic Board, unless exceptional circumstances arise. (If the Vice Dean for Faculty & Research is appointed as a voting member of the Academic Board [see section 1.2.1.d], then he/she may serve as chair of the APT Committee; if the Vice Dean for Faculty & Research is not a voting member of the Academic Board, then he/she will serve as an ex-officio non-voting member of the APT Committee). APT Committee appointment is for one year and subject to reappointment.

b. All members of the APT Committee are voting members, including the chair. A simple majority of the APT Committee’s members will constitute a quorum, i.e., 3 of the 5 voting members constitutes a quorum, although every effort will be made to solicit in advance the opinions of those members unable to make face-to-face (or conference call) meetings. At face-to-face (or conference call) meetings, if more than 3 voting members are present, votes will carry with a simple majority. If only a quorum of 3 voting members is present, then votes must be unanimous. The APT chair (or his/her designee) must be present if any votes are taken face-to-face. For email votes, unanimous consent of all 5 voting members is required, however the APT chair can specify in the email communication that unanimous consent can be determined by an absence of objections via email by a specified date. Any concern or objection from a board member regarding an email vote – either on substance of the issue or an objection to conducting the vote via email – by the date specified will trigger a face-to-face meeting of the APT to decide the issue.
c. The APT Committee may also consult with JHU faculty who are not members of the Academic Board or APT when the field of expertise of the professorial candidate is substantially outside of the areas of expertise of the standing APT.

4.0.2 Process of the Appointments, Promotion, and Tenure Committee

4.0.2.1 Cases Considered by Academic Board

Cases may be referred to the APT Committee by the Academic Board either for initial appointment or promotion.

Initial appointments as Lecturer or Senior Lecturer, Assistant Professor (tenure-track or practice track) and Associate Professor on the practice track do not come to the Academic Board. Initial appointments as tenure-track Associate Professor (with or without tenure) and Professor (with tenure or practice track) come to the Academic Board for approval. In the latter two cases, the Dean will send a letter to the Academic Board reflecting his or her opinion, as well as a summary of the SFC’s assessment, to the APT Committee for consideration (see section 4.1.1).

Promotion cases considered by the Academic Board consist of the following: tenure-track promotions (from Assistant Professor to Associate Professor and Associate Professor to Professor with tenure), and practice track promotions from Associate Professor to Professor. All other promotions (e.g., Lecturer to Senior Lecturer) are handled internally by the School. In all promotion cases that come to the Academic Board for approval, the Dean will send a letter to the Academic Board reflecting his or her opinion, as well as a summary of the SFC’s assessment, to the APT Committee for consideration (see section 4.1.1).

4.0.2.2 APT Committee Process

In considering each case, the APT Committee can take several actions according to the circumstances:

a. If the APT Committee votes in favor of appointment or promotion of the candidate, the APT Committee chair will prepare a summary letter of the candidate’s accomplishments and potential for making significant contributions to the School and submit the assessment to the Dean. The Dean will communicate the APT Committee’s recommendation, along with his/her recommendation, to the Academic Board and request a vote (see section 1.2.1.h for Academic Board voting rules). Materials submitted to the Academic Board for its review and action will include the APT Committee chair’s summary letter, the candidate’s dossier, external review letters, and CVs of external reviewers. If the Academic Board votes in favor of appointment, promotion, or tenure, it will make a final recommendation to the Provost, who will present the case to the President for consideration, with final approval by the Board of Trustees. For initial appointments to the School, if the Academic Board does not vote in favor, the decision will be final. For all other cases (i.e., faculty whose cases come to the Academic Board for promotion and tenure decisions), the faculty member has the right to appeal, as noted in part c of this section, below.

b. If the APT Committee does not vote in favor of the appointment, promotion, or tenure case, the chair of the APT will inform the Dean, who may withdraw the nomination or appeal the matter to the Academic Board, whose decision will be final, except for promotion and tenure decisions, which are subject to the appeal right noted in part c of this section, below.
c. At any point in the process, if a negative decision or vote is reached pertaining to promotion or tenure, the faculty member may appeal to the Provost (see section 4.6). The Provost’s decision shall be final. (Termination decisions may also be appealed; see section 4.6. Initial appointment decisions may not be appealed.)

A faculty member who wishes to be considered for promotion in advance of the required tenure-track clock may apply at any time for promotion based on meeting or exceeding the criteria for promotion to the next higher rank. (For cases where a faculty member is in the last year of their tenure-track clock, either as Associate Professor or Assistant Professor, see sections 3.3 and 3.4, respectively). The request is made to the Vice Dean for Faculty & Research, who presents the request to the Dean and the SFC for review. If the request is approved by the Dean, the Dean will submit a letter of recommendation and supporting materials to the Academic Board (for process, see sections 3.3 and 3.4). If the faculty member’s request is denied by the Dean, the faculty member can appeal to the Provost (see section 4.6). The Provost’s decision shall be final.

As noted above, 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’s 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 Vice Dean for Faculty & Research (or his/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.

4.1 Tenure Track

4.1.1 Appointment or Promotion to the Rank of Professor

The SFC will make a recommendation to the Dean regarding whether to proceed with an initial appointment or promotion to Professor with tenure. The Dean will send a letter to the Academic Board reflecting his or her opinion, as well as a summary of the SFC’s assessment, to the Academic Board for consideration.

The recommendation letter will outline the faculty member’s credentials, area(s) of expertise, and scholarly impact, and justify the long-term importance to the School of having such a tenured faculty member within the School. The letter will include a brief outline of the candidate’s demonstrated scholarship, teaching, service (including demonstrated leadership skills or capabilities), and general reputation in his/her field. A current curriculum vitae (CV) will be provided. The Academic Board will vote on whether to send the case to the APT Committee (see section 1.21. for Academic Board voting rules) or whether to review the case itself (which is an option granted to the Academic Board only at the rank of Professor).

The Vice Dean for Faculty & Research will work with the candidate to create the dossier to submit to the chair of the APT Committee (or Academic Board chair). This dossier includes the following:

a. Current curriculum vitae
b. Professional statement covering research, teaching and service (maximum 10 pages)
c. Copies of three relevant publications (either three published articles or two published articles and one working paper)
d. Citation counts or other evidence of impact
e. Names of external reviewers who might appropriately be asked to write letters of reference. In addition to the Vice Dean for Faculty & Research, the APT Committee Chair may advise the candidate in developing their list of 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 thesis advisor or committee members, or co-author on publications). For Professor with tenure appointment or promotion, ten (10) letters of reference from external reviewers are required for review. (Note that the APT retains the right to select only a subset of the list of external reviewers named by the candidate and supplement with a list as determined by the APT in coordination with the Vice Dean for Faculty & Research.)

For promotion cases, the packet will be submitted on August 15th of the beginning of the faculty member’s final tenure clock contract year.

If the Academic Board votes against sending the case to the APT or votes not to recommend appointment or promotion, the faculty member can appeal to the Provost (see section 4.6). The Provost’s decision shall be final.

4.2 Appointment, Reappointment, and Promotion to Rank of Associate Professor

4.2.1 Initial Appointment

The initial appointment of an Associate Professor as the result of a search follows the process described in section 4.1.1, except that eight (8) external letters are required for review.

4.2.2 Reappointment

Typically, individuals are either tenured or their appointments terminate by the end of their third (3rd) year at the rank of Associate Professor (see section 3.3). This timing occurs at the end of the sixth (6th) year at the rank of Associate Professor for those tenure-track faculty hired prior to August 16, 2017.

4.2.2.1 Promotion to the Rank of Associate Professor

Promotion to the rank of Associate Professor follows the process described in section 4.1.1, except that eight (8) external letters are required for review.

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, ten (10) letters of reference from external reviewers should be obtained.

4.2.2.2 Appointment & Reappointment to the Rank of Assistant Professor

For the initial appointment, the search committee will prepare a briefing for the Dean (along with a current curriculum vitae), in consultation with the Vice Dean for Faculty & Research, to recommend a candidate for appointment as Assistant Professor on the tenure track. The Vice Dean for Faculty & Research will bring the recommendation to the Dean for approval.

At the time of contract renewal, the SFC will make a recommendation to the Dean on reappointment at the rank of Assistant Professor to a second term. The process for contract renewal is internal, there are no external review letters. The renewal decision is made at the time
of annual faculty evaluations (see section 8) and is based on assessment of progress towards promotion to Associate Professor without tenure. The emphasis for this assessment is based on an emerging record of accomplishment towards outstanding achievement in research, along with evidence of strong teaching quality (or trajectory of improvement with the promise of teaching excellence), along with demonstrated service contributions to the School (at the level appropriate for an Assistant Professor who has served for three years, e.g., service on a faculty search committee or similar).

4.3 Practice Track

4.3.1 Appointment or Promotion to the Rank of Professor (Practice)

A faculty member who wishes to be considered for promotion to the rank of Professor (Practice) would typically have been at the rank of Associate Professor (Practice) for at least three (3) years. Faculty who wish to be considered for promotion in advance of this timing may apply, based on meeting or exceeding the criteria for promotion.

The SFC will make a recommendation to the Dean regarding whether to proceed with an initial appointment or promotion to Professor (Practice). The Dean will send a letter to the Academic Board reflecting his or her opinion, as well as a summary of the SFC’s assessment, to the Academic Board for consideration. The recommendation letter will include a brief outline of the candidate’s demonstrated scholarship (if relevant), teaching, service (including demonstrated leadership skills or capabilities), and general reputation in his/her field. A current curriculum vitae (CV) will be provided. The Academic Board will vote on whether to send the case to the APT (see section 1.2.1.h for Academic Board voting rules) or whether to review the case itself. If the Academic Board votes against sending the case to the APT or votes not to recommend appointment or promotion, the faculty member can appeal to the Provost (see section 4.6). The Provost’s decision shall be final.

The Vice Dean for Faculty & Research will work with the candidate to create the dossier to submit to the chair of the APT (or Academic Board chair). This dossier includes the following:

a. Current curriculum vitae
b. Professional statement covering teaching and service (maximum 10 pages)
   - The teaching portion of the statement should focus on teaching philosophy and accomplishments, and include evidence of pedagogical innovation, course or curriculum development, effective interaction with students to achieve learning goals, and growth in the subject field and in teaching methods. The service portion of the statement could include contributions to the School such as committee service and leadership, faculty mentoring (inside or outside the classroom), program leadership, and information on professional activities (such as presentations at conferences or leadership in professional associations).
   - The teaching dossier should contain evidence of classroom teaching and course development; representative samples of course materials (e.g., syllabi, documentation of any significant teaching innovations, selected assessments or assignments that are exemplars demonstrating alignment of assessment techniques with course goals); and student evaluations (both formal School course evaluations and other evidence of student learning or impact).
If scholarship is included (at the request of the candidate), the dossier should also contain copies of three relevant publications. In addition, the candidate should include as part of their professional statement, a section relating to the subject matter and quality of their scholarship. This statement should incorporate information on impact metrics including, but not limited to, the level of significance and influence in one’s field and outside one’s field (e.g., via citation counts broadly interpreted, or significant recognition by business, business associations, or policy makers). The emphasis of the evaluation of scholarship is on impact.

c. Names of internal and external reviewers who might appropriately be asked to write letters of reference. These reviewers should be able to attest to the candidate’s qualifications for the rank of Professor (Practice), including their reputation in pedagogy and/or curriculum development, and how the candidate enhances the reputation of the School and University. These reviewers 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 thesis advisor, or co-author on publications). For Professor (Practice), six (6) letters of reference must be obtained. Two of the letters must be from School faculty, an additional two letters can be from either a School or Johns Hopkins employee (whether faculty or staff), and two of the letters must be external to Johns Hopkins.

○ If scholarship is included as part of the packet, then the two external letters must be from faculty at the rank of Professor (tenured or practice) in the candidate’s field who can assess the quality of the research publications.

For initial appointments to the School, if the Academic Board does not vote in favor, the decision will be final. For all other cases (i.e., faculty whose cases come to the Academic Board for promotion decision), the faculty member has the right to appeal, as noted in section 4.02.2.c.

At the time of contract renewal, the SFC will make a recommendation to the Dean. The process for contract renewal is internal, there are no external review letters, and is based on assessment of performance according to the applicable criteria described in this policy.

4.3.2 Appointment or Promotion to the Rank of Associate Professor (Practice)

Initial appointment and promotion to the rank of Associate Professor (Practice) is determined internally by the School, with notification by the Dean to the Academic Board. The process does not involve review or a vote by the Academic Board, except in the circumstances outlined in part c of this section, below). A faculty member who wishes to be considered for promotion to the rank of Associate Professor (Practice) would typically have been at the rank of Assistant Professor (Practice) for at least six (6) years. Faculty who wish to be considered for promotion in advance of this timing may apply, based on meeting or exceeding the criteria for promotion.

The process described in section 4.3.1 is followed, with these exceptions:

a. Promotion to Associate Professor (Practice) follows as in section 4.3.1.c, except that three (3) letters of reference shall be obtained (two of which must be from School faculty and one of which can be from either a School or Johns Hopkins employee, whether faculty or staff).

○ If scholarship is included as part of the packet (at the request of the candidate), then an additional two (2) external letters shall be obtained from faculty in the
candidate’s field who can assess the quality of the research publications (for a total of five (5) letters).

b. An internal review committee will be appointed by the Vice Dean for Faculty & Research, who will also appoint a committee chair. This committee will consist of three full-time faculty of associate professor or higher rank, at least two of whom are tenure-track (of which at least one is an SFC member). The committee will review the materials and provide a written recommendation to the Dean’s Office.

c. If the committee votes to recommend promotion and the Dean is not in agreement, the Dean will present his/her views along with those of the committee to the Academic Board. This process shall also apply if the Dean recommends promotion and the committee votes not to recommend promotion.

At the time of contract renewal, the SFC will make a recommendation to the Dean. The process for contract renewal is internal, there are no external review letters, and is based on assessment of performance according to the applicable criteria described in this policy.

4.4 Appointment of Assistant Professor (Practice)

For the initial appointment, the search committee will prepare a briefing for the Dean (along with a current curriculum vitae), in consultation with the Vice Dean for Faculty & Research, to recommend a candidate for appointment as Assistant Professor (Practice). The Vice Dean for Faculty & Research will bring the recommendation to the Dean for approval.

At the time of contract renewal, the SFC will make a recommendation to the Dean. The process for contract renewal is internal, there are no external review letters, and is based on assessment of performance according to the applicable criteria described in this policy.

4.5 Appointment of Lecturers, and Appointment or Promotion of Senior Lecturers

For the initial appointment of Lecturer or Senior Lecturer, the search committee will prepare a briefing for the Dean (along with a current curriculum vitae), in consultation with the Vice Dean for Faculty & Research, to recommend a candidate for appointment as Assistant Professor (Practice). The Vice Dean for Faculty & Research will bring the recommendation to the Dean for approval.

The title of Senior Lecturer may be bestowed upon those who have taught with distinction for a period of not less than five years, or whose position at another other institution at the time of hiring is one of appropriate responsibility and seniority. The Vice Dean for Faculty & Research will work with the candidate to create a packet including the following:

a. Current curriculum vitae

b. Brief statement covering teaching and service (2-3 pages), focusing on teaching philosophy and performance. It may also include evidence of pedagogical innovation, course development or enhancements to courses developed by others, along with any service activities or relevant responsibilities during the term of the appointment.

c. The teaching dossier should contain evidence of classroom teaching: representative samples of course materials (e.g., syllabi, documentation of teaching innovations, selected assessments or assignments that are exemplars demonstrating alignment of assessment techniques with course goals); and student evaluations (both formal School course evaluations and other evidence of student learning or impact).
d. An internal review committee will be appointed by the Vice Dean for Faculty & Research, who will also appoint a committee chair. This committee will consist of three full-time faculty, at least two of whom are tenure-track. The committee will review the materials and provide a written recommendation to the Dean’s Office. If the committee votes to recommend promotion and the Dean is not in agreement, the Dean will present his/her views along with those of the committee to the Academic Board. This process shall also apply if the Dean recommends promotion and the committee votes not to recommend promotion.

At the time of contract renewal, the SFC will make a recommendation to the Dean. The process for contract renewal is internal, there are no external review letters, and is based on assessment of performance according to the applicable criteria described in this policy.

4.6 Appeals

Faculty may appeal any tenure, promotion, or termination decision by the Dean to the Academic Board in writing within fourteen (14) calendar days of the decision which an appeal is requested. A verbatim copy of such appeal shall be provided to the Academic Board, the Dean, and the Vice Dean for Faculty and Research at the same time the appeal is transmitted to the Provost’s office. For appeals of a negative decision on tenure, the appeal will be submitted to the Provost within fourteen (14) business days of the denial decision. Appeals, if any, pertaining to decisions regarding professional misconduct up to and including termination shall follow the Johns Hopkins Carey Business School Faculty Misconduct Policy (see section 9).

5.0 Non-Sabbatical Leaves of Absence (other than Family and Medical Leaves), and Sabbaticals

5.1 Non-Sabbatical Leaves

We aspire to create a vibrant faculty community, where all full-time faculty contribute to the faculty community at one of the School’s campuses (currently Harbor East in Baltimore and Washington, DC). This includes, but is not restricted to, normal day-to-day interactions with faculty colleagues, staff, and students, participation at both faculty events (e.g., seminars, workshops), and school events (e.g., faculty meetings, admissions or student club events, and so on). Faculty teaching online courses, where teaching and office hours do not generally require an on-campus presence, are still expected to contribute to the School’s community.

Faculty who wish to request a non-sabbatical leave of absence for one term (8 weeks) or more, should submit a written request (email will suffice) to the Vice Dean for Faculty & Research with the proposed dates, an explanation of the purpose of the leave, and any relevant documentation. Requests must be submitted at least one term in advance (unless there are exigent circumstances), and are subject to Dean’s approval. Such leaves may be granted, with or without salary, for the purposes of engaging in research, scholarly work under foundation fellowships or grants, faculty exchange, or public service, provided that the period of absence does not impose undue hardship upon the School or faculty colleagues. Such leaves (including a visiting faculty appointment at another institution) may be granted for a period of up to one year and, with special justification, extended to a second year. No retroactive tenure clock stoppages will be considered. (Note that this section does not apply to leaves of absence under the Family and Medical Leave Policy, described in section 8).
In exceptional circumstances, for reasons that go beyond sufficient progress in scholarship, the contract of an untenured tenure-track assistant or associate professor may be extended for an additional year beyond the standard contract. Such a leave may be granted by the Dean after consultation with the Vice Dean for Faculty & Research and the SFC.

5.2 Sabbatical Leaves

Goal of Sabbatical: The primary purpose of a sabbatical leave is to provide an uninterrupted opportunity for intellectual refreshment and concentrated periods of scholarship. A sabbatical is intended to be of benefit to the faculty member, the School, and the University. The faculty member may conduct research, attend courses and/or conferences, or engage in academic activities at another institution.

5.2.1 Eligibility

All tenure-track Assistant Professors who have completed at least six (6) full-time years of service at the School and are promoted to Associate Professor are first eligible for a sabbatical leave the following academic year. A faculty member from another institution who is appointed as Professor (tenured) at the School is eligible for sabbatical six (6) years after their contract start date. A Professor (Practice) who has completed at least six (6) full-time years of service at the School at the rank of Professor is first eligible for sabbatical the following academic year. Subsequent sabbaticals for eligible faculty may be requested following completion of six (6) years since a previous sabbatical.

5.2.2 Procedure

Sabbatical leaves are not an entitlement, but rather are a privilege granted to enhance the research and professional development of tenured/tenure-track faculty to their benefit and the benefit of the School and University. Thus, sabbatical leaves must be requested and approved according to the process described in section 5.2.3.

5.2.3 Process

A memo will be sent to full-time tenured Professors and tenure-track Associate Professors by October 15 each year asking about sabbatical leave plans for the next academic year. Faculty members who are requesting sabbatical leave will be sent a Sabbatical Request form by the Office of Faculty & Research to be filled out and returned to the Vice Dean for Faculty & Research by December 15. Included in the application with the request form shall be:

- Current CV
- Statement of Research/Professional Development Intent (1-2 pages)
- Completed form (includes start date and length of leave, request for half or full salary; arrangements for teaching, advising, committee service, and other responsibilities during the faculty member’s absence, etc.)
  - Sabbatical salary options are either one semester (at half of the faculty member’s contractual teaching load) at full salary or two semesters (with full teaching relief) at half salary.
  - Benefits remain in place in either full or half-year sabbaticals; note, half-salary for one year will reduce University retirement contributions by half.
Sabbatical requests will be reviewed by the SFC, with a recommendation to the Dean regarding approval, and the vote recorded. The Dean has final discretion in granting sabbaticals. In the case of a Dean’s sabbatical, the Provost shall decide. Factors considered shall include, but are not limited to, performance in rank and statement of research/professional development intent. There may be additional considerations, beyond the merits, that are weighed by the Dean in granting sabbatical for qualified faculty in a particular year. These could include teaching needs (i.e., a faculty member may be needed to teach a particular course in a given year and be asked to defer their sabbatical) or availability of financial resources. Faculty who are denied sabbatical are eligible to reapply in the subsequent year.

Following a sabbatical leave, within sixty (60) days of returning from the leave, the faculty member will submit a 1-2 page written statement of sabbatical activities to the Vice Dean for Faculty & Research. Faculty are expected to return to the University for at least one academic year following a sabbatical leave, whether the leave is for one or two semesters.

6.0 Notice of Non-Reappointment/Termination

6.1 Notice of Non-Reappointment – Tenure-Track Faculty

This section pertains to untenured faculty at the rank of assistant or associate professor who are up for contract renewal but not up for promotion. In cases of non-reappointment of employment, the faculty member will be given a terminal year, which begins at the end of their final contract year.

6.2 Notice of Non-Reappointment – Practice Track Faculty

A member of the practice track with an appointment at the rank of Lecturer, Senior Lecturer, Assistant Professor, Associate Professor, or Professor will generally be given written notice of non-reappointment of employment at least one year before the end of their appointment. If, however, a notice of non-reappointment 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, or pay in lieu thereof.

6.3 Termination of an Appointment with Tenure or of any Appointment before the End of a Specified Term for Just Cause

Terminations for just cause may be initiated by the Dean after consultation with the Vice Dean for Faculty & Research and SFC, in accordance with the Johns Hopkins Carey Business School Faculty Misconduct Policy (see section 9).

7.0 Faculty Annual Reviews

7.1 Overview

Faculty reviews are conducted annually by the SFC, according to a calendar determined by the Vice Dean for Faculty & Research, typically initiated in April. During the annual faculty review process, all full-time faculty are assigned to a faculty reviewer who meets with them one-on-one to discuss their achievements during the last year as well as goals for the following year. Each faculty member submits their current CV and an annual report (according to a form distributed by the Vice Dean for Faculty & Research). Faculty reviewers receive these inputs, along with
information on course evaluations for each faculty member over the academic year. The individual senior faculty reviewers meet with each faculty member they are assigned to review, and then summarize their recommendations and assessment of performance for the Dean, who then reviews the materials jointly with the Vice Dean for Faculty & Research and SFC.

7.2 Review of Faculty without Tenure on the Tenure Track
Tenured professors will review tenure-track faculty who hold the title Assistant Professor and Associate Professor. These faculty are evaluated in accordance with all applicable criteria set forth in this policy, with a primary focus on the overall significance of their contributions to the discipline as evidenced by scholarly publications and other scholarly indicators.

7.3 Review of Faculty on the Practice Track
A Professor (tenured or practice) will review faculty who hold the title Assistant Professor (Practice), Associate Professor (Practice), Senior Lecturer, and Lecturer. These faculty are evaluated in accordance with all applicable criteria set forth in this policy, with a primary focus on teaching performance and contribution to the School’s educational mission.

7.4 Review of Tenured Faculty and Vice Deans
Tenured faculty and faculty at the rank of Professor (Practice) are evaluated annually by the Vice Dean for Faculty & Research and the Dean. As described in section 7.1, the review materials submitted include current CV, annual report, and course evaluations. Faculty who hold Vice Dean titles are evaluated by the Dean. The Dean and Vice Dean for Faculty and Research may enlist other tenured professors for assistance in the reviews.

7.5 Outcome of Review
Based on individual assessment by each senior faculty reviewer, along with input from the Vice Dean for Faculty & Research and the SFC, the Dean provides formal written feedback to each faculty member along with salary information for the coming year.
In addition to salary determination, depending on performance, the Dean may alter the teaching load of a faculty member along with service responsibilities. In such cases, as applied to untenured tenure-track faculty or practice track faculty, the Dean will consult with the SFC, who will make a recommendation to the Dean, and the vote recorded. The Dean will then determine how to proceed. Such cases do not go to the Academic Board for approval.

If the Dean wishes to decrease the base salary or increase the teaching load of a tenured faculty member, then in addition to the process described here, the Dean shall bring the SFCs vote along with the Dean’s own recommendation to the Academic Board. The Academic Board’s decision can be appealed to the Provost. The Provost’s decision shall be final.

7.6 Review of Adjunct Faculty
Review of adjunct (part-time) faculty is conducted annually by the Vice Dean for Faculty & Research with assistance from the faculty Academic Program Directors (APDs). The APDs will participate in evaluating adjunct faculty for their program and will consult with the Vice Dean regarding any appropriate feedback.
**8.0 Faculty Family and Medical Leave Policy**

This Family and Medical Leave (FML) policy is for eligible full-time faculty of the School.\(^1\) This policy can be superseded by Johns Hopkins University policy (see [HR Benefits website](#)).

While the importance of rigorous adherence to the School’s high standards of scholarship is unquestioned, it is important to acknowledge that actual performance in relation to these standards will be judged realistically in accordance with personal health, family, and professional obligations. In particular, it is recognized that personal health issues, parental, and other family obligations may impose demands on faculty that compete with their professional duties for a period of time. Examples of these personal obligations include (but are not limited to) pregnancy, childbirth, newly acquired dependents (including adoptions of minors and full time care of elderly parents), and new disabilities. This policy outlines the terms for faculty leaves of absence that are necessary to meet these personal health concerns and parental and other family responsibilities. It is the responsibility of the faculty member to work with the Dean and Vice Dean for Faculty & Research, as applicable, to ensure that family leave is minimally disruptive to the research and teaching mission of the School.

Faculty members who request to take a leave of absence under the terms of this FML policy may receive salary, as explained herein. They may also be eligible to apply for certain benefits under JHU’s benefits program. While on Family Medical Leave, the faculty member should not teach or perform research without the clearance of his/her health care provider.

### 8.1 Eligibility

All full-time faculty members in the School who have been employed at least one year are entitled under federal law to up to 12 unpaid weeks of FML within a rolling 12-month period, provided they have worked a minimum of 1,250 hours in the preceding 12 months.

Family and Medical Leave may be taken for the following reasons:

- The birth and care of the faculty member’s child, within one year of birth;
- The placement with the faculty member of a child for adoption or foster care, within one year of placement;
- The care of the faculty member’s parent, child, spouse, or domestic partner who has a serious health condition;
- The faculty member’s own serious health condition that prevents him/her from performing the essential functions of his/her position;
- Any qualifying exigency arising out of the fact that the employee’s spouse, son, daughter, or parent is a covered military member on “covered active duty” (as defined under the FMLA) or twenty-six workweeks of leave during a single 12-month period to care for a covered service member with a serious injury or illness if the eligible employee is the service member’s spouse, son, daughter, parent, or next of kin (military caregiver leave).

---

\(^1\) Generally speaking, Carey School adjunct faculty will not accumulate the minimum number of work hours (1250) to be eligible for FML, and therefore eligibility is typically limited to full-time faculty. Adjunct faculty who have questions about eligibility requirements for FML may consult with the Carey Human Resources team.
Leave time may be extended, with the approval of the Dean, beyond the 12 weeks specified by the Family Medical Leave Act (FMLA) or the term of any prior approved leave, if longer. Such extensions are discretionary unless otherwise required.

All benefits, including insurance, tuition remission and other benefits, are determined in accordance with University policy.

8.2 Procedure

A request for FML must be submitted in writing to the Vice Dean for Faculty & Research or via the online Request for Family Medical Leave, which may be obtained here: https://carey.jhu.edu/uploads/documents/FML_Request_Template_2017_08_16.docx. Notification should be provided at least 30-days prior to the beginning of leave, or as soon as practicable, to allow the School to make arrangements for teaching, research, and service.

All full-time faculty who have been employed in an eligible status with continuous service for at least one year are eligible for JHU Family Leave for New Parents benefits under this Policy, subject to the specific requirements for Birth Recovery Leave and Parental Leave. Eligibility for JHU Family Leave for New Parents is not contingent on FMLA eligibility (i.e., a faculty who has exhausted his or her FMLA period may still receive the benefit of JHU Family Leave for New Parents). In order to request leave under this Policy, eligible faculty must submit a “Request for Leave” form to Birth-ParentalLeave@jhu.edu.

The School’s Office of Human Resources or Central Human Resources will provide the faculty member with a Notice of Eligibility and Rights and Responsibilities for FMLA with any required certification forms or other relevant information related to the faculty member’s request for FML. A copy of the Notice will be provided to the School’s HR Administrator for Leave and Records.

Leave is provisionally granted when requested or designated as FML by the University. The faculty member must complete and return any required certification forms or other requested documentation in a timely manner as indicated in the information received from Human Resources. Failure to submit the requested documentation may result in the leave time being subtracted from the 12 week allotment of FML for that rolling 12 month period.

8.3 Pay Practices for Faculty on FML

8.3.1 General Pay Practices

- For leaves of absence for a faculty member’s own serious health condition, including recovery from childbirth, the faculty member will receive full salary from University funds for the first fourteen (14) calendar days of FML at the rate being paid prior to FML.
- Between the 15th and 90th calendar days of FML, the faculty member will receive forty percent (40%) of full salary from University funds at the rate being paid prior to FML. If the faculty member elected to purchase Short-Term Disability (STD) insurance coverage during the open enrollment period, the faculty member may apply for disability benefits through the University’s STD insurance carrier. The insurance carrier determines eligibility for short-term disability benefits, which, if approved, will pay sixty percent (60%) of salary for a period of up to 11 weeks as determined by the carrier and subject to the insurance policy’s then current weekly maximum payments for eligible absences.
- Beyond the 90th calendar day of FML, the faculty member may apply for Long-Term Disability (LTD) insurance benefits through the University’s LTD insurance carrier. The
insurance carrier determines eligibility for benefits. LTD benefits are not supplemented by additional payments from the University.

8.3.2 Specific situations:

- Maternity/Medical Leave: Benefits normally will be paid as described above for six to eight weeks following delivery, as determined by the insurance carrier and the physician. However, in the event of pre or post-delivery medical complications, the leave will be treated as provided in the General Pay Practices section 8.3.1.
- Medical Leave of Absence: For a serious physical or mental illness, including complications of pregnancy or childbirth, the leave will be treated as provided in the General Pay Practices section 8.3.1.
- Ill family member: Leave to care for an ill family member will be unpaid.
- Military Leave of Absence: FML for military leave will be unpaid.
- Birth Recovery Leave under the Family Leave for New Parents Policy: Birth Recovery Leave applies only to new mothers who give birth on or after July 1, 2017, and who meet the eligibility requirements are entitled to six weeks of fully-paid leave immediately following the birth of a child. This leave may be extended based on medical necessity as determined by the Hartford, and will run concurrently with the 12-weeks of job protection under FML, if still available to the employee.
- Parental Leave under the Family Leave for New Parents Policy: For births or adoptions of children under age 12 occurring on or after July 1, 2017, the Parental Leave Policy will provide faculty with paid time off for activities related to the care and well-being of their newborn or newly adopted child. Eligible faculty are entitled to four (4) weeks of fully-paid, job-protected Parental Leave.

8.3.3 Summer Research Stipend

Research (tenured/tenure-track) faculty who are eligible for a stipend for summer research during June and July and who are on FML during those months may receive their summer stipend while on FML with approval from the Dean. The faculty member will be required to submit a brief work plan that documents their summer research intentions and a brief report at the end of the summer outlining the research that was conducted during this period and the outcomes from this effort. Faculty who are receiving STD or LTD benefits should consult with the JHU Benefits Office and the insurance companies providing the benefits to determine if the summer research stipend affects eligibility for benefits.

8.3.4 Teaching Relief

A faculty member who goes on Family Medical Leave may request paid teaching relief from formal classroom duties for either the 16-week semester in which the FML event occurs or the subsequent 16-week semester. Although the faculty member may be relieved of classroom teaching, they will be expected to remain in residence and to continue their research and scholarship, departmental service and advising during any part of a semester that is not covered by the leave. Teaching relief may be combined with paid or unpaid leave to which a faculty member is entitled under this policy. Faculty are encouraged to work with their colleagues to ensure that the course(s) they are released from are properly covered.
8.3.5 Impact on Tenure Clock

For any tenure-track faculty member who has an approved family medical leave that is six (6) weeks or longer in duration, the tenure clock may be extended by one year, provided that the faculty member has performed acceptably against the tenure clock prior to the FML, with approval by the Dean. The Dean shall reserve the authority to not extend the tenure clock or to extend it for shorter or longer periods, depending on the circumstances of an individual case.

It is also possible for tenure-track faculty with exceptional family responsibilities to stop their tenure clock without taking a leave of absence. To stop the clock under these circumstances, the faculty member must make the request in writing to the Dean prior to or within 90 days of the start date of the clock stoppage. 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.

There will be a limit of a total of two years of stoppage for any faculty member. Faculty may not stop the clock for the final probationary year during which promotion review is mandatory.

8.4 Administration of FML Policy

Administration of this FML policy shall be carried out by either the Carey Office of Human Resources or Central JHU HR Offices.

In the event of a conflict between the application of this FML policy and the requirements of the FMLA, the application that provides the most favorable treatment to the faculty member will take precedence, provided the School shall remain in compliance with applicable federal law and regulations.

Full information about the FMLA may be obtained here: [http://www.dol.gov/whd/fmla/](http://www.dol.gov/whd/fmla/)

9.0 Faculty Misconduct Policy

Introduction

The Johns Hopkins Carey Business School (“Carey”) supports business knowledge development and education through our own initiatives, innovations, and collaborative programs across the Johns Hopkins University (“University”). We create and share knowledge that shapes business practices while educating business leaders who will grow economies and societies and are exemplary citizens. A spirit of mutual respect and a broad trust that all faculty members share this dedication are essential to fulfilling the missions of Carey. On occasion, however, it is necessary for the School to respond to evidence or complaints of unsatisfactory performance of professional duties or unacceptable behavior.

9.1.1 Scope

These procedures apply to all full-time Carey tenured, tenure track, and practice track faculty, as well as all part-time adjunct faculty. Faculty with courtesy or joint appointments, are governed by the applicable policies of the school or division where they hold their primary appointment.

---

2 The procedures in this faculty misconduct policy do not apply to the Dean; if a faculty member has a concern about the Dean’s conduct, the faculty member should bring his or her concern to the Provost.
9.1.2 Definitions and Standards

Faculty misconduct includes behavior outside the bounds of what is considered acceptable in the professional conduct of academic duties, such as:

- Deceptive or unethical behavior, fraud, dishonesty or other wrongdoing in the conduct of teaching, research (other than research misconduct, addressed immediately below), or other professional activities;
- Research misconduct is defined as falsification, fabrication or plagiarism in the proposing, performing, reviewing or reporting of research. For a definition and a description of the process to be followed if an allegation is raised, refer to Johns Hopkins University Research Integrity Policy at, [https://www.jhu.edu/assets/uploads/2017/08/university_research_integrity_policy.pdf](https://www.jhu.edu/assets/uploads/2017/08/university_research_integrity_policy.pdf). In accordance with this policy, the Vice Dean for Faculty & Research will serve as the Research Integrity Officer for the School.
- Persistent neglect of duty;
- Substantial and material misrepresentations in dealings with University officials, including, without limitation, during the appointment process;
- Conduct which is shown to violate University policies, rules and procedures applicable to a member of the faculty; or
- Conviction of a felony

The standard of evidence applicable to determinations of responsibility under these procedures is a preponderance of the evidence standard.

9.1.2.1 Administration of Procedures

The Dean’s Office is responsible for overseeing these procedures and providing administrative support for the process, except as provided below in section 9.2 in cases involving sexual misconduct, harassment, or discrimination. The Dean’s Office is available to answer questions concerning these procedures.

The likelihood that a criminal act may have occurred must be reported immediately to the University’s Office of the Vice President and General Counsel. Depending on the nature of the alleged criminal conduct, that office will promptly involve Security, the Office of Hopkins Internal Audits, or other appropriate University office(s), as well as federal, state, or local authorities, as appropriate.

Except as otherwise outlined in section 9.2.1, no legal counsel may participate in meetings or hearings pursuant to these procedures.

Any reference to the “Dean” made herein shall mean the Dean of Carey or the Dean’s designee.

9.2 Allegations of Sexual Misconduct, Discrimination, and Harassment

Responsible Employees, as defined under the General Anti-Harassment Policy, as well as the Harassment and Discrimination Procedures, must report allegations of sexual assault, sexual harassment, stalking, domestic violence and dating violence (collectively “sexual misconduct”), and any discrimination and harassment to the Johns Hopkins University Office of Institutional
Equity ("OIE"). The procedures followed by OIE are designed to comply with legal requirements governing complaints of sexual misconduct, discrimination, and harassment.3

9.2.1 Sexual Misconduct

Under the Johns Hopkins University Sexual Misconduct Policy and Procedures (Sexual Misconduct Policy),4 all “responsible employees,” defined to include all faculty (among other defined “responsible employee” categories), are required to promptly report allegations of sexual misconduct to the Title IX Coordinator in OIE. The Title IX Coordinator may be contacted at titleixcoordinator@jhu.edu or 410-516-8075 and OIE is located in Suite 515, Wyman Park Building, on the Homewood Campus. OIE will follow the procedures in the Sexual Misconduct Policy in reviewing and investigating any allegations.

In cases of i) sexual assault, relationship violence, and stalking, regardless of whether the complainant is a student, and ii) sexual harassment in which the complainant is a student, complainants and respondents may be assisted and advised by a supporter of their choice, including legal counsel, throughout the investigative and resolution process as described and subject to the limitations in the Sexual Misconduct Policy. This supporter may accompany the party to any meeting or hearing held pursuant to these procedures, but may not speak on the party’s behalf or otherwise participate.

At the close of any investigation, the investigator(s) will prepare an investigative report with a recommended determination as to whether the respondent is responsible for the alleged violation. In the case of Carey faculty respondents, the OIE report will be referred to the Dean for adjudication in accordance with section 9.4 below.

9.2.2 Discrimination and Harassment Other than Sexual Misconduct

For allegations of discrimination and harassment (other than sexual misconduct), as defined in the Johns Hopkins University General Anti-Harassment Policy, as well as the Procedures on Discrimination and Harassment (Discrimination and Harassment Policy/Procedures),5 OIE will follow the procedures set forth therein. OIE will prepare an investigative report at the close of any resulting investigation. In the case of Carey faculty respondents, this report will be referred to the Dean for adjudication in accordance with section 9.4.

9.3 Allegations of Professional Misconduct (Other than Sexual Misconduct, Discrimination, and Harassment)

The investigative process for complaints of sexual misconduct, discrimination, and harassment is discussed in section 9.2 above. For professional misconduct falling outside of those categories, the process set forth in this section will apply.

---

3 The Johns Hopkins University Sexual Misconduct Policy and Procedures governs the investigation and resolution of allegations of sexual misconduct and the Johns Hopkins University’s Procedures on Discrimination and Harassment govern the investigation and resolution of allegations of discrimination and harassment (other than sexual misconduct). Certain special procedural rights apply to these types of cases as set forth in the respective University policies. To the extent there is a conflict between these procedures and one of the foregoing University policies, the University policy shall prevail.

4 See http://sexualassault.jhu.edu/policies-laws/.

9.3.1 Allegations
Concerns about conduct on the part of a Carey faculty member that may be professional misconduct should be reported to the Dean or Vice Dean for Faculty & Research.

9.3.2 Inquiry
Upon receipt of an allegation of professional misconduct, or based on information known to the Dean or the Vice Dean for Faculty & Research, the Dean or the Vice Dean for Faculty & Research as the designee of the Dean, will inquire into the matter as follows:

1. Notify the faculty member (“respondent”) in writing of the issue or allegation;
2. Provide the respondent an opportunity to respond in writing within seven (7) business days of notification;
3. Collect additional information, including conducting interviews with the respondent and other individuals, as may be needed; and

9.3.3 Process
After the inquiry phase, the Dean may consult with the SFC or the Vice Dean for Faculty & Research regarding the disposition of the matter, and may proceed in one of the following ways:

1. If the Dean concludes that the allegation is unfounded, the Dean may close the matter.
2. The Dean may impose sanctions without review by the Academic Board or if recommended by the Academic Board including, but not limited to, one or more of the following:
   a. Letter of warning or reprimand (with stipulations as appropriate) from the Dean to be placed in the respondent’s personnel file;
   b. Formal apology from the respondent;
   c. Remedial training or counseling;
   d. Suspension for a specified period of time with pay;
   e. Supervision or oversight of professional activity for a specified period of time;
   f. Limitations on professional responsibilities for a specified period of time;
   g. Restitution of misappropriated funds;
   h. Pay reduction or withholding increases in compensation;
   i. Prohibition of re-hire in cases where the respondent is terminated, resigns, or retires; and,
   j. Non-renewal of a term contract at the end of the term.
3. If the Dean believes that additional fact-finding is warranted, the Dean will appoint two or more tenured faculty members to conduct a formal investigation pursuant to the procedures outlined below in section 9.3.4.
4. If the Dean concludes the respondent’s conduct may warrant termination, demotion, suspension without pay, or a reduction in pay, the Dean will refer the matter to the Academic Board pursuant to sections 9.5, 9.6, and 9.7.
9.3.4 Faculty Investigation

If the Dean determines that an investigation is needed, the investigation will proceed as follows:

1. The investigation will be conducted by two or more tenured faculty members designated by the Dean from the University, outside of Carey.
2. The respondent will be informed of the names of the faculty member(s) who will conduct the investigation. The respondent may request that the Dean replace a faculty member appointed to conduct the investigation if the respondent can reasonably show a bias or conflict of interest. The Dean’s decision is final.
3. The respondent will be provided an opportunity to respond to the charges, and the opportunity to request certain individuals with relevant information be interviewed. The faculty members(s) may decline to interview certain individuals.
4. The faculty member(s) will assemble evidence of the alleged professional misconduct and prepare a report for the Dean with their findings of fact and recommendations as to whether or not the respondent engaged in professional misconduct. The report will not include recommendations for corrective or disciplinary action.

9.4 Adjudication

Adjudication of matters of professional misconduct by faculty is carried out by the Dean or the Academic Board.

9.4.1 Adjudication by the Dean for cases of Sexual Misconduct, Discrimination, and Harassment

Adjudication by the Dean for Carey faculty respondents takes place in one of the following ways:

1. **OIE Report (Sexual Misconduct, Discrimination, and Harassment)**
   a. Upon receipt of an OIE report as provided in section 9.2, the Dean will take the following steps:
      - Notify the respondent and the complainant that the report has been received;
      - Afford the parties all additional procedural rights, as provided in the Sexual Misconduct Policy & Procedures and/or Discrimination and Harassment Procedures.
   b. The Dean will review the OIE report. The Dean may consult with the SFC or the Vice Dean for Faculty & Research regarding the disposition of the matter.
   c. The Dean will determine the appropriate responsive action to the OIE report with notification to the Provost. If the Dean determines that there is no need for any further action under the Sexual Misconduct Policy & Procedures and/or Procedures on Discrimination and Harassment, the Dean may close the matter; provided, that, if the Dean determines that the faculty member otherwise engaged in professional misconduct, the Dean may take appropriate disciplinary action pursuant to section 9.3.3. In all cases, the Dean will issue a notice to the respondent and complainant of the outcome of the case and notify OIE of the same.
   d. If a faculty member is found to have violated University policies on sexual misconduct,
discrimination, or harassment, the Dean may take one of the following steps:

- The Dean may impose sanctions pursuant to section 9.3.3.
- If the Dean concludes that the respondent’s conduct may warrant termination, demotion, suspension without pay, or a reduction in pay, the Dean will refer the matter to the Academic Board pursuant to section 9.4.2.

2. **Investigation Report**
   
a. Upon receipt of an investigation report as provided in section 9.3.4, the Dean may consult with the SFC or the Vice Dean for Faculty & Research. The Dean may take one of the following steps:
   
   - If the report concludes that the allegation is unfounded and the Dean concurs, the Dean may close the matter.
   - The Dean may impose sanctions pursuant to section 9.3.3.
   - If the Dean concludes the respondent’s conduct may warrant termination, demotion, suspension without pay, or a reduction in pay, the Dean will refer the matter to the Academic Board pursuant to section 9.4.2.

9.4.2 Adjudication by the Academic Board of Cases Involving Carey Faculty Respondents

1. If in the Dean’s judgment, one or more of the sanctions provided in section 9.3.3 may be warranted, the matter will be referred to the Academic Board, which will recommend sanctions or corrective action to the Dean. The recommended sanctions or corrective actions may include but are not limited to any of the sanctions provided in section 9.3.3.

2. Any Academic Board members who may have a bias or other conflict of interest will disclose those conflicts to the Chair. The Chair will make a determination concerning recusal.

3. If the Academic Board believes that it needs additional information in order to carry out its responsibilities, the Board may request such information from the Dean or relevant University personnel.

4. The respondent (and the complainant in a case of sexual misconduct) will be given an opportunity to appear before the Academic Board and submit written comments on mitigating or aggravating circumstances for consideration by the Board.

5. The Academic Board will report its recommendations in writing to the Dean.

9.4.3 Sanctions

The list of fair and appropriate sanctions is provided in Section VII.d.iii of the Johns Hopkins University Sexual Misconduct Policy & Procedures and/or Discrimination and Harassment Procedures (see link in footnote 4 above).
9.4.4 Appeals
Except in the case of termination of a full-time faculty member for cause, the respondent may appeal the decision of the Dean to the Provost within seven (7) business days of notification of the decision. The Provost’s review of the appeal will be limited to the adequacy of the procedures followed and the appropriateness of the disciplinary action. The Provost’s decision is final.

9.4.5 Termination for Cause of a Full-Time Faculty Member
In addition to the procedures laid out in section 9.4.2, the respondent may appear before the Academic Board and may provide a written statement and other material relevant to the disposition of the case. In addition, the respondent may request that other persons (including faculty, staff, or department, division, or institute directors) be allowed to appear before the Academic Board or to submit written statements and other material relevant to the disposition of the case; provided, however, that the Academic Board reserves the right to decline such requests.

Interested parties who wish to address the Academic Board must direct their requests in writing to the Dean at least seven (7) business days in advance of the Academic Board meeting. The Dean will forward the request to the Academic Board, which will consider the case and all relevant materials and decide whether to permit a personal presentation by the interested party at the Academic Board meeting. Any material to be presented to the Academic Board by or on behalf of the respondent, whether in person or not, will be provided to the Chair of the Academic Board and the Dean at least seven (7) business days in advance of the Academic Board meeting.

The Academic Board will report its decision to the Dean, and to the respondent (and complainant in a case of sexual misconduct). If the Academic Board recommends against termination, and the Dean agrees with the recommendation, the Dean may impose disciplinary/remedial action as provided in section 9.3.3.

The Dean will forward the recommendation of the Academic Board, with the Dean’s own recommendation and reason for the recommendation along with applicable supporting documentation, if any (e.g., any OIE or other report), to the Provost.

9.5 General Provisions
9.5.1 Protection of Complainants
The University is committed to providing an environment in which individuals may candidly and honestly report suspected professional misconduct without fear of retribution. If allegations are made in good faith, no disciplinary action will be taken against the complainant(s) and appropriate measures will be taken to protect the complainant(s) from retaliation.

9.5.2 False Allegations
If it is found that allegations of professional misconduct are i) false and ii) maliciously motivated or based on fraudulent evidence or otherwise brought in bad faith, the Dean may take appropriate disciplinary action against those responsible.
9.5.3 Confidential Nature of Proceedings; Restoration of Reputation of Respondent

All records of the proceedings shall be kept confidential, with access limited to only those with official duties or roles involved in the case or proceedings, and strictly controlled by the Dean or Academic Board, except as otherwise required by applicable policy or law.

At any stage of the process, the Dean may, consistent with applicable law, take steps to notify other individuals who, in the Dean’s judgment, should be informed of any charges, investigation, adjudication or outcome. If, at any point during the proceedings, there is a conclusion that no professional misconduct occurred, appropriate action may be taken to restore the reputation of the respondent.