

## HARVARD BUSINESS SCHOOL

### POLICIES AND PROCEDURES WITH RESPECT TO FACULTY APPOINTMENTS AND PROMOTIONS\*

#### THE MISSION OF HARVARD BUSINESS SCHOOL

The mission of Harvard Business School is to educate leaders who make a difference in the world.

We accomplish this mission by

- building new managerially-relevant knowledge addressed to scholars, educators, and managers;
- teaching the art and science of general management and creating a transforming experience in our classrooms and programs;
- communicating important ideas and materials to leaders around the world.

#### PREAMBLE

1. Our standards for appointment and promotion are intended to attract, develop, and retain faculty who advance the School's mission through their scholarship, their teaching, and their contribution to management education and the advancement of management practice. As tenured faculty, it is our responsibility to communicate and uphold these standards.
2. HBS strives to remain at the forefront of the complex and constantly evolving field of business administration. We must appoint to our faculty individuals who create important ideas; who can communicate those ideas to students, managers, scholars, and educators in a way that transforms their thinking; and who have the capacity to lead and run the School. We also strive for a diverse faculty committed to a general management perspective and to student learning, which is facilitated through the School's participatory learning model. We will be a preeminent graduate professional school only if we appoint to our permanent faculty those individuals who excel in their areas of intellectual endeavor and contribute to the overall mission of Harvard Business School.

#### PART I STANDARDS

3. The School encourages a wide range of intellectual activities among its faculty. At the same time, we have a common commitment to advance management practice and education through shared interests, objectives, and values. As individuals, all candidates for promotion must demonstrate the managerial relevance of their principal work and its long-term congruence with the mission of the School. As a group, they should be demographically and intellectually diverse.
4. While individual initiative is the driving force of the School's intellectual vitality, the School also values individuals' contributions to the creation of a community that fosters the work and development of others. In appraising individuals, the School considers both their record of performance and their continued commitment to contributing to the work and mission of the School.

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*\* Approved by vote of the tenured faculty, 20 September 2007; Articles 19-20 revised 16 May 2013 by vote of the tenured faculty.*

Three standards guide our evaluation of candidates:

- A. Intellectual contributions
- B. Teaching contributions
- C. Contributions to the HBS community

5. These standards, as discussed below, guide the evaluation of *all* of our promotion and appointment decisions: tenured Professors (both from within HBS and lateral hires), untenured Associate Professors, and Professors of Management Practice. While these positions are different—and often the backgrounds of the individuals considered are quite different—we firmly believe that having this full complement of talented faculty enables HBS to carry out its mission most effectively. The sections below detail, in turn, the standards for promotion to full Professor with tenure, untenured Associate Professor, and Professor of Management Practice.

#### **PART I.A: STANDARDS FOR PROMOTION TO PROFESSOR OF BUSINESS ADMINISTRATION**

6. The only appointment that carries tenure is Professor of Business Administration. Tenure is granted to extraordinary individuals who have demonstrated their ability and willingness to make a sustained contribution to the study, teaching, and practice of business. We consider multiple criteria, as summarized below and explained in greater detail in Sections 7 through 15:

(a) Intellectual contributions

All successful candidates must make intellectual contributions that are recognized as outstanding. Regardless of the form of the work, or the audiences to which it is addressed, this work must meet certain common standards of excellence as described below. Finally, the candidate must be judged to be a leading scholar or educator.

(b) Teaching contributions

All successful candidates must demonstrate that they are effective teachers in the HBS discussion-based teaching environment. Teaching effectiveness includes not only classroom performance, but also contributions to the body of teaching materials that sustain the teaching programs at HBS and support of other faculty in our community.

(c) Contributions to the HBS community

All successful candidates must uphold HBS Community Values; accept a fair share of School responsibilities; and contribute to the community.

Outstanding abilities, excellence of past performance, and promise of future performance are vital criteria; however, they alone are not enough to ensure promotion. The assessment of the person's achievements and promise to perform and grow at HBS must be weighed against an assessment of the abilities of other available candidates; the limitation of available openings over time; and the need to balance the abilities of faculty across fields with the needs of the School.

## OUTSTANDING INTELLECTUAL CONTRIBUTIONS

7. Candidates for tenure must demonstrate an intellectual contribution that is recognized as outstanding. This intellectual contribution can take many forms but must meet the following standards:

(a) The subject of inquiry

A candidate must establish a leading role in the evolution of ideas in an important area of inquiry—one with broad and enduring significance for business practice. It is the candidate's responsibility to demonstrate the managerial relevance of his or her work.

(b) The intended audience

To be successful in carrying out its mission, HBS must address audiences of scholars, educators, and managers. It is desirable that over an entire academic career, HBS professors will have had an influence on all of these groups. As a condition for granting tenure, the work of a candidate must (1) be recognized as having had a major influence on at least one of these audiences (the primary audience) and (2) demonstrate the potential to make a significant contribution to one of the others (the secondary audience). Some candidates will make major integrated contributions to multiple audiences. Both influence and potential contribution are evaluated primarily on the basis of written work.

(c) Common qualities of outstanding intellectual contributions

Regardless of the audience(s) that a candidate for tenure addresses, his or her work will be evaluated using a common set of standards. A panel of qualified reviewers will be asked the following:

(i) Does the work address important problems relevant to management practice?

(ii) Has the work been conducted with due care? In particular, does it use appropriate methods; is it logically consistent; does it embody a tight connection between its argument and supporting evidence; and is it informed by and does it acknowledge prior work?

(iii) Is the work compelling in that it meaningfully changes the way members of the intended audience think about the problems it addresses?

(d) Judged as a leading educator or scholar

To qualify for tenure, the candidate must produce work that is judged to be outstanding by those members of the academic and business communities, both inside and outside the School, who are best qualified to evaluate its quality and importance. Reviewers will be asked:

"Is the candidate among the best educators or scholars who have undertaken comparable work at the same stage of their careers?"

8. Intellectual contributions addressed to educators

Excellent course development makes a significant and influential contribution to educational programs in business management and to the understanding of business practice. It typically involves either a description and analysis of a new phenomenon, or a new conceptual structure or framework that organizes the description and analysis of a known phenomenon in a logically consistent and compelling manner. In addition to facilitating substantial student learning, excellent course development should compel both educators and students to think about important business problems more productively than they did before. The work product of a candidate demonstrating excellence in course development generally consists of three parts:

- (a) First, a series of individually excellent teaching vehicles that evoke fresh insights into issues of importance to managers. These are typically cases, but they can also include simulations, in-class exercises, videos, interactive software, and other materials.
- (b) Second, teaching notes that incorporate substantive learning objectives, describe conceptual underpinnings, and offer effective “in-class” teaching plans. These notes allow educators other than the case author to make effective use of these materials in their own classrooms.
- (c) Third, one or more documents that collect and present the intellectual contributions contained in the course materials. Such documentation will generally take the form of a comprehensive course note, a set of module note(s), a book, or a set of articles addressed to managers or academics.

Regardless of the approach to course development a candidate may choose to pursue, the documentation offered as evidence should fully elaborate on the conceptual and analytical linkages among the course materials; relate the work to existing knowledge; and lift the learning to a level beyond that achieved from the individual cases. The end result of excellent course development is a body of work that has a significant impact on the way educators (internally and externally) think about and ideally teach important problems relevant to the practice of business administration.

9. Intellectual contributions addressed to scholars

Excellent research makes a significant and influential contribution to the understanding of important, managerially-relevant topics. It can include conceptual work (theory development, framework-building) or empirical contributions (theory testing, description of phenomena, establishment of facts) that advance understanding or knowledge in a significant way.

Excellent research can employ any research methodology (e.g., clinical, statistical, archival, experimental, simulation, mathematical modeling) that is useful in advancing knowledge. Likewise, the research can influence scholars through a variety of publications (e.g., books, peer-reviewed journals, practitioner-oriented publications, course notes, cases, and teaching notes). Whatever its form, the work must meet the highest standards of conceptual or empirical rigor appropriate to the nature of the intellectual inquiry, while demonstrating appropriate linkages to related research and engagement with alternative views.

To meet the School's standards, the research must address a subject of relevance to business administration. Successful candidates must demonstrate relevance in at least some portion of their research output, which may include teaching notes or practitioner-oriented articles. The end result of excellent research is a body of work that has a significant impact on the way scholars think about important problems relevant to the practice of business administration.

10. Intellectual contributions addressed to managers

While work addressed for educators or scholars must be managerially-relevant, intellectual contributions addressing managers should go beyond merely showing relevance; they must be produced in a form specifically addressed to and accessible by this audience. Often this work is prescriptive in nature, providing guidance for managers. It might take the form of articles written for managerially-oriented publications, books written for this audience, or other publication media. The contributions of this work must meet the same criteria of excellence and impact that are required for excellent course development or scholarly research, as described in Sections 8 and 9 above. The end result of excellent research addressed to managers is a body of work that has a significant impact on the way managers think about—and ideally the actions they take regarding—important problems relevant to the practice of business administration.

11. Interdisciplinary and integrated intellectual contributions

Some candidates may produce a body of work that either cuts across disciplinary boundaries or blurs the distinction between primary and secondary audiences. Because the power of such work lies in its integrative nature, evaluation in these cases will be based on the total work product and the extent to which its core idea(s) are connected and integrated in the various media. Candidates will not be judged on the quantity of their contributions in any one dimension, but rather on the total impact of the body of work. In every other way, the work must meet the criteria described in Sections 6(a), 7, 8, 9, and 10 above.

### **EFFECTIVE TEACHING CONTRIBUTIONS**

12. To carry out our mission, HBS requires a faculty skilled in discussion-based learning. All candidates for tenure must demonstrate a commitment to teaching and a capacity for sustained effectiveness as teachers.

Our distinctive HBS teaching model has four components: (a) developing course materials (typically, but not exclusively, field-based cases); (b) delivering classes that engage students in discussion-based learning that explores important management problems; (c) sharing teaching insights with colleagues through contributions to teaching groups (when applicable) and teaching notes; and (d) supporting students' learning outside the classroom.

Candidates for promotion are evaluated on teaching effectiveness at the time of each review. Candidates for tenure must be deemed effective teachers. Evidence concerning the quality of teaching will be obtained from several sources. Course materials will be evaluated by senior faculty and reviewers for the quality of the pedagogical insights they offer. Multiple classroom observations will be conducted over time by an appropriate set of senior faculty to provide an informed assessment of classroom effectiveness. Senior colleagues will be asked to provide evidence of the candidate's contributions to teaching groups and to supporting other teachers at HBS. Evidence regarding a candidate's contributions to students' learning environment may also be sought.

### **EFFECTIVE CONTRIBUTIONS TO THE HBS COMMUNITY**

13. All members of the HBS faculty are expected to contribute actively to the HBS community and help foster an environment conducive to the work of others. Given the School's mission and scope, we are particularly interested in promoting faculty with the potential to lead and run the School. Thus, evaluation of all candidates will explicitly include evidence of how the candidate has helped to build and maintain a high-quality environment for teaching, learning, and working at the School, and how strong his or her prospects are for continued contribution and leadership.

All recommendations for promotion, therefore, must be supported by persuasive evidence that the following requirements are met:

- (a) The candidate displays honesty, integrity, and respect for others, including faculty, students, and staff.
- (b) The candidate accepts his or her fair share of the School's administrative, mentoring, and teaching responsibilities.
- (c) The candidate contributes to the teaching and research environment of the School.
- (d) The candidate advances the School's mission and those activities that support and foster it.

Evidence of these attributes will be obtained from those who are the most familiar with both the candidate and the various responsibilities that he or she has undertaken during his or her time at HBS. While these contributions are described in the context of the School, we will also consider additional contributions made to other parts of Harvard University and to broader professional communities.

### **STANDARDS FOR EXTERNAL TENURE APPOINTMENTS**

14. From time to time, the School will recruit professors from other academic institutions to join our tenured ranks. Experience suggests that candidates make the greatest contribution to HBS when they combine great research skills with a deep interest in the practice of management and an integrative and expansive view of the many facets of managerial practice. Yet, often, candidates come from institutions that do not emphasize field work or managerial relevance. In these cases, therefore, in addition to considering records of scholarly productivity and impact, the Appointments Committee will evaluate the candidates' interests and engagement in the practice of management, their teaching effectiveness, their contributions to their institution, and their plans to advance the mission of the School. The Appointments Committee should also gather evidence on the candidates' breadths of interest in disciplines beyond their own. Although we will take into account the different backgrounds of these candidates, there is a clear expectation that they can meet all standards for tenure.

## PART I.B: STANDARDS FOR REVIEWS PRIOR TO TENURE

15. The first faculty appointment for individuals is usually as an Assistant Professor. An initial appointment to this rank is normally for a term of three years. This appointment can be renewed for another two years at the conclusion of the initial three-year term. The next appointment level is as an Associate Professor without tenure. This appointment is normally for a term of four years. While faculty members are typically reviewed during the last year of their appointments, candidates with strong records may be reviewed earlier.
16. For renewal of the appointment of an Assistant Professor at the conclusion of the initial three-year term, the Dean will ordinarily rely on the recommendations of the senior faculty who are most informed about the candidate's work. It is expected that a majority of Assistant Professors will be renewed at this stage. However, individuals will not be renewed when they are unlikely to meet the standards for promotion to Associate Professor.
17. For appointments to the rank of Associate Professor, the review of the candidate's work will include an evaluation of his or her research, course development, teaching effectiveness, and contributions to the community. The candidate is required to provide persuasive evidence that there is a realistic expectation that, by the end of his or her appointment as Associate Professor, all of the conditions for a tenured appointment can be met. In particular, the factors below provide evidence whether this criterion has been satisfied:
  - (a) The candidate has produced high-quality work and will continue to be productive.
  - (b) The candidate has made significant intellectual progress beyond the work done for his or her doctoral studies.
  - (c) The candidate has communicated his or her work to internal and external constituencies.
  - (d) The candidate has undertaken field work designed to understand problems of practice.
  - (e) The candidate has produced effective teaching materials with associated teaching notes. Typically, the requirements under (d) and (e) are met by candidates writing *field-based* cases and associated teaching notes.
  - (f) The candidate's intellectual interests are moving in a direction that will eventually enable him or her to make a significant contribution to the mission of the School.

Occasionally, we hire as Assistant Professors individuals who have held the equivalent rank at another institution before joining our faculty. These individuals may spend less time on the HBS faculty than the typical term before coming up for review for promotion to Associate Professor. In applying the standards for review, we will take into consideration time spent on the HBS faculty as well as at other schools.

18. Untenured faculty members hired as Associate Professors will typically be reviewed by the Appointments Committee in an "interim" review approximately one or two years prior to their scheduled tenure review. The purpose of these reviews is to provide useful feedback to the candidates as they prepare for their imminent tenure review. Typically testimonials are solicited primarily from internal reviewers. There is no formal vote of the Appointments Committee in these cases.

## **PART I.C: STANDARDS FOR APPOINTMENT TO PROFESSOR OF MANAGEMENT PRACTICE**

19. Given the School's mission to educate leaders who make a difference in the world, not all of our needs can be met through the traditional academic hiring process. To enhance our understanding of management practice, we must include in our faculty outstanding individuals with deep experience in management. These faculty members – Professors of Management Practice – do not serve on the Appointments Committee, but in all other respects, function as full members of the senior faculty, complementing our tenured faculty. Our standards for these appointments and processes for their review are given in Sections 20 and 21.
20. The Professor of Management Practice is a term appointment designed to attract to our faculty a small number of outstanding people from practice. Candidates for Professor of Management Practice are expected to bring skills, experiences, and perspectives that are not usually cultivated through traditional tenure-track academic careers. As members of our faculty, they are expected to assume teaching and leadership positions that contribute to the School's mission and in which they will disseminate their practical insights, experiences, and perspectives through mentoring or other forms of collaboration with faculty and students, and through various forms of written output.

The initial appointment as Professor of Management Practice shall be for no more than four years, and may be made at the discretion of the Dean without involvement of the full Appointments Committee subsequent to receiving advice from faculty with knowledge of the candidate's characteristics and potential role at the School, as described in Section 20(a) below. As a means of gauging a candidate's fit with HBS, individuals will typically, but not always, join the HBS faculty as a Senior Lecturer for a period of time before being considered as a candidate for Professor of Management Practice. Although someone who is expected eventually to become a candidate for Professor of Management Practice might first be appointed Senior Lecturer, a Senior Lecturer appointment does not by itself automatically entitle a candidate for later consideration as a Professor of Management Practice. Likewise, longevity and excellent performance as a Senior Lecturer are not substitutes for the qualifications for initial appointment as a Professor of Management Practice described in Section 20(a) below. Ordinarily, unless the Dean grants an exception, candidates for Professor of Management Practice who are first appointed Senior Lecturer must be formally considered for initial appointment as Professor of Management Practice within three years of joining the faculty.

Following their initial four-year appointment, Professors of Management Practice may be reappointed for a period of up to six years following a formal review by a subcommittee of the Appointments Committee, a discussion by the full Appointments Committee, and approval by the Dean, as outlined in Section 20(b) below. Under some circumstances, the Dean may choose to consider extending Professor of Management Practice appointments beyond the maximum cumulative ten-year period of the first two appointments. Thus, during the term appointment following the review by the full Appointments Committee, and at the discretion of the Dean, the individual may be reviewed for an additional term not to exceed five years, following the procedures described in Sections 20(b) and (c) below.

In some circumstances following the initial maximum ten-year cumulative term as Professor of Management Practice, or a subsequent five-year reappointment as described in the preceding paragraph, short-term reappointments of up to three years in total may be appropriate. In such cases, the Dean has discretion to reappoint the individual for up to three additional years without a formal review. The maximum cumulative time-period that an individual may be appointed as Professor of Management Practice is 18 years.



(a) Initial appointment

Candidates for an initial appointment as Professor of Management Practice should have: 1) a record of significant management experience and accomplishment as a senior organizational leader; 2) a reputation for honesty, integrity, personal accountability, and respect for others; 3) an appreciation for intellectual inquiry; 4) an affinity for discussion-based learning and the HBS teaching model (as described above in Section 12); and 5) an agenda of activities for the period of the initial appointment that both advances HBS's mission and meets the needs of the host unit, and that includes active mentoring or other forms of collaboration with faculty and students, as well as plans for written output.

To obtain counsel on a candidate's initial appointment, the Dean will typically appoint a subcommittee consisting of three Appointments Committee members and the Senior Associate Dean responsible for faculty recruiting as a non-voting ex-officio member, to collect information on the candidate and make a recommendation to the Dean.

The subcommittee counseling the Dean on a candidate's initial appointment as Professor of Management Practice will gather and consider evidence of the individual's:

- (i) Principal accomplishments as a manager and senior organizational leader. Former rank and professional prominence will ordinarily be strongly indicative of a candidate's accomplishments in this role. However, significance of accomplishment will be judged primarily on the basis of the candidate's record of outstanding innovation, impact, or vision at the organizations they helped lead.
- (ii) Reputation for honesty, integrity, personal accountability, and respect for others.
- (iii) Capacity for rigorous reasoning, the creative framing of problems, collaborative inquiry, constructive debate, and/or the synthesis of ideas.
- (iv) Likely or observed effectiveness as a teacher.
- (v) Planned activities and expected contributions to HBS's teaching, learning, and research environment during a first appointment.

(b) First reappointment

The reappointment of a Professor of Management Practice is subject to a formal review conducted by a subcommittee appointed by the Dean consisting of Appointments Committee members from outside the candidate's unit and the Senior Associate Dean responsible for faculty development as a non-voting ex-officio member. The report of the subcommittee is presented to the full Appointments Committee for discussion and recommendation to the Dean.

The review for a candidate's reappointment as Professor of Management Practice focuses on the faculty member's effectiveness in carrying out the mission of the School as demonstrated during the prior appointment and planned for the period of the reappointment. Candidates for re-appointment as Professor of Management Practice should have: 1) produced output – typically in the form of course materials, articles, or books – that captures valuable insights relevant to practice; 2) made effective teaching contributions as described in Section 12

above; 3) a demonstrated record of actively and effectively disseminating their skills, experiences, and perspectives with faculty and students through mentoring or other forms of collaboration; 4) displayed honesty, integrity, personal accountability, and respect for others, including faculty, students, and staff; and 5) a clear and feasible set of plans that continue to be aligned with the mission of the School; the needs of the host unit; and the School's expectations for mentoring, on-going collaboration, and the dissemination of practical experience.

The written output of Professors of Management Practice being considered for reappointment will not be judged by the standards for outstanding intellectual contributions normally applied to candidates for promotion to Professor of Business Administration, as described in Sections 7 through 11. In particular, Professors of Management Practice are not expected to produce work that is tightly linked to scholarly literature, meets scholarly standards of theoretical or empirical rigor, creates new theoretical models or frameworks, or is published in peer-reviewed journals. Instead, the written output of Professors of Management Practice being considered for reappointment will be evaluated for excellence on the following dimensions: 1) its focus on important problems relevant to management; 2) the care, diligence and logical consistency with which the work was executed; 3) its ability to elucidate useful business concepts or illuminate important business phenomena in ways that facilitate teaching and learning or result in sound prescriptive guidance to managers; and 4) the extent to which it is a compelling and coherent body of work.

Although evidence for this review may be primarily internal, the subcommittee will obtain relevant outside evaluations whenever possible, particularly in those instances in which managers or other practitioners are in a strong position to assess the PMP candidate's work. The subcommittee will consider evidence of:

- (i) The candidate's record of accomplishment over his or her previous term, including effectiveness in the classroom, collegueship, and mentoring or other forms of collaboration; the development of course and/or research materials; and other contributions to the School's environment and mission;
- (ii) The candidate's reputation for honesty, integrity, personal accountability and respect for others, including faculty, students and staff, during his or her initial term.
- (iii) A clearly articulated, feasible plan appropriate for the individual's next term of appointment; and
- (iv) The likelihood of continued productivity in areas consistent with the individual's planned role at the School.

(c) Second reappointment at the discretion of the Dean

Reappointment as Professor of Management Practice following the maximum cumulative ten-year period of the first two appointments may, at the discretion of the Dean, take place pursuant to a second formal review. For this review, the Dean will appoint a subcommittee consisting of Appointments Committee members from outside the candidate's unit and the Senior Associate Dean responsible for faculty development as a non-voting ex officio member to formally evaluate the candidate based on the standards outlined above (see Section 20(b) for Professor of Management Practice reappointments).

In some instances, a PMP being considered for a second reappointment will have taken on major administrative responsibilities at the School's request during his or her previous term appointment that preclude meeting all the standards specified in Section 20(b). In such cases, the subcommittee conducting the review will explicitly consider the candidate's contribution to the School's mission through such administrative responsibilities. Specifically, it will take into account the time that the candidate has devoted to administrative activities in lieu of written output, teaching contributions, and mentoring and collaborative activities.

At the end of the subcommittee's review process, a written report will be made available to members of the Appointments Committee to allow them the opportunity to provide written comments to the Dean. The Dean will inform the Appointments Committee of his or her decision about reappointment at a subsequent Appointments Committee meeting.

## **PART II PROCEDURES**

21. All appointments are made by the President and Fellows of Harvard College, referred to as the Corporation.

Appointments for periods of more than one year must also have the approval of the Board of Overseers. Recommendations for Corporation appointments are the responsibility of the President, who, in turn, receives recommendations from the Dean, who makes use of faculty information, judgment, and advice. Because the Dean has the sole responsibility for the recommendations made to the President, the Dean may initiate or approve variances from these procedures when, in his or her judgment, the circumstances of a particular case warrant it or are in the best interests of the School.

22. The primary objective of the appointments process is to provide the Dean with the best possible information, judgment, and advice on various faculty appointments. The process must strive to consider simultaneously the interests of individual candidates and the interests of HBS. It must also satisfy the President and relevant governing bodies of Harvard University. It is important to recognize the vital role of the appointments process in shaping the strategy and shared values of HBS. The appointments process—for any individual case and cumulatively across cases—provides the tenured faculty with the opportunity to continuously reexamine, renew, and revitalize the distinctive mission of the School, which fundamentally depends on the composition of its faculty. The appointments process also serves an important integrative role in the School. It helps the senior faculty learn about individuals in different parts of the School and the work they are doing, promotes connections across these parts, and builds the coherence that the School needs to fulfill its mission.
23. The Appointments Committee, consisting of all tenured Professors and formerly tenured Baker Foundation Professors still fully engaged at the School, advises the Dean on all appointments that require a formal review. Input from Professors with senior-term appointments (Professors of Management Practice and other Baker Foundation Professors) may also be solicited in the form of review letters.

24. Membership in the Appointments Committee is a privilege with attendant responsibilities. These include: serving on ad-hoc subcommittees, writing review letters and reports, reading reports in advance, and regular attendance at meetings. The deliberations of the Appointments Committee are highly confidential. Its usefulness would be destroyed if reports of its deliberations were communicated to anyone outside the Committee. Members who fail to fulfill the responsibilities of serving on the Appointments Committee or fail to abide by this requirement of confidentiality can be asked by the Dean to withdraw from the Committee.
25. All initial untenured appointments are made by the Dean without the involvement of the Appointments Committee. In generating the pool of candidates for faculty appointments, the Dean relies on a thorough internal and external search conducted by the individual units and interest groups and coordinated by the Senior Associate Dean responsible for faculty recruiting. Sometimes a special group is formed to search for candidates in fields in which the School is not already established. The School is committed to a search process that includes a special effort to identify qualified women and minority candidates and to an appointments process based solely on merit.
26. For other appointments and promotions, an ad-hoc subcommittee will be constituted for the purpose of assessing whether a candidate meets the standards detailed above. Its recommendation is reviewed by the full Appointments Committee, which, in turn, makes a recommendation to the Dean. These ad-hoc subcommittees will normally consist of three members of the Appointments Committee, composed of and chaired by members outside the candidate's unit. The Senior Associate Dean responsible for faculty development will be a non-voting ex-officio member.
27. It is the subcommittees' responsibility to choose the appropriate set of internal and external reviewers to evaluate candidates. When a candidate's work falls outside of a well-defined reference group, the subcommittees will solicit viewpoints of several audiences within and outside HBS to judge the entire body of work. Special care should be exercised in identifying reviewers from outside HBS who can competently evaluate contributions aimed at educators and practitioners. Subcommittees should also solicit letters from reviewers within the School who have first-hand knowledge of the candidate's teaching or contributions to the community. Even though subcommittees may solicit letters from only a chosen set of the School's faculty, any senior faculty member has the right to write a letter on any candidate being reviewed.
28. Individuals holding an appointment at the School who are being considered for promotion will be told in advance by the Senior Associate Dean responsible for faculty development that a subcommittee will evaluate them. All candidates will submit a personal statement and curriculum vitae; a portfolio of their completed work; a calculation of their total years of service as determined by the School's relevant policies; and other information as requested by the Senior Associate Dean. Candidates will be given the opportunity to inform the subcommittee of: (1) work they consider to be particularly significant; (2) the names of people who they think can best evaluate their work; (3) the names of any tenured professors or other senior faculty members who they believe could not impartially evaluate their work; and (4) their interests and plans, including the types of assignments that they think will make the greatest contributions to their development. The subcommittee is not bound by these requests and will develop its own list of internal and external reviewers and materials to circulate for review. Candidates may communicate with the subcommittee through the Dean, Senior Associate Dean responsible for faculty development, or their unit head(s).

29. Extensions of untenured appointments may be made at the discretion of the Dean when justified by circumstances such as illness or other extraordinary situations. In certain cases, extensions may also be granted to give candidates time to complete planned work. In these cases, the Dean will grant extensions only after careful consideration of the candidate's work and plans indicates: (1) that completion of the work-in-progress is likely to provide significant new evidence about the qualities and prospects of the candidate and (2) that there is a reasonable likelihood that the work will lead to success at the next review.
30. The normal process by which the faculty advises the Dean on appointments is as follows:
- (a) In a series of meetings, subcommittees review the materials submitted by the candidate. They solicit input from the candidate's unit to get an overview of the case and develop a list of appropriate reviewers. In the case of a tenured appointment, the subcommittee will also consult an expert from outside the School to develop a better understanding of the candidate's field and to identify reviewers. The final list of reviewers and materials to be sent for review is determined solely by the subcommittees. Based on their evaluation of the letters received and their own reading of the candidate's materials, subcommittees will prepare a report with a recommendation for the full Appointments Committee. The subcommittees' recommendations will be based on a vote of its members. Upon initial review of the case, subcommittees may recommend to the Dean that the candidate needs an extension before his or her case can be reviewed with a reasonable prospect for success, or that the case is simply too weak and that the candidate should be encouraged to withdraw from consideration. The decision on whether to proceed with the review, extend the candidate's appointment, or ask the candidate to withdraw rests with the Dean. If the subcommittee arrives at a negative recommendation after it solicits letters from reviewers and finishes reviewing the case, the candidate will be informed by the Senior Associate Dean, responsible for faculty development or the Dean. At that time, he or she will be given an opportunity to withdraw from the process before his or her case is discussed by the full Appointments Committee. The candidate retains the right to ask that his or her subcommittee's report and recommendation be discussed by the full Appointments Committee before the Dean makes a final decision.
  - (b) At a series of meetings convened for the purpose, the report and recommendations of the subcommittee on each candidate being reviewed will be discussed by the full Appointments Committee. At the completion of each discussion, the Dean will ascertain the view of the Appointments Committee, requesting, if needed, an initial vote by signed and confidential ballot to accept, reject, abstain, or modify the recommendation of the subcommittee. Written comments are also solicited by the Dean from members of the Appointments Committee at this stage. The outcome of that vote is not announced to the Appointments Committee at this time. When the series of reviews on individual candidates is completed, the Dean may request a further review of a subset of the candidates for comparative purposes, and another ballot may be requested. The results of all these votes are also confidential. All evidence, recommendations, views, and votes are taken into account by the Dean in making decisions or recommendations to the President. Upon completion of this process, the Dean holds a final meeting with the Appointments Committee, at which time the Appointments Committee is informed of the decisions and recommendations made by the Dean to the President and the reasons therefore, including the results of advisory votes. It is the exclusive responsibility of the Dean to disclose his or her recommendations to the individual candidates.

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