

**POLICIES FOR ACADEMIC GENERAL FACULTY  
APPOINTMENT, REAPPOINTMENT, AND PROMOTION DOCUMENT**  
*McIntire School of Commerce*  
*University of Virginia*

**I. PREAMBLE**

As a division of the University of Virginia, the McIntire School of Commerce is dedicated to achieving the University's objectives with respect to teaching, research, and service. The McIntire School is a professional school engaged in the creation and dissemination of knowledge that significantly influences the ideas and actions of business leaders, students, and scholars.

The School offers a B.S. in Commerce, an M.S. in Accounting, an M.S. in the Management of Information Technology, and an M.S. in Commerce. The undergraduate program is regarded as the core program with the graduate programs providing opportunities for academic and professional specialization. McIntire's curricula focus on studying and integrating the fundamental disciplines underlying the management of complex organizations in a global business environment. These disciplines include accounting, finance, management, management information systems, and marketing.

Important attributes of the McIntire School include its national and international prominence, professional orientation, global perspective, innovative technology, and integrated achievement of high quality teaching, research, and service. The School believes that its reputation is best enhanced by the collective efforts of its faculty.

**II. FACULTY RESPONSIBILITIES AND PERFORMANCE STANDARDS**

The Provost's Promotion and Tenure Policy of the University of Virginia on the General Faculty <https://policy.itc.virginia.edu/policy/policydisplay?id=HRM-003> (January, 24, 2006), and the Faculty Senate's Task Force Report on Non-Tenure Track Faculty (May 28, 2009) provide the guidance for this document.

**A. McIntire Faculty**

The McIntire School encourages its entire faculty to:

- pursue a coherent and synergistic portfolio of teaching, research, and service activities as they progress through the academic ranks;
- engage in activities that maintain and enhance the educational and research programs of the School;
- build their intellectual capital enabling a high level of individual contribution in the future;

- commit a portion of their energies to the service of the University, the community, and the profession;
- achieve a balance in teaching, research, and service as they progress through the ranks, recognizing that the allocation of time and effort among these areas may change based on the needs of the School and the interests of the individual.

## **B. Academic General Faculty Responsibilities**

According to the Provost's Policy on the General Faculty, academic general faculty are those faculty whose positions normally involve a range of responsibilities that does not encompass the full scope expected from traditional tenure track academic positions (e.g., an extraordinarily high obligation to research with minimal responsibility for classroom instruction or major responsibilities for teaching and clinical practice without research obligations). General faculty are not tenure-eligible and are appointed for fixed terms only. The Provost's policy also requires that a general faculty member who performs a mix of academic and administrative/professional duties must spend at least 50% of his/her effort on academic duties to be classified as academic general faculty.

The Provost's policy also states that "Academic general faculty positions normally require a terminal degree.... Academic general faculty may hold any of the academic or professorial ranks: lecturer, instructor, assistant professor, associate professor, and professor providing they possess the requisite degree requirements, years of experience, and level of responsibility."

McIntire's Appointment, Reappointment, Promotions, and Tenure (ARPT) Committee considers general faculty candidates for promotion or Expectation of Continued Employment (ECE) and provides recommendations to the Dean. Based on these recommendations and the Dean's own review of each case, the Dean makes recommendations to the Provost in accordance with the Provost's Promotion and Tenure Policy and the Provost's Policy on the General Faculty.

The recommendations of the McIntire School's faculty and the Dean are based on the needs of the McIntire School, as well as the achievements and the performance of the faculty member. This performance is evaluated by the following criteria:

Emphasis is placed on the performance of position duties and responsibilities at a high level of competence and professionalism. As full participants in the educational mission of the University, academic general faculty members are guided and supported by the area coordinator to whom they report and with appropriate support from University resources. Academic general faculty members are expected to participate in the following three areas in relative order of importance:

- a. Student Instruction.** Appointments, reappointments, and promotions will not normally be made unless there is evidence of the candidate's sustained excellence in offering classroom instruction and sustained effectiveness as a contributor to the intellectual development of students through devices such as course and curriculum

design, course material, interaction with students outside of formal instructional periods, and other mechanisms of enhancing student learning.

**b. Service.** The University has historically depended upon the general faculty for services and contributions rendered outside the classroom. Therefore these professionals may reasonably be expected to participate in the operational concerns of the institution. Such participation may include service on area, McIntire, and/or University committees, service as chair of these committees, and special assignments of a University-wide nature, etc.

**c. Professional and Scholarly Activities.** General faculty members have an obligation to maintain a high level of competence and to keep current with developments in their professional fields. Effective faculty benefit from active involvement in the intellectual and scholarly developments of their fields, which often lead to contributions to the profession as well as to superior execution of responsibilities at the University.

### **C. Initial Appointments, Annual Review, Reappointments, and Expectation of Continued Employment Review**

**1. Initial Appointments.** Initial appointments to the academic general faculty are recommended by the Dean to the Provost and cover an initial period of one to no more than three years.

**2. Annual Review.** The Provost's document indicates that the performance of each general faculty member should be evaluated every year by the supervisor. Academic general faculty participate in the annual review process with tenured and tenure-track faculty following the procedures outlined in McIntire's ARPT document.

**3. Reappointments.** The Provost's policy states: "General faculty members may be considered for renewal, but there is no presumption of or entitlement to renewal of appointment." Moreover, the fact that a general faculty member has earned the Expectation of Continued Employment (see below) does not entitle the faculty member to continuing automatic renewal obviating the need for further review." Consistent with this policy, McIntire reappointments are therefore not considered to be automatic. Assessment of the performance duties is the major factor in any reappointment decision.

The annual review serves as the reappointment review for academic faculty in the penultimate year of the contract. The dean in consultation with the area will also consider whether the School continues to need the type and scope of services and skills provided by the faculty member. If the evaluation is positive, then the faculty member will normally be reappointed to a period of no more than three years; if the review is not positive, notice of non-reappointment needs to follow the Provost's Standards for Notice.

**4. Expectation of Continued Employment Review.** The Provost's document on the General faculty indicates that "Non-tenure-track faculty members who have earned the Expectation of Continued Employment will normally be reappointed to a term commensurate with the term just

completed, so long as the services of the University continue to be the type and scope requiring the faculty member's high level of professional skills and the annual performance review (as outlined in [Section B](#) above) reveals job performance has been judged to be at a high level of productivity and effectiveness."

General faculty holding a one-, two-, or three-year appointment will need to be reviewed for "Expectation of Continued Employment" before the end of their sixth year of employment. The review process is similar to that conducted for tenure review as applied to tenure track faculty. McIntire's procedures for evaluation for Expectation of Continued Employment will be the same as its procedures for promotion.

Academic faculty members whose review for Expectation of Continued Employment is positive will normally be reappointed to a term commensurate with the term being completed if the review reveals that (1) the School continues to require their skills and (2) they have been performing their job at a high level of productivity and effectiveness.

Academic general faculty members whose review for Expectation of Continued Employment is not positive, will be given notice of non-reappointment in writing in accordance with the Standards of Notice in the Provost's document.

Finally, the Provost's document also states that reappointment without a substantial review does not result in the Expectation of Continued Employment. General faculty can be reappointed without a substantial review, receiving a term typically commensurate with the term being completed, but without the Expectation of Continued Employment.

#### **D. Criteria for Appointment, Reappointment, Expectation of Continued Employment, and Promotion (General Faculty)**

The Provost's Policy indicates that academic general faculty are generally eligible for promotion upon completing the sixth year of their appointment. For promotion, they must demonstrate excellence on two of the three criteria required for tenure track faculty: excellence in teaching, professional and scholarly activities, and service to the University. The Provost indicates that specific criteria are to be determined by each School.

At McIntire, academic general faculty are expected to demonstrate potential for or achievement in teaching, research, and service, generally with heaviest emphasis on teaching and service. There are cases in which achievement in research may not be a criterion for ECE. Several general faculty contracts are specifically written with teaching and service roles constituting the total duties of the general faculty member. In such cases, achievement in research will not be weighed in the ECE decision.

- 1. For appointment as lecturer, general faculty (without tenure):** strong potential for excellence in teaching, participation in service opportunities, and understanding and support of professional and scholarly activity (masters degree or equivalent experience required; terminal degree not required).

2. **For reappointment as lecturer, general faculty (without tenure):** demonstrated excellence in teaching, meaningful contributions to service, and understanding and support of professional and scholarly activity. (Master's Degree or equivalent experience required; terminal degree not required).
3. **For promotion from lecturer, general faculty, to assistant professor, general faculty (without tenure):** demonstrated excellence in teaching, evidence of long-term potential for continued excellence in teaching, evidence of leadership potential in service, and demonstration of ability to produce original research or creative work (terminal degree required).
4. **For appointment as assistant professor, general faculty (without tenure):** strong potential for excellence in teaching, participation in service opportunities, and understanding and support of professional and scholarly activity (terminal degree required).
5. **For promotion from assistant professor, general faculty, to associate professor, general faculty (without tenure):** sustained excellence in teaching, sustained demonstration of scholarly activity, and evidence of leadership in committees and other service commitments (terminal degree required).
6. **For promotion from associate professor, general faculty, to professor, general faculty (without tenure):** sustained excellence in teaching and scholarly activity and sustained leadership in committees and other service commitments (terminal degree required).
7. **To earn the right of Expectation of Continued Employment:** (a review typically conducted before the end of the sixth year of employment) demonstrated excellence in teaching, evidence of long term potential for continued excellence in teaching, evidence of leadership in service, and demonstration of ability to produce original research or creative work.

As indicated in McIntire's ARPT document, all McIntire faculty are expected to be collegial, adding value to the collective efforts of McIntire to teach, conduct research, and serve the school, University, Commonwealth, and nation. Attributes of collegiality include cooperation, dedication to learning and education, responsiveness, and the willingness to work for a common cause. The collective judgment of a faculty member's colleagues provides a reasonable indicator of collegiality.

## **Administrative Guidelines**

### **A. Time in Rank**

Initially, full-time academic general faculty members receive a one-, two-, or three-year appointment. They are reviewed for reappointment in the next to last year of the initial contract. Initial reappointments may also be for one, two, or three year terms. After

three years in rank, lecturers with a terminal degree or its equivalent may request consideration for promotion. Assistant professors with six years in rank and with a terminal degree or its equivalent may request to be considered for promotion to associate professor with term.

Academic general faculty in an entry level position undergo a critical evaluation to determine their professional progress by the end of their sixth year of employment. They may qualify for Expectation of Continued Employment if they are judged to have met the criteria established by the McIntire school and approved by the Provost.

Normally, a candidate for full professor is eligible for consideration after serving five years as an associate professor.

## **B. Assessment Guidelines**

**1. Student Instruction.** Student evaluations must be a part of the evidence in all cases, but by themselves they are not enough. Students are important judges of a teacher's fairness, organization, and personal qualities in the classroom, laboratory, seminar, or office; but the candidate's faculty peers are normally the better judges of the content of her or his pedagogy. Popular teaching and good teaching are not necessarily the same thing. Advising, availability to students, and other forms of beneficial interactions between the candidate and students may be given appropriate weight as a part of the "student instruction" criterion, but are not, by themselves, a substitute for accomplished classroom instruction or for other elements of the tenure standards.

As indicated in McIntire's ARPT document, teaching performance is assessed through: standardized course surveys that provide information on content, presentation, organization, clarity of objectives, and relevance; publication of high quality textbooks, professional books, teaching materials, cases, computer software, and pedagogical studies; curriculum and course development, coordination, and innovation; and classroom observation by tenured faculty.

**2. Service.** Quality and effectiveness of service are difficult to assess. At the minimum, genuine contributions to school governance, through committees and otherwise, are a part of the obligations expected from faculty. External service may be given substantial weight in the reappointment or promotion process.

**3. Professional and Scholarly Activities.** While the specific standard will be Area and discipline specific, and specific to the duties outlined in a general faculty member's contract, there should exist a body of original research or creative work and evidence of commitment to sustained contributions over time.

As indicated in McIntire's ARPT document, research performance is assessed through: reviews by McIntire faculty; reviews by academic peers external to the University; the number and quality of publications; the extent to which publications are cited, reprinted, or translated; the interest generated by publications; the extent to which the views of the

faculty member are sought and used by other organizations; and the practical application and acceptance of a faculty member's ideas in the business community.

While external evaluations of the candidate's contributions to original research or creative work are a required component of the evaluation of the process for promotion and tenure for tenure-track faculty, we believe the judgment and evaluation of the candidate's scholarly portfolio by the faculty of the McIntire School and the Dean are sufficient to justify the recommended action.

### **C. Review Process – Area Report**

**1. ECE and /or Promotion Process:** The Area prepares an evaluation and recommendation of the candidate's case for ECE and/or promotion. Key aspects of the Area's report include:

- a. A careful review of the candidate's internal review materials, copies of the candidate's last three annual reviews, and other information including unsolicited letters (if offered).
- b. Based on this review, the Area Coordinator prepares a report on the candidate's teaching, research (if applicable), and service, and submits the Area Report to the ARPT Chair **by January 25**. (A template for this report is offered in Appendix A.) This report indicates conclusions regarding the candidate's performance relative to the standards for teaching, research (if applicable), and service. The report also includes Area member's recommendations with respect to ECE and/or promotion on the following criteria.
  - Exceeds, Meets, or Below teaching standards
  - Exceeds, Meets, or Below research standards (if applicable)
  - Exceeds, Meets, or Below service standards
  - Recommendation For or Against ECE and/or promotion

### **D. Review Process – Subcommittee Report and Tenured Faculty Vote**

**1. ECE and/ or Promotion Process:** A subcommittee is appointed for evaluation of the candidate's case for promotion. The subcommittee consists of four faculty members that conduct a thorough analysis of the candidate's record. Key aspects of the subcommittee's activities include:

- a. **Subcommittee Membership.** The Chair of the Faculty ARPT Committee, after consultation with the Dean and the Senior Associate Dean, appoints a subcommittee to review the candidate's record and potential that will report its recommendation to the Faculty ARPT Committee. A separate subcommittee is formed for each candidate. Each subcommittee consists of two faculty from the candidate's area and two faculty from outside of the candidate's area. One of the subcommittee members from outside the candidate's area is appointed as committee Chair. Preferably, one of the

subcommittee members would be a general faculty member of a higher rank than the candidate.

**b. Subcommittee Responsibilities.** Subcommittee members visit the candidate's class and observe the candidate's teaching. Subcommittee members observe the candidate's teaching effectiveness by evaluating the content of the class presentation and material and the presentation style of the candidate.

The subcommittee carefully reviews the candidate's internal review materials, peer teaching evaluations, copies of the candidate's last three annual reviews, and other information including unsolicited letters. The subcommittee should also ask for recommendation of the area coordinator of the general faculty member. This recommendation should be contained in the Area Report.

Based on this comprehensive and in-depth analysis, the subcommittee prepares a report on the candidate's teaching, research, and service. (A template for this report is shown in Appendix B.) This report indicates subcommittee conclusions regarding the candidate's performance relative to the standards for teaching, research and service. The report also includes the subcommittee recommendation with respect to ECE and/or promotion. The subcommittee submits the report to the Chair of the Faculty ARPT Committee by **February 15** of each year.

The Dean's Office maintains the candidate's internal review materials. The candidate's internal review materials should be reviewed by all tenured faculty. The committee Chair summarizes its recommendation at the promotion faculty meeting. Just the tenured faculty vote in an advisory capacity to the Dean. The Dean then makes a recommendation to the Provost.

The tenured faculty meet **on or before March 15**. The vote on each candidate is a secret ballot. Each faculty member signs the ballot. The faculty member indicates the appropriate response with respect to four items:

- Exceeds, Meets, or Below teaching standards
- Exceeds, Meets, or Below research standards (if applicable)
- Exceeds, Meets, or Below service standards
- Recommendation For or Against ECE and/or promotion

## **2. Review Materials**

For the review for promotion, the candidate submits the following materials organized in a binder **by January 7** in the spring term.

- a. Summary Information, Philosophy Statements, and Future Plans:** a curriculum vitae, a statement of the candidate's philosophy behind his or her teaching, service, and scholarly activity/writing (if applicable), and a summary of future plans for teaching, service, and scholarly activity (if applicable).

- b. Evidence of Teaching:** a list of the McIntire School courses taught each semester since the candidate's appointment at the current rank, a summary sheet of student evaluations (with the following information--semester, course #, # of students in class, # of students responding to evaluation, instructor rating, course rating, area rating, school rating), any teaching materials, cases, innovations, textbooks, and software developed by the candidate, the candidate's discussion of teaching contributions and intentions regarding course/curriculum development.
- c. Evidence of Service:** a list of the candidate's service activities for the McIntire School, the University, the community, business groups, and professional associations, including leadership and administrative positions, committee assignments, and special projects; a list of professional service to journals and conferences, including serving as a reviewer, referee, panel participant, session chair, etc.
- d. Evidence of Scholarly or Creative Activity:** includes but is not limited to: articles, books and conference papers, a written analysis of the candidate's major research themes or topics—describing the candidate's contributions in each area and tracing the intellectual development of the candidate's published work and proposed research, and demonstrating the evolution of a working paper into subsequent stages and future plans. This review also lists all external research grants received by the candidate, indicating the amount of funding, research contributions, and publications.

## Appendix A: Template of an Area Report

\_\_\_\_\_ Area Report (Date)

### \_\_\_\_\_ for Promotion and Right of Expectation of Continued Employment

#### **Introduction**

Faculty in the \_\_\_\_\_Area met and discussed the candidacy of \_\_\_\_\_ for Promotion to Associate Professor with Expectation of Continued Employment. The discussion was followed by a written-ballot vote of XX in favor, XX against, and XX abstain. In this report, we describe \_\_\_\_\_ teaching, service, and scholarly activity, and indicate the faculty vote for each standard.

#### **Teaching**

#### **Standard: Sustained Excellence in Teaching**

**Analysis:** SUMMARY WRITE-UP OF EVIDENCE

#### **Recommendation:**

XX faculty members of the \_\_\_\_\_ Area voted that \_\_\_\_\_ *exceeds* the standard for teaching; XX faculty members of the \_\_\_\_\_ Area voted that \_\_\_\_\_ *meets* the standard for teaching; and XX faculty members of the \_\_\_\_\_ Area voted that \_\_\_\_\_ was *below* the standard for teaching.

#### **Service**

#### **Standard: Evidence of Leadership in Service**

**Analysis:** SUMMARY WRITE-UP OF EVIDENCE

#### **Recommendation:**

XX faculty members of the \_\_\_\_\_ Area voted that \_\_\_\_\_ *exceeds* the standard for leadership in service; XX faculty members of the \_\_\_\_\_ Area voted that \_\_\_\_\_ *meets* the standard for leadership in service; and XX faculty members of the \_\_\_\_\_ Area voted that \_\_\_\_\_ was *below* the standard leadership in service.

#### **Professional and Scholarly Activities (Research)**

#### **Standard: Sustained Demonstration of Scholarly Activity**

**Analysis:** SUMMARY WRITE-UP OF EVIDENCE

#### **Recommendation:**

XX faculty members of the \_\_\_\_\_ Area voted that \_\_\_\_\_ *exceeds* the standard for sustained demonstration of scholarly activity; XX faculty members of the \_\_\_\_\_ Area voted that \_\_\_\_\_ *meets* the standard sustained demonstration of scholarly activity;; and XX faculty members of the \_\_\_\_\_ Area voted that \_\_\_\_\_ was *below* the standard sustained demonstration of scholarly activity.;

January 2014

### **Conclusion**

For faculty candidate \_\_\_\_\_, XX faculty members of the \_\_\_\_\_ Area voted *in favor* of promotion to Associate Professor with Expectation of Continued Employment; XX faculty members of the \_\_\_\_\_ Area voted *against* of promotion to Associate Professor with Expectation of Continued Employment; and XX faculty members of the \_\_\_\_\_ Area *abstained* from voting for promotion to Associate Professor with Expectation of Continued Employment;

## Appendix B: Template of a Subcommittee Report

### ARPT Subcommittee Report on the Candidacy of XXXXXX for Expectation of Continued Employment and Promotion to Associate Professor (General Faculty) Date

*Standard: To earn the right of Expectation of Continued Employment: (a review typically conducted during the fifth year of employment) demonstrated excellence in teaching, evidence of long term potential for continued excellence in teaching, evidence of leadership in service, and demonstration of ability to produce original research or creative work.*

*Standard: For Promotion from Assistant Professor without tenure to Associate Professor without tenure: sustained excellence in teaching, sustained demonstration of scholarly activity, and evidence of leadership in committees and other service commitments (terminal degree required).*

#### Evidence of Demonstrated and Sustained Excellence in Teaching and Evidence of Long Term Potential for Continued Excellence in Teaching:

SUMMARY WRITE-UP OF EVIDENCE with specific comments from subcommittee members.

**Recommendation:** XX of the Subcommittee members voted that \_\_\_\_\_ *exceeded* the standard for demonstrated and sustained excellence in teaching; XX of the Subcommittee members voted that \_\_\_\_\_ *meets* the standard for demonstrated and sustained excellence in teaching; and XX of the Subcommittee members voted that \_\_\_\_\_ *was below* the standard for demonstrated and sustained excellence in teaching.

#### Evidence of Leadership in Service:

SUMMARY WRITE-UP OF EVIDENCE

**Recommendation:** XX of the Subcommittee members voted that \_\_\_\_\_ *exceeded* the standard for leadership in service; XX of the Subcommittee members voted that \_\_\_\_\_ *meets* the standard for leadership in service; and XX of the Subcommittee members voted that \_\_\_\_\_ *was below* the standard for leadership in service.

#### Demonstration of Sustained Ability to Produce Original Research or Scholarship:

SUMMARY WRITE-UP OF EVIDENCE

**Recommendation:** XX of the Subcommittee members voted that \_\_\_\_\_ *exceeded* the standard for leadership in service; XX of the Subcommittee members voted that \_\_\_\_\_ *meets*

January 2014

the standard for leadership in service; and XX of the Subcommittee members voted that \_\_\_\_\_ was below the standard for leadership in service.

**Standard:** As indicated in McIntire's Appointment, Reappointment, Promotion, and Tenure (ARPT) document, all McIntire faculty are expected to be **collegial**, adding value to the collective efforts of McIntire to teach, conduct research, and serve the school, University, Commonwealth, and nation. Attributes of collegiality include cooperation, dedication to learning and education, responsiveness, and the willingness to work for a common cause. The collective judgment of a faculty member's colleagues provides a reasonable indicator of collegiality.

**Evidence of Collegiality:**

SUMMARY WRITE UP OF EVIDENCE with comments from two non-subcommittee members

**Recommendation:** All four subcommittee members voted that XXXXX exceeds the standard for collegiality.

**Conclusion**

The Subcommittee voted unanimously that XXXXX be awarded the Expectation of Continued Employment and be promoted to Associate Professor, General Faculty.

\_\_\_\_\_  
Subcommittee Chair

\_\_\_\_\_  
Subcommittee member

\_\_\_\_\_  
Subcommittee member

\_\_\_\_\_  
Subcommittee member