



# Faculty Personnel Guidelines

**Promotion, Tenure, & Annual Review;  
Workload Assignments;  
Merit Rewards**

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# I. Guidelines for Faculty Performance Appraisal

The mission of the Walker College of Business is composed of three dimensions: to provide instruction to its students, support intellectual contributions by its faculty, and provide service to its various constituents. The core mission of the College of Business is to provide high quality instruction, at both the undergraduate and graduate levels, so as to prepare each student for a successful career. Given this core mission, the intellectual contribution and service dimensions will serve to support the instructional dimension.

Consistent with the primary focus of the College, the intellectual contributions of individual faculty members should contribute to their teaching effectiveness. It is this effort which keeps faculty members engaged in their discipline and enhances the teaching process. In addition, intellectual contributions are valued in their own right.

Further, a well-rounded, contributing faculty member will make significant service contributions to the College's constituencies, including the faculty member's profession, the college community and the community at large. The service of individual faculty members should contribute to the improvement of the instructional environment of students or directly to faculty teaching effectiveness. Each faculty member should contribute to the service dimension based upon his or her skills, interests and stage of career development. Faculty members acknowledge the principle of faculty self-governance and recognize their responsibilities for helping direct the internal affairs of departments, the College, and the University.

## The Instructional Dimension

The mission's instructional dimension focuses on preparing students to work effectively within the world's dynamic economic climate. The John A. Walker College of Business facilitates the development of analytical, communication, and decision-making skills of its students. These skills are developed within the context of ethical responsibilities, business practice, and the global economy. Further, the College of Business expects students to attain competence in information technology, and provides the opportunity for practical and international business experiences.

The instructional dimension is divided into the following two segments:

**Undergraduate.** As its primary responsibility, the College provides instruction in the business disciplines for undergraduates. Although its primary responsibility is to students seeking a business degree, the College has the additional responsibility of providing course work for general education and for students seeking business minors.

**Graduate.** The College provides graduate level instruction primarily for students seeking a master's degree offered by the College. The College also offers course work to meet the selected needs of other graduate programs offered by the University.

### **The Intellectual Contribution Dimension**

There are three categories of intellectual contributions. **Discipline-based scholarship** contributions add to the theory or knowledge base of a faculty member's field. **Contributions to practice** influence professional practice in the faculty member's field. **Learning and pedagogical research** contributions influence the teaching-learning activities of the school. All tenured and tenure-track faculty members are expected to continually augment the intellectual contributions of the College.

### **The Service Dimension**

Service to constituents is another important dimension of the College of Business mission. Constituents include the University, and the business, professional, and social communities. Individual participation in service activities complements the instructional dimension of the College mission by ensuring faculty remain intellectually engaged, providing for continuous improvement in the operation of the institution, and enhancing the academic reputation of the institution.

### **Implementation**

Each of the three dimensions of our mission is important for the attainment of excellence. Given individual differences in skills and interests, and differing stages of career development, individual faculty member efforts may reflect differing combinations of contribution to these three major dimensions of our mission.

This document is not intended to prescribe a single stereotype of effective performance for all faculty. Rather, it is intended to provide a general framework by which departments will allocate resources in a manner consistent with the University and College missions. Specific uses of this document include setting goals for and evaluating performance of College faculty members. Finally, it will serve as a guide for promotion, tenure, faculty workload, and merit compensation decisions.

## **I.A Dimensions of Performance**

The three major areas of individual faculty performance are instruction, intellectual contribution, and service. The following sections contain examples of performance criteria in regard to each dimension. Each list of criteria is consistent with both the University and the Walker College of Business mission statements. The lists of criteria are not exhaustive.

### **I.A.1 Instruction**

The mission statements of the University and the College of Business explicitly recognize the importance of high-quality instruction. This is the core mission of the College.

All faculty members are expected to provide up-to-date instruction, improve effectiveness in their respective instructional assignments, contribute to the development of instructional programs, and meet College expectations for student access to the faculty. Effectiveness in instruction is an important component in merit compensation decisions, and is a necessary, but not sufficient, component in promotion and tenure decisions.

#### **Examples of Performance Criteria in Instruction**

- Facilitate the learning goals of the BSBA, MBA, and MS-ACC programs by providing current knowledge regarding business practices, the global economy, and ethical responsibilities to students, and by improving the analytical, communications, decision-making, and information technology skills of students Provide quality syllabi, lesson plans, class projects, and other instructional materials.
- Employ rigorous and equitable grading mechanisms.
- Receive favorable student course evaluations of teaching performance.
- Receive favorable evaluations through department chairperson interviews with students, alumni, and other documentation.
- Receive favorable evaluations from peers.
- Develop innovative pedagogical methodologies and materials.
- Chair/serve on Master's thesis/examination committees.
- Contribute to new instructional programs and course development.
- Coordinate multi-section and/or team-taught courses.
- Supervise an honors thesis or independent study.
- Create and deliver executive education courses for the University

- Participate in assessment activities

## **I.A.2 Intellectual Contribution**

All tenured and tenure-track faculty members are expected to develop and maintain a program of intellectual contribution. This program can include discipline-based scholarship (creating new knowledge in one's field), contributions to practice (influencing professional practice), and learning and pedagogical research (influencing teaching-learning activities). Important characteristics of intellectual contributions include the work being original, subject to peer review, and publicly available.

While both the quality and the quantity of intellectual contributions are important, the quality of the contribution is the more important criterion. Indicators of quality include publication in refereed academic and professional journals of the relevant discipline, the rigor of the peer review process, receipt of awards for professional distinction, peer recognition via membership on editorial boards, and significant external funding for research.

Collaboration, both within and across disciplines, in the creation of intellectual contributions is desirable. Externally funded research which contributes to the body of knowledge or student development will be an indicator of achievement, especially when coupled with an associated intellectual contribution.

Effectiveness in intellectual contribution is an important component in merit compensation decisions and is a necessary, but not sufficient, component in promotion and tenure decisions.

### **Examples of Performance Criteria in Intellectual Contribution**

#### **Discipline-Based Scholarship**

- Publish in refereed academic journals.
- Publish research monographs.
- Publish scholarly books or chapters.
- Publish in proceedings from scholarly meetings.
- Present at research seminars.

#### **Contributions to Practice**

- Publish in refereed professional or academic journals.
- Publish in public/trade journals.
- Present at professional meetings.

- Publish book reviews.
- Present at faculty workshops.
- Submit a final report of a funded research project.

### **Learning and Pedagogical Research**

- Publish textbooks.
- Publish in pedagogical journals.
- Publish written cases with instructional materials.
- Publish instructional software.
- Publish materials describing the design and implementation of new courses.

## **I.A.3 Service**

A professional school such as the Walker College of Business must effectively serve several constituencies if it is to achieve excellence while fulfilling its mission. Students, the academic profession, the University, the business community, and the public are among the College's major constituencies.

A variety of service roles can contribute to the achievement of excellence. No attempt is made here to prescribe what specific service roles individual faculty members should play. However, all faculty members are expected to contribute in the service area. The service of individual faculty members should contribute to the improvement of the instructional environment of our students, or directly to the effectiveness of a faculty member's teaching or intellectual contribution. The amount and nature of the service contribution are likely to differ as a function of individual skills, interests, and stage of career development. Service is an important component in merit compensation decisions and is a necessary, but not sufficient, component in promotion and tenure decisions.

### **Examples of Performance Criteria in Service**

#### **Internal Service to the Institution**

- Serve on University, College and/or department committees.
- Serve on the Faculty Senate.
- Participate in institutional affairs and demonstrate cooperative support.
- Provide in-house training and seminars to other faculty.
- Act as an academic advisor (formal or informal) to students and to student organizations.
- Assist students in obtaining full-time employment and in obtaining and/or supervising internships.

- Develop relationships for the College with business and community leaders and organizations.
- Create external development support for the College.
- Assume leadership roles within the University.

#### **External Services to Business or Professional Constituents**

- Serve as an officer, session chair, discussant, or reviewer for professional organizations.
- Participate as an officer for industry organizations.
- Participate in seminars, review courses, or other training programs for businesses.
- Serve as an editor for an academic or professional journal.
- Serve as a reviewer for an academic or professional journal.
- Participate in consulting activities for business and industry organizations.
- Participate in faculty internship opportunities.

#### **External Services to the Community**

- Serve in a volunteer leadership position for charitable and community agencies or service groups.
- Serve on government commissions, task forces, or boards.
- Apply professional / business expertise through constructive public service that benefits the university, and/or this region, state, and/or nation.

## **I.B Career Development, Tenure, and Promotion**

The nature of faculty contribution is expected to vary as a function of skills, interests, and the stage of career development. This document does not seek to specify or encourage a single stereotype of faculty contributions in the areas of instruction, intellectual contribution and service. However, consistent with general promotion and tenure standards outlined in the ***ASU Faculty Handbook***, it is possible to describe acceptable patterns of emphasis that are most likely to lead to career development and to positive evaluation in the College of Business. Promotion and tenure are based on the expectations of continued growth and the potential for future performance, rather than being simply rewards for past accomplishments. It should be emphasized the receipt of satisfactory annual performance evaluations is necessary, but not sufficient, for positive recommendations with regard to promotion and tenure.

### **I.B.1 Career Development**

#### **Assistant Professors**

Primary emphasis should be placed on developing competence in instruction and on establishing a scholarship program that leads to a record of intellectual contribution. Service contributions generally will be focused on departmental and College academic affairs until intellectual contribution and instructional competencies are well established.

### **Associate Professors**

Continued emphasis should be placed on competence in instruction, including course development and instructional innovations, and on maintaining an active scholarship program. Associate professors, relative to assistant professors, will be expected to exhibit increased contribution in one or more of the areas of service.

### **Professors**

Leadership in the pursuit of excellence in fulfilling our mission should come primarily from the College's full professors. Such leadership can be manifested in a variety of ways, such as continued major contributions to the body of knowledge; contribution to the development of less experienced faculty; leadership in one or more of the areas of service; and leadership in one or more of the areas of instruction. While there will likely be great heterogeneity in the nature of contributions of full professors, excellence in one or more areas is expected. Professors, as with other faculty members, are expected to provide high quality instruction and maintain a program of intellectual contribution regardless of the area in which they excel.

## **I.B.2 Tenure**

Candidates for tenure bear the burden of clearly demonstrating that they qualify for tenure based on their record of performance as measured against tenure standards of the university, the college, and the department.

The criteria for tenure include recognized 1) skill in teaching, 2) accomplishment in scholarship, and 3) accomplishment in service. Candidates should submit a portfolio for review by colleagues and decision-makers. The portfolio should provide evidence of the candidate's performance in teaching, research, and service as suggested by the *Examples of Performance Criteria* contained in Section I.A (Dimensions of Performance) of this manual.

**Recognized skill in teaching means the candidate has attained teaching effectiveness.** To earn the recommendation for tenure, candidates must demonstrate that they:

- have attained teaching effectiveness, with evidence provided by meeting numerous *Examples of Performance Criteria in Instruction* as outlined in Section I.A.1,

- are committed to, and can reasonably be expected to, sustain teaching effectiveness.

**Recognized accomplishment in intellectual contributions** means a strong record of publications in refereed journals. Quality and quantity both matter. Other scholarly contributions (e.g., conference presentations and proceedings, book chapters, works in progress, awards of funded research grants, etc.) may provide support for the candidate's commitment to research or potential for further contributions, but the primary focus in the tenure review is on the record of refereed journal articles. In addition to the record of publications, candidates bear the burden of clearly demonstrating that there is a reasonable expectation they:

- will maintain an on-going commitment to intellectual contributions,
- will produce a record of continuing refereed journal publications, and
- will remain "academically qualified" throughout their career.

Standards for each department and discipline may vary somewhat, but shall, in all instances, be consistent with these guidelines.

**Recognized accomplishment in service** means the candidate has engaged in sufficient service activities to the institution, the profession, or the public to demonstrate his or her professional citizenship, and has demonstrated a willingness to participate in the affairs of the department, the college, the university, and the profession. Since junior faculty are expected to focus principally on attaining teaching excellence and a strong record of publications, the qualitative and quantitative aspects of the service record are less important than the inference it supports regarding the potential for future service as a senior colleague.

### **I.B.3 Promotion**

#### **Associate Professor**

While the decisions whether to confer tenure and to award promotion to associate professor are separate, the criteria for promotion to associate professor are the same as those for tenure.

#### **Professor**

The criteria for promotion to professor assume the candidate has previously met the criteria for promotion to associate professor. In addition, they include the following:

- 1) The candidate for professor must be a recognized scholar. A candidate for professor can demonstrate recognition by showing that her/his scholarly activities

have been made available to a national audience in the discipline and that these activities have received some form of peer review. The traditional method of demonstrating national or international recognition is to offer as evidence the authorship of published articles in nationally recognized, high quality, peer reviewed journals. Other examples of evidence, however, are possible. For example, a professional book published by a reputable publisher or a university press, election to national office of a major professional society, invitations to consult widely or with organizations that influence national or international policy and awards of funded research grants are other examples of evidence of national or international recognition.

- 2) Candidates for professor must show a consistent commitment to scholarship throughout their careers.
- 3) Candidates for professor must have demonstrated, sometime during their tenure, leadership in the discipline, Department, or University. Leadership roles include, but are not limited to, administrative appointments, appointments to chair university-wide committees, election to the Faculty Senate, appointments to editorial review boards of important journals, appointments to chair committees of professional organizations, or election to office of professional organizations.
- 4) The normal path to professor couples recognized skill and accomplishment in teaching, service, and scholarship. A candidate may also be promoted to professor on the basis of especially notable leadership and accomplishment in the area of service.

## **I.C Goal Setting and Performance Review Process**

The goal setting and performance review process is a part of the basic management system in the Walker College of Business. The goal setting and review process provides a basis for individual planning, workload assignment, and evaluation of effort. It also provides a basis for administrative units to set priorities, allocate resources, evaluate performance, and make recommendations regarding merit pay, promotion and tenure. Management of the annual evaluation and goal establishment process may vary by department. However, some common elements must be included in the process.

The annual goal-setting process, through which the department chairperson and individual faculty members determine relative weights of the performance areas, provides the primary basis for subsequent annual evaluation and merit compensation.

Department and individual faculty goals are expected to be supportive of the mission of the College. However, this does not imply a single stereotype of effective performance. Given individual differences in skills and interests, and differing stages of career development, individual faculty members may pursue differing combinations of contribution to the three major dimensions of performance. It is the responsibility of individual faculty members and their department chairpersons to agree on how individual goals can best be integrated with department and College goals. The University has adopted a uniform faculty annual report form that is generated in Digital Measures. The cutoff date for information to be included in faculty annual reports is March 15 of each year, and the reports will be due on approximately that date. This allows time for the reporting and review process to be completed during the Spring semester. A copy of the annual report form is included as an appendix to this document.

The chairperson will consult with the Dean regarding the performance of departmental faculty members. After this consultation, each faculty member will meet with his/her chairperson for an evaluation conference prior to the end of the spring semester. During the meeting, the chairperson and the faculty member will discuss the faculty member's accomplishments for the year, the extent to which current year goals were attained, and any problems perceived by either the faculty member or the chairperson. They will also have a preliminary discussion of workload assignment and goals for the next year.

Late in the Spring semester or at the beginning of the Fall semester, the chairperson will meet with each faculty member to work out an agreement on future goals and workload assignments. Although the formality of this process will vary by department, the faculty member should develop a statement of goals for the year in instruction, intellectual contribution, and service. The faculty member and the chairperson should arrive at an agreement concerning the faculty member's goals and the distribution of effort and time among the three areas that is appropriate given individual, department, and College goals.

## **I.D Annual Performance Standards for Faculty**

The faculty performance evaluation procedure provides for five levels of rating, where the middle level is "performance met expectations."

Under the procedure, goals are set annually in consultation with the department chairperson in each dimension of performance. The goal-setting process is useful in identifying where an individual's interests lie and developing some understanding as to

how a faculty member's efforts should be directed to best achieve individual, department, and College goals.

The accomplishment of goals is evaluated at the end of the year on the basis of results achieved. A high level of accomplishments will result in a high evaluation in that performance area. These annual performance standards, in total, are created and intended specifically for tenured and tenure-track faculty. Some portions, particularly in the areas of instruction, will apply to all full-time and part-time faculty. These standards are detailed in the following sections.

## **I.D.1 INSTRUCTION**

This faculty performance dimension includes all activities for which the student is the intended end user and for which the activity is based on a specific class. This dimension includes principally classroom instruction and related activities. This dimension may also include such activities as development of innovative course materials or instructional methods, development of new courses, directing theses, directing independent student internships, leading student course-based (as opposed to club-based) trips, and other activities involving direct interaction with students when such activity is part of class work.

The course load in the College of Business is 12 hours per semester. Three hours of reassigned time for intellectual contributions are granted to tenure-track faculty members making satisfactory progress toward tenure. Reassigned time is also available to tenured faculty members engaged in producing intellectual contributions at a sufficient level to maintain their "academically qualified" status as defined in AACSB standards and college guidelines. Ideally, such a nine hour teaching load will consist of no more than two preparations per semester (three preparations per academic year). In evaluating faculty performance in instruction, consideration will be given when the faculty member's course load deviates substantially from the norm.

### **Minimum Expectations**

All faculty members, full-time and part-time, will be evaluated against the following basic standard containing these elements:

- 1) Receive positive quantitative and qualitative feedback from students through course evaluations and other means that demonstrate a pattern of quality instruction;
- 2) As mandated by the **ASU Faculty Handbook**, hold a minimum of seven office hours per week, and be generally available to students outside of class contact

periods. Part-time faculty must be available to meet with students for appropriate periods based on teaching load;

- 3) Provide course instruction which conforms to the catalog description, and which includes current knowledge of the subject;
- 4) Hold all classes as scheduled, including the final exam period, except for infrequent incidents of sickness, personal emergencies, or other professional obligations where substitute learning experiences are provided;
- 5) Provide a syllabus that details objectives, a course outline, work expected of students, and instructor policies for each course taught;
- 6) Provide evidence of rigorous and equitable grading.
- 7) Hold and maintain “academically qualified” and/or “professionally qualified” status as defined in AACSB standards and college guidelines.

Faculty who satisfy the basic standard will have met expectations on this performance dimension. Faculty who fail to meet any element of the basic standard will have failed to meet expectations on this performance dimension. Meeting minimum expectations in instruction is a necessary, but not sufficient, component in merit compensation, promotion and tenure decisions.

### **Performance Above Expectations**

In order to achieve a performance rating higher than “met expectations”, the faculty member must first demonstrate a consistent pattern of high quality teaching. While not an exhaustive list, the following items and other pertinent considerations should then be used to determine if a faculty member has “exceeded” or “far exceeded” the basic standard:

- Develop innovative course materials or instructional methods during that year;
- Develop a new course;
- Work with external constituencies (businesses, agencies, etc.) to develop and carry-out class-related projects;
- Create and carry out a team-taught course;
- Chair a thesis or direct significant independent student work;
- Organize and lead other significant off-campus class learning experiences such as class field trips;
- Receive a teaching award.
- Attain the basic standard while undertaking instructional efforts above the minimum. For example, carrying an unusually heavy teaching load, teaching graduate coursework, teaching in off-campus programs, or undertaking three preparations in the same semester.

## I.D.2 INTELLECTUAL CONTRIBUTIONS

Faculty members should make intellectual contributions on a continuing basis appropriate to the College's mission. The components of intellectual contribution are:

- **Discipline-Based Scholarship:** Contributions that add to the theory or knowledge base of a discipline.
- **Contributions to Practice:** Contributions that influence professional practice in a faculty member's field.
- **Learning and Pedagogical Research:** Contributions that influence the teaching-learning activities of the school.

Faculty members who are granted non-administrative reassigned time for intellectual contribution activities are expected to meet minimum performance standards to retain the reassigned time.

### Minimum Expectations

To meet minimum expectations, performance evaluation in the area of intellectual contribution will be based on a faculty member's tangible output **in the most recent five-year period**. Subject to these college guidelines, each department will set standards with regard to quality and quantity of intellectual contribution needed to meet minimum expectations. Department standards must be sufficiently rigorous to assure that a faculty member maintains his/her "academically qualified" status as defined in AACSB standards and college guidelines. Meeting annual minimum expectations in intellectual contribution is a necessary, but not sufficient, component in merit compensation, promotion, and tenure decisions.

### Performance Above Expectations

Performance above expectations requires more than meeting the minimum effort expectations described above. Each department will determine the appropriate qualitative and quantitative standards for tangible output for achieving performance above expectations. Some items that may contribute to performance above expectations include:

- Manuscript published in a leading journal
- Multiple articles published during the relevant evaluation period
- Winning a "best paper" award
- Invited paper to a professional society

- Completion of a research report from a significant funded grant proposal through ASU
- Textbook or other peer-reviewed teaching materials
- Scholarly book or chapter in a scholarly book
- Receiving a research award

### **I.D.3 SERVICE**

All faculty members must demonstrate a cooperative willingness to support the University's purposes and to share the responsibility for evaluating its policies and programs, which implies an active participation in University affairs. The service component of the faculty member's workload consists of service to various internal constituencies as well as to various external constituencies. All faculty members are expected to allocate at least 5% of their total effort toward service activities.

#### **Minimum Expectations**

Each faculty member in the College of Business is expected to participate in the affairs and activities of the department, college, and university. Some examples of basic opportunities for participation include: (1) attending and participating constructively in the deliberations of departmental and general faculty meetings, (2) attending commencement and convocation ceremonies, (3) attending CEO Lecture Series activities, and (4) participating on an as-needed basis in other activities (i.e., Open House, Parents Weekend)

Departmental guidelines will be established to ensure adequate departmental representation at each of the above activities. Failure to regularly participate in these activities at the minimum level specified in departmental guidelines will preclude the meeting of expectations, regardless of other service activities in which the faculty member engages.

In addition to the above expectations, each faculty member must engage in service activities to one or more of the University constituencies. The constituencies to which faculty provide service can be categorized as internal and external. Internal constituencies include the University, College, department and students. External constituencies include the academic profession, the business community and the social/civic community. Examples of the types of service activities possible are provided below:

#### **Internal Service**

- Formal and informal academic advising
- Advising student organizations

- Chair or serve on University, College or department committees/councils
- Participate in institutional affairs
- Fund-raising activities
- Organizational role in departmental seminars

### **External Service**

- Develop professional relationships with business leaders and organizations
- Serve as track or session chair, discussant or reviewer for a professional conference
- Serve as an editor or reviewer for a journal
- Participate in faculty internship opportunities
- Serve on government commissions, task forces, or boards
- Serve as volunteer for charitable, civic or special-interest organizations
- Apply professional/ business expertise through constructive public service that benefits the university, and/ or this region, state, and/ or nation.

Meeting annual minimum expectations in service is a necessary, but not sufficient, component in merit compensation, promotion, and tenure decisions.

### **Performance Above Expectations**

Service expectations of a faculty member will vary with such factors as professorial rank, tenure status, reassigned time, and instructional workload. In order to exceed expectations, a faculty member must demonstrate an extraordinary commitment of effort relative to expectations for a faculty member, given the above factors. For instance, a tenured full professor should devote more time to service than a non-tenured assistant professor, and would be required to expend a greater amount of effort to warrant the classification “performance above expectations.”

## **II. Policy on Faculty Workload and Relative Effort Assigned to Performance Areas**

The purpose of this policy is to identify an acceptable benchmark with which tenured and tenure-track faculty members may, with their department chairperson, negotiate workloads and their respective relative emphases in teaching, intellectual contribution

and service. Workloads and relative emphases of performance areas for tenured and tenure-track faculty members should be cognizant of the expectations for promotion and tenure specified in the ***ASU Faculty Handbook***, the WCOB Faculty Personnel Guidelines, and their respective departmental guidelines.

The first priority in determining workloads and relative emphases of performance areas must be the programmatic needs of the College and the department. The responsibility for negotiating appropriate faculty workloads and relative emphases of performance areas rests with the department chairperson, subject to approval by the Dean.

Within acceptable ranges, workloads determine the relative emphasis a faculty member is expected to devote to teaching, research, and service. Once the workload is established, faculty members select the relative emphasis for each performance dimension. Emphases are percentages summing to 100%. As such, they are weights that factor into the faculty member's annual performance appraisal. The following table illustrates some of the more common workloads along with the corresponding ranges of acceptable emphases. While these are suggestive, deviations can be negotiated.

<b>Workload Distribution</b>	<b>Teaching</b>	<b>Research</b>	<b>Service</b>
<u>Faculty with reassign time for research (tenure track with tenure):</u> 9 hours teaching, 3 hours reassigned for research	40-50%	30-40%	10-20%
<u>Faculty with reassign time for research (tenure track but untenured):</u> 9 hours teaching, 3 hours reassigned for research	50-60%	35-45%	5-15%
<u>Faculty without reassign time for research (tenure-track with tenure):</u> 12 hours teaching	60-70%	15-25%	15-25%
<u>Department chairpersons:</u> 3 hours teaching, 3 hours reassigned for research, 6 hours reassigned for administrative	20-30%	20-30%	40-50%

### **III. Policy on Merit Rewards and Resource Allocation**

In order to qualify for merit salary increases, a faculty member must meet the minimum expectations established for instruction, intellectual contribution, and service. Faculty eligible for merit consideration will be rated by the department chairperson on the basis of relative performance in each of the three areas, taking into account the faculty member's distribution of effort during the evaluation period.

Access to all departmental resources will be related to performance. Those faculty members who qualify for merit adjustments shall get priority consideration for other resources, such as travel funds, graduate assistant help, summer teaching opportunities, and favorable teaching schedules. Also, future workload assignments will be related to performance in previous evaluation periods.

# IV. Appendix

## IV. A. ANNUAL FACULTY ACTIVITY REPORT

(Report Start Date - Report End Date)

<b>Faculty Name:</b>	[Prefix] [[Preferred First Name] [Initial of: [Middle Name]] [Last Name] [Suffix]]	<b>Rank:</b>	Faculty/Staff Rank
<b>College:</b>	College	<b>Department:</b>	Department
<b>Tenure Status:</b>	Tenure Status		

### Workload Information

Screen: [Workload Information](#)  
Records: All Records

Screen: [Yearly Data](#)  
Records: All Records

**Workload:** [Teaching Workload Percentage]% teaching; [Research Workload Percentage]% research; [Service Workload Percentage]% service; [Administrative Workload Percentage]% administrative; [Full-Time Equivalency]% FTE

### I. TEACHING

#### A. Scheduled teaching

Screen: [Scheduled Teaching](#)  
Records: All Records

**Number of courses taught:** [Count of "Number of Credit Hours"]

**Number of credit hours generated:** [Product of "Number of Credit Hours" and "Official Enrollment Number"]

[Semester] [Year]

Course & Section	New Course Preparation?	New Format for Existing Course?
[Course Prefix] [Course Number]-[Section Number]	New course preparation?	New format for existing course?

#### B. Pedagogical innovations (e.g., international issues, computer applications, ethical analysis, new classroom techniques, etc.) that were introduced this year

Screen: [Scheduled Teaching](#)  
Records: All Records

Criteria:

1. Describe any pedagogical innovations that you introduced into this course during the current year (e.g., international issues, computer applications, ethical analysis, new classroom techniques, etc.) has a value

[Semester] [Year], [Course Prefix] [Course Number]-[Section Number]

Describe any pedagogical innovations that you introduced into this course during the current year (e.g., international issues, computer applications, ethical analysis, new classroom techniques, etc.)

#### C. New teaching material developed and/or implemented this year (e.g., cases, CDs/DVDs, course modules, instructor manuals, test banks, or simulations)

Screen: [Scheduled Teaching](#)  
Records: All Records

Criteria:

1. *Describe any new teaching material (e.g., cases, videotapes, audiotapes, course modules, instructor manuals, test banks, or simulations) that you developed and/or implemented* has a value

[Semester] [Year], [Course Prefix] [Course Number]-[Section Number]

Describe any new teaching material (e.g., cases, videotapes, audiotapes, course modules, instructor manuals, test banks, or simulations) that you developed and/or implemented

#### **D. Activities that enhanced student learning and/or student contact with the community (e.g., guest speaker, outside projects, field trips, field projects, etc.)**

Screen: *Scheduled Teaching*

Records: All Records

Criteria:

1. *Describe any activities in your course that enhanced student learning and/or student contact with the business community (e.g., guest speaker, SBDC, SBI, or outside projects, field trips, field projects, etc.)* has a value

[Semester] [Year], [Course Prefix] [Course Number]-[Section Number]

Describe any activities in your course that enhanced student learning and/or student contact with the business community (e.g., guest speaker, SBDC, SBI, or outside projects, field trips, field projects, etc.)

#### **E. Mentoring**

Screen: *Directed Student Learning (for credit)*

Records: All Records

Criteria:

1. *Involvement Type* is not one of: "Internship"

[Course] [Course Number], "[Title of Student's Work]" ([Stage of Completion]), [Number of Credit Hours credit hour(s)]. ([Month Started Day Started, Year Started - Month Completed Day Completed, Year Completed]).

Advised: [list of **[Student Information]** as "[Student First Name] [Student Last Name]"]

Comment: [Comments]

Comments

#### **F. Internships**

Screen: *Directed Student Learning (for credit)*

Records: All Records

Criteria:

1. *Involvement Type* is one of: "Internship"

[Course] [Course Number], "[Title of Student's Work]" ([Stage of Completion]), [Number of Credit Hours credit hour(s)]. ([Month Started Day Started, Year Started - Month Completed Day Completed, Year Completed]).

Advised: [list of **[Student Information]** as "[Student First Name] [Student Last Name]"]

Comment: [Comments]

Comments

#### **G. Academic advising**

Screen: *Student Advising & Engagement*

Records: All Records

Criteria (is one of):

1. *Number of Undergraduate Students Advised* has a value

2. *Number of Graduate Students Advised* has a value

3. *Approx. Number of Hours Spent for the Year* has a value

1. Number of Undergraduates advised: [Number of Undergraduate Students Advised]

2. Number of Graduates advised: [Number of Graduate Students Advised]

3. Hours devoted to advising over the course of the year: [Approx. Number of Hours Spent for the Year]

## H. Other

Screen: *Non-Credit Instruction Taught*  
Records: All Records

[[Instruction Type] or [Explanation of "Other"]], [Sponsoring Organization], [Number of Participants participant(s)], [Academic or Professional?]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).  
Description

## II. RESEARCH AND CREATIVE ENDEAVORS

### A. Refereed publications: [Sum of "1", "1" and "1"]

#### 1. Journal articles

Screen: *Publications*  
Records: All Records  
Criteria:

1. *Current Status* is one of: "Published", "Accepted" and *Was this peer-reviewed/refereed?* is equal to "Yes" and *Contribution Type* contains one of the substrings: "Journal Article", "Article, Journal"

[list of **Authors**] as "[Last Name], [F.] [M.]" ([Year Published]). [Title of Contribution (include punctuation at the end of title)] [Manuscript submitted for publication.]

#### 2. Books and chapters in books

Screen: *Publications*  
Records: All Records  
Criteria:

1. *Current Status* is one of: "Published", "Accepted" and *Was this peer-reviewed/refereed?* is equal to "Yes" and *Contribution Type* contains one of the substrings: "Book, Scholarly-New", "Book, Scholarly-Revised", "in Scholarly Book", "Monograph", "Manuscript"

[list of **Authors**] as "[Last Name], [F.] [M.]" ([Year Published]). [Title of Contribution (include punctuation at the end of title)] [Manuscript submitted for publication.]

#### 3. Other peer-reviewed scholarly products

Screen: *Publications*  
Records: All Records  
Criteria:

1. *Current Status* is one of: "Published", "Accepted" and *Was this peer-reviewed/refereed?* is equal to "Yes" and *Contribution Type* contains one of the substrings: "Book, Chapter in", "Composition, Published", "Proceeding"

[list of **Authors**] as "[Last Name], [F.] [M.]" ([Year Published]). [Title of Contribution (include punctuation at the end of title)] [Manuscript submitted for publication.]

### B. Refereed artistic and professional performances & exhibits: [1]

#### 1. Exhibitions and performances (including conducting)

Screen: *Artistic and Professional Performances and Exhibits*  
Records: All Records  
Criteria:

1. *Was this peer-reviewed/refereed?* is equal to "Yes" and *Type of Work* contains one of the substrings: "Exhibition", "Performance", "Conducting"

[list of **Performers/Exhibitors/Lecturers**] as "[Last Name], [First Name] [Middle Name/Initial]" [Type of Work] ([Start Month Start Day, Start Year - End Month End Day, End Year]). [Work/Exhibit Title] ([Scope])  
Description (50 Words or Less)

## 2. Compositions

Screen: *Artistic and Professional Performances and Exhibits*

Records: All Records

Criteria:

1. *Was this peer-reviewed/refereed?* is equal to "Yes" and *Type of Work* contains one of the substrings: "Composition", "Creation", "Create"

[list of **Performers/Exhibitors/Lecturers**] as "[Last Name], [First Name] [Middle Name/Initial]" [Type of Work] ([Start Month Start Day, Start Year - End Month End Day, End Year]). [Work/Exhibit Title] ([Scope])  
Description (50 Words or Less)

## C. Non-refereed publications: [1]

### 1. Intellectual contributions

Screen: *Publications*

Records: All Records

Criteria (is one of):

1. *Current Status* is one of: "Published", "Accepted" and *Was this peer-reviewed/refereed?* is not equal to "Yes" and *Contribution Type* is one of: "Book, Scholarly-New", "Book, Scholarly-Revised", "Manuscript", "Monograph"
2. *Current Status* is one of: "Published", "Accepted" and *Was this peer-reviewed/refereed?* is not equal to "Yes" and *Contribution Type* contains one of the substrings: "in Scholarly Book", "Journal Article", "Article, Journal", "Book, Chapter in"

[list of **Authors**] as "[Last Name], [F.] [M.]" ([Year Published]). [Title of Contribution (include punctuation at the end of title)] [Manuscript submitted for publication.]

### 2. Artistic and professional performances & exhibits

Screen: *Artistic and Professional Performances and Exhibits*

Records: All Records

Criteria:

1. *Was this peer-reviewed/refereed?* is not one of: "Yes" and *Type of Work* contains one of the substrings: "Exhibition", "Performance", "Conducting", "Composition", "Creation", "Create"

[list of **Performers/Exhibitors/Lecturers**] as "[Last Name], [First Name] [Middle Name/Initial]" [Type of Work] ([Start Month Start Day, Start Year - End Month End Day, End Year]). [Work/Exhibit Title] ([Scope])  
Description (50 Words or Less)

## D. Presentations (not published in proceedings): [1]

Screen: *Presentations*

Records: All Records

Criteria:

1. *Presentation Title* has a value and *Published in Proceedings?* is not one of: "Yes"

[list of **Presenters/Authors**] as "[Last Name], [F.] [M.] ([Presenter/Author])", [Conference/Meeting Name], "[Presentation Title]," [Sponsoring Organization], [Location]. ([Month Day, Year]).

## E. Contracts, grants, and sponsored research: [1]

Screen: *Contracts, Grants and Sponsored Research*

Records: All Records

[list of **Investigators**] as "[Last Name], [First Name] [Middle Name/Initial] ([Role])", "[Contract/Grant/Research Title]", Sponsored by [Sponsoring Organization], [Awarding Organization Is], \$[Amount]. ([Start Month of Funding Start Day of Funding, Start Year of Funding - End Month of Funding End Day of Funding, End Year of Funding]).

## F. Other scholarly activities: [1]

### 1. Newspaper articles/editorials

Screen: *Publications*

Records: All Records

Criteria:

1. **Current Status** is one of: "*Published*", "*Accepted*" and **Contribution Type** contains the text "*Newspaper*"

[list of **Authors**] as "[Last Name], [F.] [M.]" ([Year Published]). [*Title of Contribution (include punctuation at the end of title)*] [Manuscript submitted for publication.]

### 2. Media contributions

Screen: *Media Contributions*

Records: All Records

[Media Type], [Media Name]. ([Month Day, Year]).  
Description

### 3. Intellectual property

Screen: *Intellectual Property*

Records: All Records

Criteria:

1. **Patent or Copyright** has a value

[list of **Inventors**] as "[Last Name], [F.] [M.]", [Patent/Copyright Number/ID] [Patent Title], Applied: [Month of Patent Application Day of Patent Application, Year of Patent Application], Approved: [Month Patent Approved Day Patent Approved, Year Patent Approved]

### 4. Other publications

Screen: *Publications*

Records: All Records

Criteria:

1. **Current Status** is one of: "*Published*", "*Accepted*" and **Was this peer-reviewed/refereed?** is not one of: "Yes" and **Contribution Type** does not contain any of the substrings: "*Book, Scholarly-New*", "*Book, Scholarly-Revised*", "*in Scholarly Book*", "*Manuscript*", "*Monograph*", "*Journal Article*", "*Article, Journal*", "*Book, Chapter in*", "*Newspaper*"

[list of **Authors**] as "[Last Name], [F.] [M.]" ([Year Published]). [*Title of Contribution (include punctuation at the end of title)*] [Manuscript submitted for publication.]

## G. Scholarly works in progress

Screen: *Publications*

Records: All Records

Criteria:

1. **Current Status** is not one of: "*Published*", "*Accepted*"

[list of **Authors**] as "[Last Name], [F.] [M.]" ([Year Published]). [*Title of Contribution (include punctuation at the end of title)*] [Manuscript submitted for publication.]

Screen: *Research In Progress*

Records: All Records

[list of **Collaborators**] as "[Name]", "[Title]" ([Status])  
[Description]

## III. FACULTY DEVELOPMENT: [Sum of "I" and "II"]

### A. Seminars attended

Screen: *Professional Development Activities Attended*

Records: All Records

Criteria:

1. *Activity Type* contains the text "Seminar"

[[Activity Type] or [Explanation of "Other"]], "[Title]," [Sponsoring Organization]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).

### B. Continuing education

Screen: *Professional Development Activities Attended*

Records: All Records

Criteria:

1. *Activity Type* contains the text "Continuing Education"

[[Activity Type] or [Explanation of "Other"]], "[Title]," [Sponsoring Organization]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).

### C. Faculty internship

Screen: *Professional Development Activities Attended*

Records: All Records

Criteria:

1. *Activity Type* contains the text "Faculty Internship"

[[Activity Type] or [Explanation of "Other"]], "[Title]," [Sponsoring Organization]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).

### D. Other faculty development activities

Screen: *Professional Development Activities Attended*

Records: Records not displayed above

[[Activity Type] or [Explanation of "Other"]], "[Title]," [Sponsoring Organization]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).

### E. Professional certifications

Screen: *Licensures and Certifications*

Records: All Records

[Title of Licensure/Certification], [Sponsoring Organization]. ([Month Obtained Day Obtained, Year Obtained - Expiration Month Expiration Day, Expiration Year]).

## IV. ADMINISTRATIVE ASSIGNMENTS

Screen: *Administrative Assignments*

Records: All Records

[[Position/Role] or [Explanation of "Other"]], [Scope] scope, approximately [Approx. Number of Hours Spent Per Year] hours spent for the year. ([Start Month Start Day, Start Year - End Month End Day, End Year]).

## V. SERVICE & COMMUNITY CONNECTIONS: [Sum of "I", "I", "I", "I", "I", "I", "I", "I", "I" and "I"]

### A. Department service

Screen: *Department*

Records: All Records

[[Position/Role] or [Explanation of "Other"]], [Committee Name]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).

### B. College service

Screen: *College*

Records: All Records

[[Position/Role] or [Explanation of "Other"]], [Committee Name]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).

### C. University service

Screen: *University*  
Records: All Records

[[Position/Role] or [Explanation of "Other"]], [Committee Name]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).

### D. Workshops & guest lecturing (internal to ASU)

Screen: *Workshops and Guest Lecturing*  
Records: All Records  
Criteria:  
1. *Scope* is equal to "*Internal to Appalachian State*"

[*Workshop or Lecture Title*] for [Sponsoring Organization], ([Delivery Month Delivery Day, Delivery Year]),  
[approximately Approx. Number of Hours Spent hour(s) spent for the year]  
Responsibilities/Brief Description (30 Words or Less)

### E. Professional service

Screen: *Professional*  
Records: All Records

[[Position/Role] or [Explanation of "Other"]], [Organization/Committee/Club], [City], [State]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).

### F. Community connections

#### 1. Consulting/board of directors

Screen: *Consulting*  
Records: All Records

[[Consulting Type] or [Explanation of "Other"]], [Client/Organization], [Location], [compensated],  
[approximately Approx. Number of Hours Spent Per Year hour(s) spent for the year]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).  
Brief Description (30 Words or Less)

#### 2. External connections and partnerships

Screen: *Professionally Related Community Service*  
Records: All Records  
Criteria:  
1. *Position/Role* is one of: "*Attendee, Meeting*", "*Discussant*", "*Guest Speaker*", "*Other*"

[[Position/Role] or [Explanation of "Other"]], [Organization/Committee/Club], [City], [State]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).  
Responsibilities/Brief Description (30 Words or Less)

#### 3. Media contributions

Screen: *Media Contributions*  
Records: Records not displayed above

[Media Type], [Media Name]. ([Month Day, Year]).

#### 4. Workshops & guest lecturing (external to ASU)

Screen: *Workshops and Guest Lecturing*

Records: All Records

Criteria:

1. *Scope* is equal to "External to Appalachian State"

[Workshop or Lecture Title] for [Sponsoring Organization], ([Delivery Month Delivery Day, Delivery Year]),  
[approximately Approx. Number of Hours Spent hour(s) spent for the year]

#### 5. Professionally related community service

Screen: *Professionally Related Community Service*

Records: All Records

Criteria:

1. *Position/Role* is one of: "Board of Advisors, Chair", "Board of Advisors, Member", "Committee/Organization, Chair", "Committee/Organization, Member", "Officer, President/Elect/Past", "Officer, Secretary/Treasurer", "Officer, Vice President", "Policy Guideline Development", "Program Organizer", "Service to Public Schools", "Task Force, Chair", "Task Force, Member"

[[Position/Role] or [Explanation of "Other"]], [Organization/Committee/Club], [City], [State]. ([Start Month Start Day, Start Year - End Month End Day, End Year]).

#### VI. HONORS/AWARDS/RECOGNITIONS: [1]

Screen: *Awards and Honors*

Records: All Records

[Award or Honor Name], [Organization/Sponsor], [Purpose]. ([Month Received Day Received, Year Received]).  
Description/Explanation (30 Words or Less)

# IV.B. John A. Walker College of Business Faculty Annual Performance Appraisal Form

Faculty Name \_\_\_\_\_

Academic Year \_\_\_\_\_

**Instructions:** Faculty members should prepare a draft of this form and attach a copy of the Annual Report of Faculty Activity prior to the annual review discussion with the Department Chairperson. Please list all performance accomplishments for the year. Please separate accomplishments into **Instruction**, **Intellectual Contribution**, and **Service**. See section I.A, "Dimensions of Performance," of the College of Business *Faculty Personnel Guidelines* for indicators of performance in each of the dimensions, Instruction (section I.A.1), Intellectual Contributions (I.A.2), and Service (I.A.3). Feel free to attach additional sheets as necessary.

**Performance Accomplishments:**

Chairperson's Comments

<p><b>Instruction:</b></p>	
<p><b>Intellectual Contribution:</b></p>	
<p><b>Service:</b></p>	

**Performance Ratings:** (Check the category which best describes the faculty member's performance in each area.)

Dimension	Failed to meet expectations	Failed to meet expectations at times	Met expectations	Exceeded expectations at times	Far exceeded expectations
Instruction					
Intellectual Contribution					
Service					

AQ/PQ?       Yes    No    NOTE: AQ/PQ status is necessary to achieve a rating of “met expectations” or above in the Intellectual Contribution category.

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**Strong Performance Areas:**

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**Suggested Improvements:**

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**Additional Comments:**

Chairperson's Signature \_\_\_\_\_

Date: \_\_\_\_\_

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**Faculty Member Review:**

Optional Comments: The faculty member may make any comments (for example, agreement or disagreement with the chairperson) in the space provided below.

I have reviewed this document and discussed the contents with my chairperson. My signature means that I have been advised of my performance evaluation and does not necessarily imply that I agree with the evaluation.

Faculty Member's Signature \_\_\_\_\_

Date: \_\_\_\_\_

## IV.C.

# John A. Walker College of Business Faculty Annual Goal Form

**Instructions:** Faculty members should prepare a draft of this form prior to the annual goal-setting discussion with the Department Chairperson. Please list all long-term and/or short-term professional goals for the next academic year and beyond. Please separate goals into **Instruction**, **Intellectual Contribution**, and **Service**. See section I.A, "Dimensions of Performance," of the College of Business **Faculty Personnel Guidelines** for indicators of performance in each of the dimensions, Instruction (section I.A.1), Intellectual Contributions (I.A.2), and Service (I.A.3). Feel free to attach additional sheets as necessary.

### Goals and Objectives:

<b>Instruction:</b>
<b>Intellectual Contribution:</b>
<b>Service:</b>

Please indicate your suggested personal emphases among the following categories, which must be consistent with the parameters set forth in Section II of the **Faculty Personnel Guidelines**:

Instruction \_\_\_\_\_ Intellectual Contribution \_\_\_\_\_ Service \_\_\_\_\_

Faculty Member's Signature \_\_\_\_\_ Date: \_\_\_\_\_

Chairperson's Signature \_\_\_\_\_ Date: \_\_\_\_\_