

LEHIGH UNIVERSITY ACCOUNTING DEPARTMENT

POLICIES FOR FACULTY MANAGEMENT

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The process of faculty recruitment, faculty retention and development, and evaluation for merit pay adjustment and promotion is guided by the *Rules and Procedures of the Faculty of Lehigh University* (R&P), which was originally adopted and periodically changed by the Board of Trustees of Lehigh University on the recommendation of the administration and faculty. This document and other policy documents stemming from it are available to the faculty and staff on the Provost's web page, located at: <http://www.lehigh.edu/%7Einprv/>.

The two most important policy documents, Chapter 2 of R&P on Employment Policies for Academic Employees and the CBE *Statement on Promotion and Tenure Standards*, are reproduced in Appendix 1 of this report.

I. RECRUITMENT AND HIRING

Long-term faculty hiring strategies are developed by the Dean and the Provost in a manner that is consistent with the Strategic Plan for the CBE and the University, taking into account budgetary constraints. Faculty input into the budget planning process comes through participation at the University-level through the Faculty Financial Planning and Operations Committee. At the College level faculty participation in the strategic planning process sets the basis for the long-term faculty hiring strategies.

The implementation of these strategies proceeds in annual recruitment plans developed by the Dean from departmental hiring proposals approved by the Provost. The primary rationale for a faculty hire in a specific department is the strategic importance of filling the position – classroom staffing needs are a secondary consideration.

The recruitment process for an approved tenure-track faculty position starts with the *Request to Advertise* form that specifies (a) the detailed position description and proposed advertisements, (b) the recruitment committee (which includes a member from outside the hiring department), (c) a description of the recruiting strategy to be followed to insure a diverse pool of candidates, and (d) other information about the search process. This form is prepared by the Department Chair, approved by the Dean and put into action after the Provost's approval.

The search committee evaluates the applications for the position and identifies a short list of candidates for an initial interview that usually takes place at a national conference. Three or four of those interviewed are invited for more extensive on-campus interviews that include a research presentation and meeting with faculty and students. After department faculty members then evaluate the finalists, they make a recommendation to the Dean and the Provost to begin discussions with the person deemed best suited to fill the position. The actual job offer is made by the Provost.

Recruiting non-tenure track faculty follows a more streamlined path although the objective remains the same: to identify the best candidate from a diverse pool of applicants. Non-tenure track faculty members in the CBE are either full-time instructors hired on a three-year contract or adjunct instructors hired on a course-by-course basis. Full time non-tenure track faculty members

hold the title of Professor of Practice or Lecturer, but the procedures for faculty management are the same for both.

The department initiates a proposal to hire a full-time instructor subject to approval by the Dean and the Provost. We generally recruit candidates in the local area and the offer is made by the Dean with the approval of the Provost. Departments play the major role in identifying adjunct instructors to meet short-term staffing needs, although the Dean makes the hiring decisions and job offers.

II. ORIENTATION, RETENTION AND DEVELOPMENT

Orientation for new full-time faculty members focuses on the new faculty handbook and a full-day session at the beginning of the academic year. The CBE Associate Dean for Undergraduate Studies organizes an orientation session for new adjunct faculty members. Both orientation programs examine forms and procedures for managing classes, expectations for syllabi and classroom conduct and general employee policies.

Numerous policies and programs help develop the research and teaching productivity of the faculty and address situations that make it difficult at times to retain faculty members, particularly married women. These policies and procedures received considerable attention by the Provost and the Deans over the past two years. For example, the Board of Trustees recently approved a change in R&P that automatically extends the probationary period for tenure by a year on the birth or adoption of a child, up to maximum of two years.

Lehigh University's high priority placed on family and work balance resulted in the award of a \$250,000 grant from the Alfred P. Sloan Foundation for a project on Faculty Career Flexibility. This grant will be used to develop resources, including research grants, for faculty taking a leave to care for a newborn child or a sick family member. It also extends our current program of spousal employment assistance by developing a Higher Education Recruitment Consortium of colleges in our region.

Other policies and programs designed to develop faculty resources and promote the retention of faculty members include:

- Summer support at 20% of the academic year salary is provided for two years for all newly hired tenure-track faculty members in the CBE.
- The CBE Dean and the Martindale Center have collaborated in providing \$75,000 in funding to support faculty research. A research committee evaluates proposals from individual faculty members.
- The University Vice-Provost for Research offers small grants to faculty members and provides support for preparing proposals to obtain external research funding.
- Research support is also available to faculty participating in focused research programs run by the Center for Value Chain Research and the Martindale Center. The new Center for Financial Services Studies supports interdisciplinary research in finance.
- Funding is provided for research-related travel and other expenses by the CBE departments and by the Provost. The CBE Dean has established a revenue-sharing program channeling funds from summer school, distance learning and indirect cost

recovery directly to the departments to augment Departmental funds available for these and other faculty development programs.

- Lehigh's Faculty Development Program aims to foster excellence in teaching and learning by providing faculty with tools, development opportunities, and consultation services.
- Technological support for teaching and research is provided by the four people on the CBE Team from Library and Technology Services and by the staff of the Rauch Center for Business Communication.
- Professional development is enhanced by several professorships that provide significant expense accounts to the holders. Assistant and associate professors qualify for four such professorships, while one is available to non tenure-track faculty members.

III. ANNUAL MERIT REVIEW

III.A. Tenure-Track Faculty

Each faculty member is formally evaluated annually during the process that awards merit-based salary adjustments. The results of this formal evaluation are communicated to each faculty member in a letter from his/her Department Chair that forms the basis for discussions between the faculty member and the chair about steps needed to improve performance.

A committee consisting of the five Department Chairs and the Dean makes the formal evaluation based on information provided by the faculty member on his/her research, teaching and service activities during the three previous calendar years. Faculty provide this information on their annual Faculty Activity and Merit Review forms, a copy of which appears in Appendix 2.

Each member of the evaluation committee independently reviews the activities of every faculty member. The committee then meets to discuss these reviews and rank each faculty member in the college with regard to their performance in each of the three performance areas, research, teaching and service. Each faculty member receives an overall ranking based on the weights associated with these three activities for that faculty member. The overall ranking is used to determine merit salary increases.

III.B. Professors of Practice and Lecturers

Professors of Practice and Lecturers also are evaluated annually as part of the process described above for determining merit salary adjustments. The performance review for these individuals is based upon evidence of teaching effectiveness and service provided on the Faculty Activity and Merit review form. Scholarly activities are not usually a part of the job description for these faculty members.

III.C. Adjunct Professors

Adjunct Professors are hired on a course-by-course basis by the Department Chair. The Associate Deans and Department Chairs evaluate their performance in the classroom on the basis

of feedback from students and peer reviews. The results of this review are communicated to the adjunct instructor informally.

IV. PROMOTION AND TENURE

IV.A. Probationary Period

In addition to the merit pay evaluation, untenured faculty members are evaluated each year by the tenured members of the department. Since faculty members are on a sequence of two-year contracts over a normal six-year probationary period, these annual evaluations are of two types. In the first, third and fifth years, the tenured members of the department meet to discuss the candidate's progress towards tenure, and this information is expressed in a letter by the Department Chair. This letter becomes part of the individual's personnel file and is used to discuss progress toward tenure.

In the second and fourth years a more formal evaluation focused on contract renewal is undertaken. Each of the tenured members of the department writes a letter evaluating the candidate's performance and making a contract renewal recommendation. The departmental summary recommendation plus that of the Dean is forwarded to the Provost who then makes the final determination about whether the individual will be offered another two-year contract.

All untenured faculty members thus receive annual communications regarding their performance relative to the college standards and expectations. In evaluating the individual's performance, the Department faculty use the standards for performance outlined in the *CBE Statement on Promotion and Tenure Standards and Rules and Procedures of the Faculty of Lehigh University*.

IV.B. Promotion and Tenure for Assistant Professors

The P&T process begins with the identification of external reviewers in the candidate's field of research. This process involves the candidate – at least one of the external reviewers must be nominated by the candidate – and the tenured members of the department (or full professors in a promotion case). After approval of the list by the Dean and the Provost, the Department Chair asks individuals agreeing to be external reviewers to write letters evaluating the candidate's research and its impact on the discipline. There must be at least five external reviewers.

The department faculty then evaluates the candidate's dossier with the assistance of the letters from the external reviewers. Each tenured faculty member or full professor writes a letter evaluating the case, and makes a recommendation about whether to grant tenure and/or promotion. The recommendation of the department faculty is summarized in a letter prepared by the Department Chair, who discusses the department's recommendation with the candidate. Candidates have the option of adding a rebuttal or commentary on the department's recommendation to the dossier.

Next the CBE Promotion & Tenure Committee considers the case, conducts its own independent evaluation of the candidate's performance in research, teaching and service, and makes a recommendation about promotion and/or tenure. When the P&T committee agrees with the

recommendation of the department, then we have a “faculty recommendation.” When the two bodies disagree, there is “no faculty recommendation.”

The case then goes to the Dean, who adds a letter summarizing his/her evaluation of the candidate and the previous recommendations. If the Dean considers a recommendation contrary to that of the department and/or the P&T committee, there are requirements for consultation to seek to resolve differences. Before forwarding the case to the Provost, the Dean meets with the candidate to discuss the recommendation of the P&T committee and the Dean. The candidate can again add comments to the file before it goes to the Provost.

The Provost makes the final recommendation in each case to the Board of Trustees. If the Provost considers disagreeing with the decision of the department and/or P&T committee, again there are requirements to meet with the affected group(s) to seek clarification and resolution of differences. When the Provost disagrees with a “faculty recommendation,” the Provost and faculty committee each present their respective positions to the academic affairs committee of the Board. The Board of Trustees makes the final determination in promotion and tenure cases.

In the past five years the CBE considered four assistant professors for promotion to Associate Professor with tenure. Promotion and tenure was awarded in three cases. During the 2006-2007 academic year, one tenure and promotion case is progressing through the promotion and tenure process.

IV.C. Promotion for Associate Professors

In addition to the annual review for merit pay determination, R&P requires a formal triennial review of all Associate Professors with tenure. This includes a review of the candidate’s progress toward promotion to full professor by the tenured, full professors in the department and a letter from the Chair summarizing the department’s evaluation that is placed in the personnel file. The Chair discusses the results of the triennial review with the candidate. Candidates have the opportunity to attach a rebuttal letter.

Tenured Associate Professors must be considered for promotion to Full Professor during the ninth year in rank and every nine years thereafter unless the individual requests not to be considered. The promotion process can be initiated by the department or by the candidate. Once initiated, the review process for promotion to professor for a tenured Associate Professor follows the same steps as the tenure review process discussed above.

In the past five years the CBE has considered one tenured Associate Professor, but he was not awarded promotion to Professor. During the 2006-2007 academic year, three promotion cases involving tenured Associate Professors are being handled by the promotion and tenure process.

IV. D. Reappointment of Professors of Practice and Lecturers

Professors of Practice and Lecturers are generally appointed to three-year terms. During the third contract year they are considered for reappointment by the departmental faculty. After the faculty members meet to assess the performance of the person relative to the job description in his/her

contract, the Department Chair summarizes this evaluation and makes a recommendation for reappointment or termination to the Dean. The results of this evaluation are communicated to the person under evaluation by the Department Chair. The Dean makes a recommendation to the Provost, who then takes action to offer a reappointment with a new three-year contract or give notice of contract termination.

V. COLLEGE SUMMARY

Lehigh University and the CBE have an array of formal procedures and policies designed to recruit the best tenure-track faculty members, support and develop their teaching and research skills, formally evaluate their performance on a regular basis and provide useful feedback to them. Procedures and policies for the recruitment and reappointment of lecturers and professors of practice may be less formal than those for tenure-track faculty, but the evaluation and feedback on performance is an important feature of the management of these key resources.

As mentioned above, new policies to help faculty members to manage family and work responsibilities have been adopted and are under continuous review. Also under review at the University level are policies for assisting underperforming tenured faculty members improve their effectiveness in teaching and research and clarify procedures for removing chronically underperforming tenured professors.

VI. ACCOUNTING DEPARTMENT CONSIDERATIONS

The above sections relate to the College of Business and Economics as a whole, and appear in the CBE Five-Year Maintenance Report. Although Accounting operates within that structure, we believe it is worth explaining some of our implementation “extras.”

- Hiring decisions involve all tenure-track faculty; subsets may screen the resumes that are open for anyone’s review, and we try to get everyone attending the annual AAA meeting involved in at least one candidate interview.
- Departmental funds support faculty development with software and data acquisitions, and travel to research conferences and the AAA annual, regional and section meetings.
- The MSAIA program provides a limited number of graduate Research Assistants to help faculty with research projects.
- The department has two speaker series, one that brings in professionals and another that brings in noted academics.
- Our close relationship with the Big 4 firms facilitates obtaining professional perspectives and technical help from top national partners, web resources and firm-sponsored faculty symposia.
- Department faculty benefit from participating in the Trueblood Seminars, KPMG Audit Committee Institute programs, and the New Faculty Consortia.

We also try to have ongoing discussions on research between junior and senior faculty, and internal reviewing and editing of research papers. With two new assistant professors on board now, and one more contemplated in Fall 2007, such interactions are a high priority.

Appendix 1

Chapter 2 Rules and Procedures on Employment Policies

CBE Statement on Promotion and Tenure Standards

2 Employment policies for academic employees

2.1 Employment policies

Lehigh University does not discriminate against any person based on age, color, disability, gender, gender identity, marital status, national or ethnic origin, race, religion, sexual orientation, or veteran status. For faculty, staff, and student employees, this applies to all employment decisions, including selection, benefits, compensation, tenure, training and educational programs, transfer, promotion/demotion, layoff, return from layoff, and termination.

Additional information is provided in the University's Policy on Equal Opportunity/Affirmative Action/Non-Discrimination (<http://www.lehigh.edu/~policy/university/eo.htm>)

2.2 Faculty appointments, reappointments, promotion, tenure, retirement

2.2.1 Preamble

2.2.1.1 Incorporation by reference

The provisions set forth in section 2.2 of Rules and Procedures are incorporated by reference in contracts for tenured and tenure track faculty and those provisions of section 2.2 that apply are incorporated in all other faculty appointments. Modifications or amendments to this section are effective on the date they are approved by the board of trustees unless an otherwise effective date is indicated.

2.2.1.2 Board approval necessary for contract decisions

Tenure decisions are made by the board of trustees. All actions taken prior to board approval are hereinafter referred to as recommendations.

2.2.1.3 Tenurability of slots

Decisions regarding the tenurability of a slot are made at the time of the initial appointment. If there is a change in the status of an occupied slot (from tenurable to non-tenurable) that change must be communicated at least two years prior to the start of the occupant's terminal year and must be reviewed by the appropriate college promotion and tenure committee and the personnel committee. A person occupying a tenurable slot is in the tenure track.

2.2.1.4 Faculty responsibility

Because the faculty (department members, external evaluators, and college tenure and promotion committee members) are highly and particularly qualified to judge academic competence, they are assigned key responsibility in making recommendations affecting the status of a faculty member. Subsequent recommendations by the Dean and the Provost and decisions by the board of trustees should give due consideration to the faculty recommendations.

2.2.1.5 Criteria to be applied

Excellence in teaching, research and scholarship, and service to the university are the criteria for reappointment, promotion, and tenure. These criteria will be applied by the department, college committee, dean, provost, president, and board of trustees. During the course of a faculty member's career, annual evaluations, as required in section 2.2.4, will indicate that faculty member's progress toward meeting these criteria. In applying these criteria, voting members of the concerned department(s), members of the college tenure and promotion committee, the dean, and the provost are required to conduct a thorough evaluation of a candidate's professional qualifications.

2.2.1.6 Appeals

An appeal alleging arbitrary or capricious action arising from the procedures described in section 2.2 may be made to the faculty personnel committee as provided in section 2.3. An appeal may be initiated by any aggrieved member of the faculty or administration. After investigation, the personnel committee shall make a written recommendation to the president. Should such recommendation not be accepted, the president shall explain his/her decision in writing to the personnel committee; and the committee may then, at its option, appeal to the board of trustees. During an appeal involving an untenured person, no contract, which will result in tenure, may be offered to such person. (See also sections 1.2.2.6 and 2.3.)

2.2.2 Definitions

2.2.2.1 Faculty recommendation

There is a "faculty recommendation" when the departmental recommendation and college tenure and promotion committee's recommendation are in agreement.

2.2.2.2 Voting members

In these 2.2 sections, voting members of a departmental or college faculty include voting members of the university faculty who hold appointments in the respective department or college.

2.2.2.2.1 Reappointment

When reappointment is under consideration, voting members of the department include tenured faculty of the department and administrators who are tenured members of the department. In the case of a department with fewer than three tenured faculty, the department chairperson, after consulting with the dean and the candidate, will involve appropriate tenured faculty from closely-related academic disciplines as voting members on the reappointment decision. In the case of a joint appointment (section 2.2.3.1), voting members from both departments participate.

2.2.2.2.2 Tenure

When tenure is under consideration, voting members of the department include all tenured faculty of the department and administrators who are tenured members of the department. In a department with fewer than three tenured faculty, the department chairperson, after consulting with the academic dean and the candidate, will involve appropriate tenured faculty from closely related academic disciplines as voting members on the promotion decision. In the case of a joint appointment (section 2.2.3.1), tenured faculty from both departments will participate. In a department in which the chairperson is not tenured, the dean, in consultation with the college promotion and tenure committee and the department, appoints a tenured member of the department to assume the chairperson's duties with regard to the tenure review process.

2.2.2.2.3 Promotion to professor

When promotion to full professor is under consideration, voting members of the department include tenured full professors of the department and administrators who are tenured full professors in the department. In a department with fewer than three tenured full professors, the department chairperson, after consulting with the academic dean and the candidate, will involve appropriate tenured full professors from closely related academic disciplines as voting members on the promotion decision. In the case of a joint appointment (section 2.2.3.1), tenured full professors from both departments will participate. In a department in which the chairperson is not a tenured full professor, the dean, after consulting with the college promotion and tenure committee and the department, appoints a tenured full professor in the department to assume the chairperson's duties with regard to the promotion review process.

2.2.2.3 College promotion and tenure committees

The college promotion and tenure committees are constituted by the respective college faculties in consultation with their deans. The committees are standing committees composed of tenured faculty; the number, terms of office, and manner of selection being determined by the college faculty. If the college faculty conclude that faculty representation from outside the college on such a committee is desirable, the committee may be so constituted. If the college faculty concludes that two college review committees (a tenure review committee and a promotion to full professor committee) are desirable, the committees may be so constituted. The appropriate governance sections (section 1.3) describe the operating details of the college promotion and tenure committees.

2.2.2.4 Probationary period

The period between an initial appointment at Lehigh and the granting or denial of tenure is a probationary period. This period shall not exceed six years. All initial contract letters for tenurable appointments shall identify the terminal date of the probationary period. Tenure may be granted at any time prior to this date, following the procedures in section 2.2.6. For extension of the probationary period for parenthood, see 2.2.5.7.

2.2.2.5 Tenurable appointment

An appointment to a faculty position where the occupant is in the tenure track (see section 2.2.1.3).

2.2.2.6 Tenure

An employment contract that is permanent or continuous; service may be terminated for cause, financial exigency, department discontinuance, or disability. (Disability shall mean physical or mental disability such that the faculty member, even with reasonable accommodation, is no longer able to perform the essential duties of the position.) (See section 2.2.11 regarding dismissal for cause).

2.2.3 Appointments

Before filling positions, the department chairperson shall consult with the faculty members of the department about the specific areas of teaching and research in which faculty expertise is to be sought and about the rank at which the appointment should be made. After candidates have been screened and interviewed, voting members shall again be consulted to secure their opinions on the relative qualifications of the candidates. Large departments may substitute a departmental personnel committee for this purpose. The chairperson shall forward the recommendation of the department including dissenting opinions, if any, to the dean of the college.

Initial full-time appointments are at the rank of instructor, assistant professor, associate professor, or professor, as appropriate. The rank of instructor is reserved for persons who are working for a terminal degree or equivalent professional certification in their fields, who have not completed all of the requirements, and who are expected to complete those requirements within two years. Instructors must be promoted to the rank of assistant professor within three years of the date of initial appointment or else not be reappointed for a fourth year. Initial appointment at one of the professor ranks is appropriate for persons holding a terminal degree or equivalent professional certificate. In the absence of this, equivalent scholarship may be recognized. Persons who hold a terminal degree or equivalent professional certification may not be appointed as instructors.

The initial appointment at Lehigh is normally for one year as an instructor, for two years as an assistant professor, for three years as an associate professor or professor, and for one year at a visiting or adjunct rank.

Full-time temporary academic appointments must not exceed one year and must be at one of the ranks: visiting lecturer, visiting assistant professor, visiting associate professor, or visiting professor. Judgment of the appropriate rank may be made by reference to paragraph 2 above, where lecturer is equivalent to instructor. These appointments may be renewed for a second year. In the event of a proposed appointment at a visiting rank for more than two consecutive years, the personnel committee shall review the proposed appointment and make a recommendation to the administration.

Note: Possible justification for three or more consecutive years at the "visiting" status would arise from the need for temporary replacement of a regular faculty member who has become disabled for an extended period.

Part-time appointments must not exceed one year and must be at one of two ranks: adjunct lecturer or adjunct professor, upon recommendation of the departmental faculty and dean and approval of the provost. The adjunct lecturer rank will be assigned to candidates without a terminal degree, usually a doctorate, while adjunct professor will be assigned to those with a terminal degree. However, this differentiation does not preclude an individual without a terminal degree being recommended for the professorial rank. Such part-time appointments may be renewed provided, however, that any renewal carries no implication of commitment by the university beyond the specified term of the appointment.

No faculty appointment is final until the terms of such appointment are documented in writing and all necessary university approvals have been obtained, including, as may be required under the circumstances, the dean, provost, president, and board of trustees.

If the administration should desire to appoint anyone to an administrative position and to grant that person professorial rank either with or without tenure, the rank and tenure offered must first be approved by the appropriate faculty members of the appropriate department(s). Persons may be appointed to non-departmental administrative positions with the equivalent rank of professor, associate professor, or assistant professor, all without tenure.

Tenure may be recommended at the time of initial appointment at the rank of professor and associate professor. See section 2.2.5.3.

2.2.3.1 Faculty Joint Appointment

Initial Appointment

The standard practice for all faculty appointment is that whenever funds for faculty position become available, the dean(s) whose funds will underwrite the position will determine in which department(s) that position is to be located, subject to the provost's approval.

In the case of joint appointments, a position may be located in departments within a single college, or departments in more than one college. The dean(s) involved need(s) to assemble an appropriate group of faculty (drawn from two or more departments, which may include the department chairs, program chairs, and/or center directors) to develop a draft position description. That description must designate departments, programs or

research center to which he or she will be expected to actively contribute. The position description must also include not only the interdisciplinary scholarly expertise required for the position, but also state the instructional expectations and proposed assignments. Each department, program or research center with which the position is to be affiliated must approve the position description.

If the dean(s) and provost approve the position description and the budget, the dean(s) will select a search committee, with the advice of the department chairs, program chairs, and/or center directors responsible for the appointment. The search committee is to consist of faculty with disciplinary expertise related to the proposed hire and any other professionals deemed qualified to review prospective candidates for the position. With the approval of the dean(s), the search committee identifies qualified candidates for review and recommends candidates for employment. The search process shall be conducted in consultation with the faculty in all departments, programs, or research centers involved in the appointment. The search committee will make recommendation to the departments, centers or programs involved. The primary department in which the candidate will hold his or her appointment will be identified. The primary department will recommend a candidate to the dean. As with all appointments to the faculty, the dean(s) will make their recommendation to the Provost for approval.

Mentoring

The chair of the primary department in which the faculty member holds his/her appointment shall be responsible for the mentoring of the faculty member in the area of research, teaching, and service. The chair of the primary department will also seek the guidance of the chair or program head of the secondary unit(s). If there is any disagreements about the expectations for the faculty member that cannot be resolved informally, the respective chair(s) or program head(s) shall meet jointly with the dean(s) to whom they report to resolve any disagreements. A report of this meeting shall be given to the faculty member.

Annual Evaluation for Merit

The chair of the primary department in which the faculty member holds his/her appointment shall be responsible for the annual evaluation of the faculty member. In addition to the annual report of the faculty member, the chair shall solicit a written evaluation of the faculty member's performance from the secondary department chairs, program directors, or research center directors that will be included as part of the annual evaluation. The chair of the primary department shall recommend the merit increase. The respective dean(s) shall review the recommended increase to insure that the merit increase fairly reflects the evaluations submitted. The chair of the primary department shall provide written feedback to the faculty member.

Reappointment

The chair of the primary department shall be responsible for conducting the reappointment of the faculty member using the standard criteria of research, teaching and service. In the area of research only, the chair will assemble with the approval of the dean(s), a special committee of three to five tenured faculty members from the department(s), program(s), or research center(s) with which the faculty member is

affiliated. The special committee shall make written report to all the relevant departments and programs. All tenured faculty in the primary department shall evaluate the faculty member's teaching, and service. The chair shall also solicit faculty letters from the secondary department, programs, and research centers in evaluating performance in these two areas. Secondary departments, programs, and research centers shall make a recommendation that shall be available to the tenured faculty in the primary department. The tenured faculty of the primary department shall consider all the reports and make a recommendation on reappointment to the dean.

Tenure and Promotion

The procedures outlined in the reappointment section above shall be followed in making a recommendation on tenure or promotion. The recommendation on tenure or promotion must come from the primary department. If the faculty member's joint appointment is within one college, that college's promotion and tenure committee shall make the recommendation to the respective dean and provost. If the appointment is in two or more colleges, the promotion and tenure committees of both colleges will meet jointly to make a single recommendation to the respective dean(s) who will also make a single recommendation to the Provost.

Conversion to or from a Joint Appointment

A decision to convert an appointment in one department into a joint appointment in another department, program, or research center shall require an agreement between the faculty member, the departments, centers or programs involved, and appropriate dean(s). The decision shall become final upon the approval of the provost. This procedure shall be followed to convert a joint appointment into an appointment in a single department.

Once either change is approved, any personnel decisions concerning merit, reappointment, tenure and promotion shall follow the specific procedures outlined for appointments in single departments or for joint appointments.

2.2.4 Faculty review

2.2.4.1 Untenured faculty

During a reappointment review, except when tenure is to be considered, the procedures for review are as specified in section 2.2.7. In other years when reappointment or tenure is not considered, an abbreviated review process as described below shall be followed. It may be coordinated with salary review.

The department chairperson meets individually with each untenured faculty member in the fall semester and advises him/her that there will be a performance review by the tenured faculty.

Untenured faculty members are invited to supply information and documentation to be used in this review as part of their performance review files. The chairperson may also

supply material and shares this information with the untenured faculty member. The untenured faculty member is advised of his/her right to include written comments regarding such materials in the performance review file.

The department chairperson presents to the tenured faculty the performance review files of the untenured members of the department. The department chairperson then meets with the tenured voting members of the department to discuss the performance and status of all untenured faculty.

Following the department meeting, the chairperson summarizes in writing the department's evaluation of each untenured member. The chairperson then meets individually with each untenured faculty member, discusses the faculty's review of his/her performance, and shares a copy of the written summary with him/her. The untenured faculty member is notified that he/she has the right to respond in writing to the tenured faculty's evaluation. Copies of the departmental evaluation and any written response by the untenured faculty member are placed in the untenured faculty member's file in the department. Copies of both documents are sent to the dean, who reviews the substance and process of the evaluation process for consistency with the criteria, stated in section 2.2.1.5.

2.2.4.2 Tenured associate professors

The procedures described above are followed for all tenured associate professors every three years or upon request, as regards their eligibility for promotion. Only tenured full professors who are voting members participate in this process. In small departments and for joint appointments, the procedures for including personnel from other departments, described in section 2.2.2.2.3, are followed. (See section 2.2.8.2 regarding the frequency of the promotion review process for tenured associate professors.)

2.2.5 Tenure - general provisions

2.2.5.1 Promotions that include tenure

A member of the faculty shall not be promoted from assistant to associate professor or from associate to full professor unless he/she has been reviewed for and granted tenure.

2.2.5.2 Appointment to an administrative office

A tenured faculty member does not lose tenure as a result of an appointment to an administrative office.

2.2.5.3 Granting tenure on initial appointment

In exceptional circumstances tenure may be recommended at the time of initial appointment at the rank of professor or associate professor, although the granting of tenure shall not be considered by the university as a condition for appointment. All of the provisions described in section 2.2.6 apply, including the role of the college promotion and tenure committee(s). The role of external evaluators may be especially important, since an external candidate is apt to be less known to the university than an internal candidate. Thus the possible need to compress the process should not truncate it. In particular, the list of external evaluators for tenure should be chosen with special care and must include individuals in addition to those suggested by the candidate.

A faculty member who does not receive tenure at his/her initial appointment must complete at least one year of service before his/her department can consider recommending tenure.

2.2.5.4 Timely Tenure Review

It is the responsibility of the provost to notify the deans and relevant department chairs by the start of the spring semester of all tenure reviews scheduled for the next academic year. It is the responsibility of the dean and department chair to insure that a timely review is carried out according to the procedures in this section. In the unusual and extraordinary event that the review cannot be carried out by the end of the probationary period, the probationary period will be extended long enough to accommodate the tenure review process. Such an extension will not be grounds for claiming tenure by default.

2.2.5.5 Time included in probationary period

2.2.5.5.1 Years spent as a visiting professor

Years of full-time service at any visiting professorial rank at Lehigh are not included in the probationary period. (See section 2.2.3) This revision is made retroactive for any current (as of 8 December 2003) regular tenure-track faculty who had previously been visiting at Lehigh.

2.2.5.5.2 Time spent on leave of absence

Time spent on leave of absence for advanced study, research, teaching, or other scholarly pursuits is included in the probationary period. The letter granting such a leave must state that the time on leave is included in the probationary period.

2.2.5.6 Time not included in probationary period

Time accrued in the following ways does not count as part of the probationary period.

2.2.5.6.1 Rank of instructor

Semesters of service at the rank of instructor.

2.2.5.6.2 Certain leaves of absence

Semesters on leave of absence granted due to disability, family and medical leave, or personal reasons. The letter granting the leave must state that the time on leave is not included within the probationary period. See 2.2.5.7 on extension of probationary period for parenthood.

2.2.5.6.3 Service at another institution

Semesters of service as a member of the faculty at another institution, prior to one's appointment at Lehigh.

2.2.5.6.4 Part-time service

Semesters of part-time service as an adjunct.

2.2.5.6.5 Administrative service

Semesters of service in an administrative position that removes the untenured faculty member from the normal faculty functions of teaching and research. If such time exceeds two years, the faculty member automatically is removed from the tenure track and may reenter the tenure track only after an initial appointment process has been conducted in his/her original department or another department; upon reentry, prior time in the tenure track is counted in the probationary period.

2.2.5.7 Extension of probationary period for parenthood

An untenured faculty member (assistant, associate, or full professor) who becomes the parent of a child by birth or adoption will automatically receive a one-year extension of his/her appointment by the provost. The faculty member's service will be extended by one year for each child, by birth or adoption, with a limit of two one-year extensions of the probationary period. This provision will be retroactive to include untenured faculty who have become the parent of a child or children since starting their tenure-track position at Lehigh. Each extension will stop the tenure clock; tenure candidates who receive extensions will be evaluated with the same academic standards as candidates who do not receive extensions. See 2.2.2.4 for the provision that tenure may be granted at to any time prior to the terminal date of a faculty member's probationary period.

Notification of such extension must be made by the faculty member's department in writing to the provost as soon as possible after the childbirth or adoption. Notification must be received by the provost prior to the date on which the faculty member's tenure

package is required to be sent to external reviewers (i.e., on or about August 1 for Fall Cycle tenure review; January 2 for Spring Cycle tenure review).

In response, the provost will send a letter informing the faculty member of his or her revised reappointment and tenure review schedule. The faculty member will confirm acceptance of the new dates or decline to have his/her probationary period extended. During tenure review, the department chair will inform internal and external evaluators that the candidate must be evaluated with the same academic standards as candidates who have received no extension.

2.2.6 Tenure review process

2.2.6.1 Initiating the tenure review process

The formal tenure review process commences in any of the following circumstances:

- a. The candidate begins the final year of his/her probationary period as per section 2.2.2.4.
- b. The departmental tenured faculty recommends beginning the formal tenure evaluation and the candidate concurs.
- c. The candidate requests the formal tenure evaluation.

In cases b and c, the department shall notify the dean at the initiation of the process.

2.2.6.2 External evaluation

The department chairperson, in consultation with the tenured members of the department, the dean, and the candidate for tenure, has initial responsibility for preparing a list of external evaluators. External evaluators must be professionals and scholars from outside the university who are competent to judge the professional qualifications, particularly the research and scholarship, of the candidate.

The chairperson then advises the candidate of the people being considered as external evaluators. The candidate may nominate his/her own external evaluators. The dean and provost, in consultation with the chairperson, approve the final selection of five or more external evaluators. At least one of the external evaluators must be one of the candidate's nominees. No more than two of the external evaluators can be nominated by the candidate. The candidate may file written objections to the selection of evaluators on the basis of his or her belief that they would not or could not provide qualified, fair, and impartial evaluations. Disagreements concerning the final selection of external evaluators will be resolved by the provost. Should any additional letters be solicited, the above procedure must be followed.

The candidate and the chairperson then assemble the materials to be sent to the external evaluators. The chairperson solicits the evaluations of the outside evaluators using a letter format and text approved by the provost. Informal or other communications with external evaluators by other means with the intention of predetermining or influencing the content of reviews are entirely inappropriate.

2.2.6.3 Assembly of materials for faculty review

The chairperson then meets with the tenure candidate and makes available the file to be used by the tenured faculty (hereinafter the tenure-review file), excluding the external evaluators' letters. The candidate is not allowed to see the external evaluators' letters. The candidate is permitted to add to the file or comment in writing on its contents. The candidate's additional materials and commentary will be included in the file.

2.2.6.4 Departmental evaluation

The department chairperson then meets with the tenured faculty, having made available or provided each of them with a copy of the tenure-review file including the letters of the external evaluators. The tenured faculty discuss the candidate's qualifications, applying the criteria, as stated in section 2.2.1.5 and as applied in the annual departmental evaluations of the untenured faculty member. Following this meeting, each tenured voting member (including the chairperson, if tenured) submits a written evaluation of the candidate's qualifications based on the criteria. These letters of evaluation must be substantive letters that appraise the candidate's record in teaching, research and scholarship, and service and that address the questions of whether or not the candidate merits tenure and the reasons for the recommendation.

2.2.6.5 Departmental recommendation

After receiving the faculty letters, the chairperson writes the department's recommendation. This recommendation summarizes the tenured voting members' recommendations, analyzes the proposed action in terms of departmental goals and needs, and discusses in detail each of the criteria as applied to the candidate. The chairperson shares a copy of this document with the tenured faculty. A tenured faculty member can object to this document, and if not satisfied, submit in writing his/her objections; these objections are included in the candidate's tenure review file.

2.2.6.6 Pre-submission consultation with the candidate

The department chairperson then meets with the tenure candidate and informs him/her orally of the department's recommendation. The department's evaluation regarding each of the criteria is discussed. The candidate is advised of the strength of the department's recommendation (e.g., unanimous, strong majority, narrow majority). The candidate may request the substance of this discussion in writing. In providing this information, the chairperson must not disclose the identities of individual evaluators. The candidate

is advised that he/she may submit written comments on the department's evaluation and that such comments will be included in the tenure review file. The candidate also is advised that he/she may withdraw from consideration and terminate the tenure review process at this stage.

2.2.6.7 Submission to the dean

The department chairperson then forwards to the dean the candidate's complete tenure-review file, including the letters from the external evaluators and the letters written by the faculty.

2.2.6.8 Submission to the college tenure committee

The dean of the college monitors the tenure review process, making certain that individuals for whom tenure decisions are due are considered and that tenure review files are complete. The dean forwards, upon receipt from the department, a copy of the complete tenure review file to the college tenure committee.

2.2.6.9 College tenure committee review

The college tenure committee is responsible for recommending for or against promotion and/or tenure of any member of the college.

The college tenure committee is empowered to solicit from the candidate, the department, the chairperson, the dean, and the provost any materials it deems relevant. The committee's recommendation on the merits of each case is to be based solely on the criteria as stipulated in section 2.2.1.5, i.e., excellence in teaching, research and scholarship, and service to the university. The committee's recommendation, the departmental recommendation, and the tenure review file are forwarded to the dean.

The college committee is to make its own substantive and independent recommendation on whether or not a candidate merits tenure or promotion. At least five members of each committee must vote without abstention on any tenure or promotion case. No faculty member may vote more than once on any tenure case (i.e., if a faculty member votes as a department member, he/she shall not vote on any college or university committee reviewing the same case.) All votes, including abstentions, shall be recorded. The committee will write a letter that summarizes the vote and the majority recommendation.

When the college tenure committee agrees with the departmental recommendation, their recommendations together constitute a "faculty recommendation." If the committee's recommendation is contrary to that of the department, the chairperson must be notified in writing. The department may submit a rebuttal. The tenure committee must include this departmental rebuttal with its recommendation. In this instance, there is not a "faculty recommendation," as defined in section 2.2.2.1.

In the absence of a unanimous committee recommendation, the committee chair designates a member representing the minority opinion to write a letter to the dean expressing the reasons for the vote of the minority.

2.2.6.10 Dean's recommendation

After receiving the tenure review file, the department's recommendation and the tenure committee's recommendation, the dean prepares his/her own recommendation. In the event that the dean is considering a recommendation contrary to the recommendation of the department and/or the college tenure committee, the dean will meet with the college tenure committee and the voting members of the department who participated in the evaluation of the candidate. The purpose of the meeting will be to discuss issues of potential non-concurrence and to seek to resolve differences if possible.

2.2.6.11 Pre-submission dean consultation with the candidate

Prior to forwarding the tenure review file to the provost, the dean then meets with the tenure candidate and informs him/her orally of the recommendation of the college tenure committee. The tenure committee's evaluation regarding each of the criteria is discussed. The candidate is advised of the strength of the committee's recommendation (e.g., unanimous, strong majority, narrow majority). The candidate may request the substance of this discussion in writing. In providing this information, the dean must not disclose the identities of individual evaluators. At this point the dean also informs the candidate of his/her own recommendation. The candidate is advised that he/she may submit written comments, following the tenure review timetable established by the provost, on the tenure committee's recommendation and/or the dean's recommendation and that such comments will be included in the tenure review file. The candidate also is advised that he/she may withdraw from consideration and terminate the tenure review process at this stage.

2.2.6.12 Submission to the provost

The dean then forwards to the provost the candidate's complete tenure-review file, which now includes the recommendations of the college tenure committee and the dean as well as any additional written comments provided by the candidate.

2.2.6.13 Administration's recommendation

In the absence of a "faculty recommendation" (that is, when the departmental recommendation and the tenure committee's recommendation do not agree), the provost will review carefully both the departmental recommendation and the tenure committee's recommendation and evaluate the candidate's qualifications in terms of the criteria (as stated in section 2.2.1.5 and as applied in the annual evaluations) before making his/her final recommendation. In the event that the provost is considering a recommendation contrary to the recommendation of the department or the college tenure committee, the provost will meet with the college tenure committee, the voting members of the department who participated in the evaluation of the candidate, and the dean and provide reasons for non-concurrence.

In the event that the provost is considering a recommendation contrary to a "faculty recommendation" as described in section 2.2.2.1, the following procedures will be

observed: The provost will call a meeting with the dean, the college tenure committee, and the voting members of the department who participated in the evaluation of the candidate. The provost will provide reasons for non-concurrence. All those involved will seek to resolve their differences. In the event that the issue cannot be resolved, the college tenure committee and the department will select three advocates for the "faculty recommendation". This group and the provost will present their respective positions to the academic affairs committee of the board of trustees, first in writing and then in person. The academic affairs committee will then render an opinion on the matter for the consideration of the president and the board of trustees.

2.2.7 Reappointment

If reappointment involves a tenure decision, the procedures specified in sections 2.2.5 and 2.2.6 must be followed. If tenure is not involved, the following procedures apply. The terms of reappointment are the same as those defined under initial appointments (section 2.2.3).

2.2.7.1 Faculty consultation

During the fall semester of each year, the department chairperson calls together the tenured voting members of the department as defined in section 2.2.2.2 to discuss the advisability of the reappointment of each non-tenured member of the department who is due for reappointment. The chairperson solicits the written opinions of each tenured member; such written opinions address themselves to the criteria specified in section 2.2.1.5 and applied in the annual departmental evaluations of the untenured faculty member. The department chairperson then summarizes the faculty opinion, including his or her own opinion as a member of the department.

2.2.7.2 Consultation with the candidate

The department chairperson then provides each untenured faculty member whose reappointment is under consideration with a written summary of the department's evaluation. In providing this summary, the chairperson must not disclose the identities of the evaluators. The untenured faculty member is notified that he or she has the right to write a response to the departmental evaluation; if the untenured faculty member chooses to write such a response, it too is forwarded to the dean along with the chairperson's report of the department's recommendation and the written opinions of each tenured member of the department.

2.2.7.3 Review by the dean

The dean reviews the material forwarded by the department and writes his or her evaluation of the untenured faculty member's suitability for reappointment. The dean's evaluation and the departmental materials are then sent to the provost.

2.2.7.4 In matters of disagreement

If either the dean's or the provost's recommendation(s) differ(s) from the departmental recommendation, the dean and provost must meet with the tenured members of the department and attempt to resolve the disagreement. In so doing, they must provide reasons for disagreeing with the department's recommendation.

2.2.7.5 Timely notice of termination

The untenured faculty member due for reappointment receives formal notification of the university decision in the spring semester, following the decision of the board of trustees. Prior to that formal notification, the dean or the department chairperson may informally notify the untenured faculty member of the recommendation to be made to the board of trustees.

A faculty member whose reappointment is denied must be given written notice, including the reasons for denial of reappointment, by the provost according to the following schedule.

2.2.7.5.1 Initial one-year appointment

A faculty member in an initial one-year appointment must receive notice at least six months prior to termination of the appointment.

2.2.7.5.2. Initial two-year appointment

A faculty member in an initial two-year appointment or in a second one-year appointment must receive notice at least nine months prior to the termination of the appointment.

2.2.7.5.3 More than two years

A faculty member who will have been at Lehigh more than two years by the end of the current appointment must receive notice at least one year prior to termination of the appointment.

2.2.7.5.4 All other cases

Three months is the minimum notice under circumstances not otherwise specified.

2.2.7.5.5 Failure to provide timely notice

Failure to provide notice, as specified above, automatically entitles the faculty member to an additional terminal year if the maximum probationary period has not been met. In the case of a tenure track faculty member, if notice to terminate has not been given by the end of the maximum probationary period, the faculty member must be reviewed for tenure and, if tenure is not granted, must receive notice at least one year prior to termination of the appointment.

2.2.8 Promotion - general provisions

2.2.8.1 Three years of service as an instructor

A member of the faculty who serves as an instructor must meet all applicable requirements for, and must be promoted to assistant professor within three years of initial appointment. As stated in section 2.2.3, an instructor not promoted to assistant professor within three years of the date of initial appointment must not be reappointed for a fourth year. Therefore, if an instructor has not received notice of promotion to assistant professor prior to the end of his/her second year as instructor, he/she shall regard the absence of such promotion notice as one year advance notice of the termination of his/her appointment at the end of the third year.

2.2.8.2 Nine years of service as an associate professor

An associate professor will be considered for promotion no later than his/her ninth year in rank. Thereafter, the individual will be considered for promotion in any year in which he/she requests a review, but not less often than every nine years. The provost will promptly give written reasons to an associate professor that is not promoted as the result of such a review. This rule does not apply to associate professors nine or more years in rank who are appointed to administrative positions that remove them from the normal functions of teaching and research. Such persons must remain in rank until they return to normal faculty functions within their departments and can be appropriately evaluated in their faculty duties.

2.2.9 Promotion review process

2.2.9.1 Applicability of the process described

The procedures described in this section must be followed for all promotions except for promotions involving tenure and for promotions from instructor to assistant professor. When a promotion involves tenure, the procedures specified in sections 2.2.5 and 2.2.6 must be followed. In cases of promotion from instructor to assistant professor, no formal review is required except by the department chairperson to ensure that the requirements of section 2.2.3 have been met. Because the rank of instructor is reserved for persons who

are working toward a terminal degree or equivalent professional certification in their fields and who are expected to complete those requirements within two years, an instructor will be promoted to assistant professor at the beginning of the semester following his/her receipt of the appropriate terminal degree or professional certification. Promotion from instructor to assistant professor is subject to the terms of the current appointment or reappointment contract and subject to the three-year limitation on instructorships.

2.2.9.2 Initiating the promotion review process

When a promotion is under consideration, the department chairperson calls together all tenured voting members above the rank of the candidate (including eligible administrators who are members of the department) to discuss the proposed promotion. If the department chairperson is not tenured or does not hold rank above that of the candidate, the dean, in consultation with the department and the college promotion and tenure committee, appoints another member of the department (with tenure and the appropriate rank) to assume the chairperson's duties with regard to the promotion review process. In a department with fewer than three tenured faculty above the rank of the candidate, the department chairperson consults with the academic dean and chooses appropriate tenured faculty from closely related academic disciplines to be involved as voting members in the review process. In such a case, the chairperson informs the candidate of the selection of extra-departmental faculty; the candidate is given the opportunity to object to the selection on the grounds that the selected extra-departmental evaluators could not or would not provide qualified, fair, and impartial evaluations; if the candidate is not satisfied with the final selection, he/she may add a statement explaining these objections to his/her promotion review file (described in the following paragraph). In the case of joint appointments (section 2.2.3.1), voting faculty of both departments participate.

2.2.9.3 External evaluation

The department chairperson, in consultation with the full professors of the department, the dean, and the candidate for promotion, has initial responsibility for preparing a list of external evaluators. External evaluators must be professionals and scholars from outside the university who are competent to judge the professional qualifications, particularly the research and scholarship, of the candidate.

The chairperson then advises the candidate of the people being considered as external evaluators. The candidate may nominate his/her own external evaluators. The dean and provost, in consultation with the chairperson, approves the final selection of five or more external evaluators. At least one of the external evaluators must be one of the candidate's nominees. No more than two of the external evaluators can be nominated by the candidate. The candidate may file written objections to the selection of evaluators on the basis of his or her belief that they would not or could not provide qualified, fair, and impartial evaluations. Disagreements concerning the final selection of external evaluators will be resolved by the provost. Should any additional letters be solicited, the above procedure must be followed.

The candidate and the chairperson then assemble the materials to be sent to the external evaluators. The chairperson solicits the evaluations of the outside evaluators using a letter format and text approved by the provost. Informal or other communications with external evaluators by other means with the intention of predetermining or influencing the content of reviews are entirely inappropriate.

The requirement of external evaluators for promotion to full professor may be waived in exceptional circumstances upon request of the department with approval by the provost.

2.2.9.4 Departmental evaluation

The chairperson requests the candidate to assemble a promotion review file, consisting of information and documents (or other material) to be used in the review. The chairperson shares this file, including the letters of the external evaluators, with the faculty involved in the review process. The candidate is not allowed to see the external evaluators' letters. Each participating faculty member (including the chairperson if tenured and holding a rank above the candidate) writes an evaluation of the candidate based on the criteria specified in section 2.2.1.5 and applied in the triennial evaluations of the faculty member. These letters of evaluation must be substantive letters that appraise the candidate's record in teaching, research and scholarship, and service and that address the question of whether or not the candidate merits promotion and the reasons for the recommendation.

2.2.9.5 Departmental recommendation

The department chairperson writes the departmental recommendation. This recommendation summarizes the participating faculty members' recommendations, analyzes the proposed action in terms of departmental goals and needs, and addresses in detail the criteria as applied to the candidate. The chairperson shares this document with each faculty member participating in the evaluation. Objections to the document can be made to the chairperson, and, if the objecting faculty member is not satisfied, written objections are to be included in the promotion review file.

2.2.9.6 Pre-submission consultation with the candidate

The department chairperson then meets with the candidate and informs him/her orally of the department's recommendation. The department's evaluation regarding each of the criteria is discussed with the candidate. The candidate is advised of the strength of the department's recommendation (e.g. unanimous, strong majority, narrow majority). The candidate may request the substance of this discussion in writing; in providing this information, the chairperson must not disclose the identities of the individual evaluators. The candidate is advised that he/she may submit written comments on the departmental evaluation and that such comments will be included in the promotion review file. The candidate also is advised that he/she may withdraw from consideration and terminate the promotion review process at this stage.

2.2.9.7 Submission to the dean

The department chairperson then forwards to the dean the complete promotion review file, including the individual letters written by the faculty and those of the external evaluators.

2.2.9.8 Submission to the college promotion committee

The dean of the college monitors the promotion process, making certain that individuals for whom promotion decisions are due are considered and that their promotion review files are complete. The dean forwards, upon receipt from the department, a copy of the complete promotion review file to the college promotion committee.

2.2.9.9 College promotion committee review

The college promotion committee is responsible for recommending for or against promotion of any member of the college. The college committee is to make its own substantive and independent recommendation on whether or not a candidate merits tenure or promotion. The college promotion committee is empowered to solicit from the candidate, the department, the chairperson, the dean, and the provost any materials it deems relevant. The committee's recommendation on the merits of each case is to be based solely on the criteria as stipulated in section 2.2.1.5 and as applied in the triennial evaluations of the candidate. The committee's recommendation, the departmental recommendation, and the promotion review file are forwarded to the dean.

At least 5 members of each committee must vote without abstention on any promotion case. No faculty member may vote more than once on any promotion case (*i.e.*, if a faculty member votes as a department member, he/she shall not vote on any college or university committee reviewing the same case). All votes, including abstentions, shall be recorded. The committee will write a letter that summarizes the vote and the majority recommendation.

2.2.9.10 Dean's recommendation

After receiving the promotion review file, the department's recommendation and the promotion committee's recommendation, the dean prepares his/her own recommendation. In the event that the dean is considering a recommendation contrary to the recommendation of the department and/or the college promotion committee, the dean will meet with the college promotion committee and the voting members of the department who participated in the evaluation of the candidate. The purpose of the meeting will be to discuss issues of potential non-concurrence and to seek to resolve differences if possible.

2.2.9.11 Pre-submission dean consultation with the candidate

Prior to forwarding the promotion review file to the provost, the dean then meets with the promotion candidate and informs him/her orally of the recommendation of the

college promotion committee. The promotion committee's evaluation regarding each of the criteria is discussed. The candidate is advised of the strength of the committee's recommendation (e.g., unanimous, strong majority, narrow majority). The candidate may request the substance of this discussion in writing. In providing this information, the dean must not disclose the identities of individual evaluators. At this point the dean also informs the candidate of his/her own recommendation. The candidate is advised that he/she may submit written comments, following the promotion timetable established by the provost, on the promotion committee's evaluation and/or the dean's recommendation and that such comments will be included in the promotion review file. The candidate also is advised that he/she may withdraw from consideration and terminate the promotion review process at this stage.

2.2.9.12 Submission to the provost

The dean then forwards to the provost the candidate's complete promotion review file, which now includes the recommendations of the college promotion committee and the dean as well as any additional written comments provided by the candidate.

2.2.9.13 Administration's recommendation

In the absence of a "faculty recommendation" (that is, when the departmental recommendation and the promotion committee's recommendation do not agree), the provost will review carefully both the departmental recommendation and the promotion committee's recommendation and evaluate the candidate's qualifications in terms of the criteria (as stated in section 2.2.1.5 and as applied in the triennial evaluations) before making his/her final recommendation. In the event that the provost is considering a recommendation contrary to the recommendation of the department or the college promotion committee, the provost will meet with the college promotion committee, the voting members of the department who participated in the evaluation of the candidate, and the dean and provide reasons for non-concurrence.

In the event that the provost is considering a recommendation contrary to a "faculty recommendation" as described in section 2.2.2.1., the following procedures will be observed: The provost will call a meeting with the dean, the college promotion committee, and the voting members of the department who participated in the evaluation of the candidate. The provost will provide reasons for non-concurrence. All those involved will seek to resolve their differences. In the event that the issue cannot be resolved, the college promotion committee and the department will select three advocates for the "faculty recommendation". This group and the provost will present their respective positions to the academic affairs committee of the board of trustees, first in writing and then in person. The academic affairs committee will then render an opinion on the matter for the consideration of the president and the board of trustees.

2.2.10 Faculty chairs

1. Appointments to faculty chairs are made by the board of trustees upon the recommendation of the president.
2.
 - a. A professor holding a faculty chair shall normally be called either university professor or (name) professor of (field name). If a donor insists or the terms of the bequest require, the university trustees may accept the chair with a modified title.
 - b. A faculty member may be appointed to a faculty chair in recognition of exceptional achievement in research and scholarship or teaching and education.
 - c. For such appointments, the provost shall invite nominations by faculty members. Before making a recommendation to the president about a nominee, the provost shall appoint and consult with an ad hoc committee to review the suitability of all nominees. This committee shall consist of at least three full professors (at least one of whom shall be a holder of a faculty chair), the academic dean from the appropriate college, and the appropriate department chairperson (unless a nominee). In instances where a nominee is being considered primarily on the strength of achievements in research and scholarship, the advice and perspective of recognized scholars external to the university shall be sought.
3. A faculty member or administrator returning to the professorate may be appointed university service professor in recognition of exceptional service to the university. Such an appointment shall be at the discretion of the board upon recommendation of the president.
4. Adjunct faculty, retired faculty, and faculty primarily involved in administration (at the rank of dean or above) shall not be considered for a faculty chair. A holder of a faculty chair, which is not a university professorship, who is subsequently appointed to a predominantly administrative position shall relinquish that chair and be designated university professor. Should such an individual return to the regular faculty, he/she shall retain the university professorship unless subsequently appointed to the other type of faculty chair.
5. Other considerations being equal, an appointment should be made to an older rather than to a young faculty member, and to one with longer service at the university rather than to one with fewer years of service.
6. A faculty member who retires in any such professorship shall become emeritus in that professorship.

2.2.11 Dismissal for cause

The personnel committee and the board of trustees (or a committee of the board of trustees) shall consider any move to dismiss a tenured faculty member for cause. When facts are in dispute, the faculty member shall be given charges in writing before any hearing and shall be invited to be heard by all bodies that pass judgment on the case. The faculty member shall be invited to choose and be accompanied by counsel. There shall be a full stenographic record of all hearings available to the parties concerned.

2.2.11.1 Policy on Harassment

The policy on harassment is specified in Appendix A.

2.2.12 Retirement

(Effective 1 January 1994) Tenured faculty may be retired against their wishes only for cause, in accordance with the procedure under section 2.2.11. In the event that the dean and the provost seek the retirement of a faculty member against his or her wishes, written notification including a clear statement of the cause shall be provided at least six months before the proposed retirement date. The ultimate decision shall be rendered by the board of trustees.

The university may offer up to five-year appointments for part-time work to present or previously tenured faculty who are considering retirement or who are retired. Retirement requires relinquishment of tenure, and there is no guarantee of a subsequent reappointment. Abrogation of these appointments shall follow the same procedure as for non-retired faculty.

A tenured faculty member who has served ten years or more at Lehigh at the time of his retirement will be retired at the rank of professor emeritus.

2.3 Appeals concerning alleged arbitrary or capricious action

The personnel committee shall hear appeals concerning alleged arbitrary or capricious action on the part of the administration or a department chairperson that allegedly affects the rights, privileges, continued employment, or academic freedom of a faculty member.

2.4 Leave of absence

1. The university recognizes three types of leave that are available to faculty members of professorial rank: (a) academic leave for professional development activities; (b) unpaid leave for temporary service in other academic institutions, governmental organizations, business entities, fellowship programs, or for personal reasons; and (c) medical leave. Requests for leave are made by letter to the provost through the department chairperson and academic dean. The following paragraphs pertain to the first type of leave - academic leave.

2. Academic leave of absence from the university is a valuable means of providing faculty with an opportunity for study, research, travel, writing, professional reeducation, and other professional development activities - in short, for self-improvement that will be beneficial to the university.

3. A faculty member who desires a leave should request the leave with reasons in a letter to the department chairperson. The chairperson is expected to seek the advice of departmental faculty members in considering the request. Other administrative

personnel normally involved in the decision-making process include (center director, if relevant), the academic dean, (vice provost for research, if relevant), provost, president, and the board of trustees.

4. Each application will be evaluated for potential improvement that will be beneficial to the university, as stated in paragraph 2; appropriateness of timing with respect to other leaves taken by the individual and with respect to leaves being requested by other faculty in the same department; and special needs of the department, college, and university. An academic leave will be granted only where satisfactory arrangements are made to carry on the essential work of the department. Sincere efforts will be made at each level involved in the decision-making process to work out such arrangements.

5. An academic leave for any full-time faculty member, whether supported fully on the teaching budget or partially on the teaching budget and partially on research, is normally for one semester at full salary, or one academic year at half salary, with fringe benefits being fully paid in either case. Adjustments in salary may be made depending on the amount of outside support available for the leave - the intent being that total financial support during the leave should be on a "no loss/no gain" basis to the faculty member. Under exceptional circumstances an academic leave may be extended for an additional year, usually without salary.

6. Each faculty member returning from academic leave will furnish, through the chairperson and academic dean, to the provost a written report of accomplishments while on leave.

2.5 Administration

Each professor shall give his opinion and advice on any subject of university concern when requested by the president of the university.

In any university exercises precedence in rank shall be determined by the grade held and, within the several grades, by seniority of appointment.

The university recognizes the value to both the individual and the university when a faculty member engages in activities of a professional nature for added compensation. These activities may include but are not limited to consulting, short courses, liaison activity, and corporate board activity. The university approves and encourages that participation when it is complementary and non-competitive to the duties and goals of both parties, and contributes to the professional growth of the individual.

The duties of a full-time faculty member of Lehigh University include teaching, research and scholarship, and service to the university community. In order to fulfill these responsibilities to students, colleagues, and the university, activities for additional compensation should not exceed an average of one day per week.

All faculty activities of a professional nature for which compensation is received shall be reported annually to the chairperson and, when appropriate, to the center director. Faculty having administrative responsibilities shall also report to their immediate superior.

If the activity involves private practice or participation as a principal or an officer in any partnership or company, prior approval shall be obtained from the president.

No member of the faculty or other employee of the university shall lend any apparatus or any other property of the university without permission of the president of the university or of his designated representative, nor may Lehigh University property be scrapped, sold, exchanged, or moved from one department to another without the consent of the president or his designated representative.

The board of trustees deems the physical and athletic exercises of the student body to be as vital elements in the training of students as any other educational requirements and as far as possible the studies and roster shall be so limited and adjusted that the students may be dismissed from scholastic work not later than 4 P.M. daily.

No Lehigh University teacher shall teach in more than three consecutive summer sessions at Lehigh University except by special written permission of the vice president and provost. This regulation does not apply to courses required for graduation but offered only in summer sessions. (See also section 3.15, last paragraph).

No member of the teaching staff may tutor for pay a student of Lehigh University.

All members of the university faculty are required to report for active duty not later than registration day of the fall semester and earlier if university or departmental duties (e.g., freshman orientation) indicate earlier attendance.

All members of the faculty with rank of assistant professor or higher are required to enter the academic procession on university day, baccalaureate Sunday, and other formal celebrations, unless excused by the president. Academic costume is required.

No member of the teaching force, under the rank of professor, shall in any way use the university's name in making an expert report unless such report is first submitted to and approved by the chairman of his department.

2.6 Vacations for Instructional Staff

Any full-time member of the teaching staff or full-time graduate assistant has vacation arrangements included in his appointment as teacher or graduate assistant and will not draw vacation pay from additional projects to which he may be assigned during summer months or in addition to his teaching or graduate study.

The annual salary of members of the teaching staff is compensation for academic duties, including attendance at the first faculty meeting at the beginning of the academic year and at commencement exercises on university day, even though such salaries may be paid in twelve monthly installments.

2.7 Benefits for faculty

2.7.1 Summary

The university provides without cost to the employee the following benefits for eligible faculty and their eligible dependents.

major medical protection	retirement plan
group life insurance	tuition remission
group total disability insurance plan	scholarships at other colleges and universities
salary continuation plan	

The details of each of these plans including plan descriptions and brochures, where applicable, are provided in the Lehigh University Employee Guide, which is distributed, to all employees in fulfillment of the requirements of the Employee Retirement Income Security Act of 1974.

In addition to these major benefits, there are numerous optional benefit plans available for employees. The descriptions of them are also contained in the Guide.

2.8 Faculty tuition waiver

A faculty member who has been given a terminal contract has the privilege to apply for a tuition waiver grant for a full year of graduate study at Lehigh. Applications shall be acted upon by a committee consisting of the following:

chairman, College of Arts and Sciences policy committee
chairman, College of Business and Economics committee
secretary, College of Engineering and Applied Science
College of Education representative to the committee on educational policy
provost, ex officio

The chairperson of the committee shall be the member whose name appears first in alphabetical listing. The provost will vote only when necessary to break a tie.

2.9 Lecturer

Contracts for up to five years of full-time teaching in skill-based areas such as freshman English composition and elementary foreign language may be given with the title of lecturer. Appointments are renewable but neither carries tenure nor lead toward tenure-track positions. They are intended to replace some appointments as adjuncts, and are not intended to substitute for the integrated role of teaching, scholarship and service provided by regular tenured and tenure-track faculty. Lecturers are not voting members of the faculty. Although they may engage in limited departmental service roles, they may not serve as principal academic advisors to students or serve on regular college and university faculty committees. A candidate for a Lehigh degree is not eligible for this position.

No more than ten appointments as lecturer may be extant in the university at one time. Appointments and reappointments are considered by the provost upon a majority request by the voting faculty of a department and the recommendation of the dean. Reappointments are based on performance and a continuing need. Notice of reappointment or non-reappointment shall be given six months or more before the terminal date of an appointment of two years duration or longer, and four months or more before the terminal date of a shorter appointment. The provost or appropriate college dean shall provide the lecturer with an annual assessment of performance and need, which may be coordinated with salary review.

2.10 Graduate Assistants

Graduate assistants are appointed on recommendation of the chairman of the department concerned through the dean to the vice president and provost. Graduate assistants are normally expected to devote half-time to the service of the university and half-time to graduate work. Appointment is for one year and tuition fees are remitted.

In special cases, graduate students may be employed on one-third time under which arrangement two-thirds of the student's time is devoted to graduate work and one-third to service to the University. Tuition fees are not waived for any graduate assistant devoting less than one-half time service to the university.

2.11 Research and graduate project assistants

Research assistants are appointed by research project directors, in each case in consultation with the chairman of the department of the student's curriculum, and upon review by the director of the office of research and the appropriate college dean. Research assistants are candidates for graduate degrees, devoting full time to a program of graduate work (which may include teaching, research and other academic activity as well as courses), and are appointed to receive compensation for participating in a research program by which they meet requirements for the degrees sought. Compensation consists of a stipend out of which tuition fees must be paid by the research assistant.

Graduate project assistants are appointed by research project directors, in each case in consultation with the chairman of the department of the student's curriculum, and upon review by the director of the office of research and the vice president for research. Graduate project assistants provide services to research projects for research work that does not fulfill degree requirements.

Joint appointments as teaching assistant, research assistant, and graduate project assistant are permissible, subject to appropriate approvals.

2.12 Professor of Practice

Individuals will be appointed professor of practice for term contracts of one to five years, with the approval of the voting faculty, the appropriate dean, and the provost. There will be no rank differentials within the professor of practice title. Contracts may be renewed for specified terms, subject to the approval of the faculty, dean and provost.

Professors of practice will be considered non-voting members of the academic department with which they are affiliated. However, at the discretion of the department they may be invited to participate in some departmental activities, excluding appointment and tenure/promotion decisions.

November, 2002

**LEHIGH UNIVERSITY
College of Business and Economics**

Statement on Promotion and Tenure Standards

Preamble

This document prescribes the responsibilities of faculty in the College of Business and Economics and the standards used in the review of faculty for reappointment, tenure and promotion. For Lehigh University as a whole, R&P Section 2.2 broadly addresses these responsibilities and policies, consistent with the fact that faculty reappointment, tenure and promotion actions are recognized and granted formally by the Board of Trustees.

The general aims of the College of Business and Economics are to educate men and women for careers in business and closely-related fields and to conduct research that advances knowledge in these fields. Accordingly, the reputation and quality of the College's performance depend upon how well its faculty perform these activities. The continuing vitality and intellectual growth of the faculty flow from their significant contributions in these two areas as well as from their serving as constructive members of the professional community.

Fundamental Principles

The standards for faculty reappointment, tenure, and promotion actions are (1) excellence in research and scholarship, (2) high effectiveness in teaching, and (3) satisfactory professional service. Performance in these three areas is evaluated independently, and a deficiency in one area cannot be offset by exceeding the requirements in another. In addition, reappointment prior to the granting of tenure and promotion should be based on satisfactory progress being made toward meeting each of the three standards. The standards apply fully when tenure and promotion are under consideration.

Research and Scholarship Standards

The standards for promotion and tenure at Lehigh recognize the increasing importance of research and scholarship in enhancing the academic reputation of the institution. Evidence of outstanding accomplishment in research and scholarship is demonstrated by a record of scholarly excellence and productivity that is recognized and attested to by external scholars as well as by peers at Lehigh. A candidate's research and scholarship must have had a significant and positive impact in the field.

Research is evaluated primarily in terms of publications in leading refereed academic journals in the faculty member's area of research or a related area, and such publications carry the most weight. However, the assessment of the research and scholarly accomplishments of a faculty member is based on the entire portfolio, which may also include articles in other respected academic journals, scholarly books and monographs, chapters in scholarly books, articles in highly respected practitioner journals, texts and other books, published cases, awards that recognize outstanding research, presentations at major conferences, invited paper presentations, external grants for supporting research, as well as responsibilities as editors, associate editors, and editorial board members of respected scholarly journals.

In short, the quality and impact of the faculty member's research are the primary criteria in such evaluation. To this end, the following guidelines apply:

- The impact and visibility of research is to be evaluated by such measures as the quality of outlets, awards and honors bestowed upon research, citations in scholarly and practitioner outlets, and use in companies and other organizations such as government.
- External referees asked to evaluate a candidate's research should be recognized leaders in their discipline.
- Both collaborative and solely-authored research are recognized, as is interdisciplinary research.
- It is highly desirable that the research output of a faculty member be part of a programmatic research stream.
- Evidence of an active stream of work-in-progress must be present to indicate continued research productivity.

It is important to stress that the standards above are applied within the context of the quality aspirations of Lehigh University and faculty workloads and resources. Post-tenure promotion to full professor requires that both the quantity and quality of the candidate's research continue to provide a significant contribution to the candidate's field or discipline.

Teaching Standards

Faculty must demonstrate a high overall level of teaching effectiveness. Command of the subject, clarity of communication, the active pursuit of new knowledge and insight, and a sensitivity to the needs of students are indispensable qualities of effective teachers. Such skills and capacities spring from the same qualities that lead to successful scholarly inquiry.

The characteristics of effective teaching include:

- Being knowledgeable and current in one's discipline;
- Being well prepared and organized for class;
- Being effective in presentation;
- Being available to students outside of the classroom for discussion and explanation;
- Integrating current research findings into courses;
- Providing students with bridges between materials taught in related courses;
- Providing prompt and useful feedback on student work;
- Making use of course materials and pedagogy that are current and innovative;
- Adopting appropriate technology where it enhances student learning.

Teaching performance is assessed through:

- Peer evaluation of course development and contributions to curricular revision.
- Standardized student evaluations that provide information on overall effectiveness, course quality, content, presentation, organization, clarity of objectives, and relevance;
- Classroom observation by tenured faculty.

- Appraisal of teaching materials, such as course syllabi, homework assignments, and examinations.
- Awards that recognize outstanding teaching.

In assessing performance, consideration is given to the context of one's teaching responsibilities, including such factors as the number of courses taught, the number of preparations, class size, level (graduate or undergraduate), the elective or non-elective nature of the course, and support provided.

Service Standards

Service is an integral part of the academic landscape and is an important factor in the promotion and tenure process. Appropriate service activities are those that support and respond to the evolving needs of the Department, the College, the University, the profession, along with related service to the community. These activities include leadership and administrative positions, committee memberships, refereeing and reviewing responsibilities, and mentoring. Willingness to assume these duties is important to the operation and reputation of Lehigh University. However, the nature and quantity of service activities change as a faculty member progresses through the ranks. Because junior faculty are laying the foundation of their research programs in their early years, it is desirable not to burden them with onerous service commitments.

Service performance manifests itself through such activities as:

- Leadership and administrative positions in the Department, the College, and the University;
- Leadership and participation in committee work for the Department, College, and University;
- Mentoring of junior faculty and students, including serving on dissertation and thesis committees;
- Service to professional organizations, the business community, and government;
- Presentations given outside of academe associated with the faculty member's area of expertise;
- Attendance and participation at Department, College and University events;
- Academic advising and service to student organizations.

Another dimension of service contribution is collegiality. Attributes of collegiality include cooperativeness, dedication to learning and education, responsiveness to institutional needs, and willingness to work for a common cause. Collegiality must not be defined, however, in such a way as to preclude constructive criticism and dissenting opinions.

To assess service contributions, it is the collective judgment of a faculty member's colleagues that is called upon. For this purpose, it is the quality and impact of a faculty member's service contributions that are considered rather than merely the number of committee memberships and activities.

Conclusion

This Statement is a living document, one that is premised upon the goal of advancing the academic and professional reputation of Lehigh University and its College of Business and Economics, as reflected in external evaluations of institutional and business school quality. Both the University and the College believe that this reputation depends critically on the collective efforts and success of the faculty, and it is to these ends that the document is addressed.

College Standards Committee of the CBE

Robert J. Thornton (Chair)
James Dearden
Parveen Gupta
James Largay
Nandu Nayar
Vince Munley
K. Sivakumar
Robert Trent
Geraldo Vasconcellos

Appendix 2

Faculty Activity and Merit Review

FACULTY ACTIVITY AND MERIT REVIEW (Due January 31, 2006)

For January 1, 2005 - December 31, 2005

COLLEGE OF BUSINESS AND ECONOMICS

LEHIGH UNIVERSITY

NAME:

DEPARTMENT:

Rank (year joined Lehigh):

I. THREE YEAR OVERVIEW OF TEACHING AND ACADEMIC ADVISING EFFORTS

A. Summary of courses taught, grades given, and student course evaluations

1. List of courses and sections taught by semester
2. List number of grades given in each course/section listed in A1
3. List student evaluation ratings and number of respondents for each course/section listed in A1

Three-year Summary of Courses Taught, Team Teaching, Grades Given and Student Course Ratings						
			Student rating summary			
	Course/Section Taught (indicate co-teachers)	# of grades given	Q1	Q2	Q3	# of respondents
Fall 05	1					
	2					
	3					
	4					
SS 05	1					
	2					
Spring 04	1					
	2					
	3					
	4					
Fall 04	1					
	2					
	3					
	4					
SS 04	1					
	2					
Spring 04	1					
	2					
	3					
	4					
Fall 03	1					
	2					
	3					
	4					
SS 03	1					
	2					
Spring 03	1					
	2					
	3					
	4					

NOTE: Q1. Overall, the instructor's teaching was effective.
 Q2. Overall, the quality of the course was good.
 Q3. I learned a lot in this course. (formerly Q20.)

B. Independent Study and Thesis Projects

C. Provide a brief description of your involvement in course and/or program development in the college or your department.

D. Peer review completed

Please check (or “x”) the appropriate box for each year.

Year	Yes	No	Name of peer reviewer
2005			
2004			
2003			

NOTE: the CBE-wide peer review program began in 1998.

E. Advising. List the number of academic advisees for each of the past three years and describe other student advising activities

F. For one of your courses, briefly describe the course goals, your instructional approach and your use of technology. Summarize how these have changed in response to student feedback and your assessment of success in attaining the course goals.

G. Teaching Awards

II. RESEARCH, SCHOLARSHIP AND RELATED PROFESSIONAL ACTIVITIES

A. Appearing in print between January 1, 2003, and December 31, 2005

Refereed Journal Articles: [Format: Authorship in order of appearance on the journal (date of publication or acceptance/in press notification), title, journal, volume, page numbers.]

Papers submitted and under review:

Conference Presentations: [Format: Authorship in order of appearance in conference (date), paper title, conference name and location, page numbers if published. A very brief description of the makeup of the conference is necessary to evaluate its visibility.]

Books and Research Monographs: [Format: Same as for refereed journals. A short description of the adoption list, reviews, etc., is needed to evaluate quality.]

Other Publications: List cases, book reviews, non-refereed journals, newspaper articles, abstracts, etc. [Format: Same as for refereed journals.]

B. **Indicate the number of citations (excluding self-citations) to your work that appeared in articles published during the past three years. Identify the source of your citation count (Web of Science, found among data bases accessed via the LU home page is the recommended source).**

C. **Briefly describe your current research projects, their potential impact and likely outlets for publication.**

D. **Grants and contracts**

<u>Title</u>	<u>Agency</u>	<u>Amount</u>	<u>Term</u>	<u>Co-PI</u>
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E. **Grant and contract proposals submitted but not funded**

<u>Title</u>	<u>Agency</u>	<u>Amount</u>	<u>Term</u>	<u>Co-PI</u>
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F. **Invited lectures/seminars and other presentations**

G. Editorial Positions

H. Research Awards

III. SERVICE. List leadership positions and/or significant tasks associated with assignments along with the name of the committee.

A. University

B. College (Indicate any student recruitment activities)

C. Center (Indicate whether university or college center)

D. Department (Note: do not include advising already included above in I. D.)

E. Professional Affiliations (Include: International, national, and regional committee memberships and offices held)

F. Community or other service contributions (Note: indicate very briefly how related to University goals/mission.)

IV. CONSULTING OR OTHER PROFESSIONAL ACTIVITIES List all professional activities for which compensation was received, and the amount of time devoted to each activity.