

Lehigh University Provost's Office Portfolio Guidelines for Review of Tenure-Track Faculty

Faculty quality is the principal factor determining the quality of a university. In accordance with the mission of Lehigh University to deliver undergraduate and graduate education of the highest quality and to advance knowledge through scholarship and research of distinction, Lehigh University intends to maintain standards for reappointment, tenure, and promotion that are comparable to those employed by leading universities of similar size and mission in the country.

Lehigh faculty should be outstanding educators, fine scholars, and dedicated members of the university community. Therefore, the university's reappointment, tenure, and promotion standards are intended to identify candidates whose excellence is well documented and who show clear promise of continuing superior performance and productivity. As stated in the *Rules and Procedures of the Faculty of Lehigh University* (R&P), section 2.2.1.5, "Excellence in teaching, research and scholarship, and service to the university are the criteria for reappointment, promotion, and tenure." Achievement in each of these areas is considered separately. Each of the four colleges has more specific guidelines on standards of quality and productivity that candidates should consult. In addition, the specific means of judging a candidate's quality and commitment to the life of scholarship and instruction may differ from one discipline to another.

It is the responsibility of the academic units to maintain a system of evaluation and review and to make information available to the faculty regarding the procedures and standards by which they will be judged. It is also the responsibility of individual faculty members to consult with their chairs and deans to ensure that they understand fully the reappointment, tenure, and promotion procedures and standards of the university.

Annual Review, Reappointment, Tenure, Promotion, and Triennial Review Portfolios

Integral to the review process is the responsibility of candidates and academic units to assemble, review, and submit portfolios for candidates being reviewed. Tenure-track faculty should begin to create their portfolios in their first year, as they provide materials to faculty evaluators for annual review. These portfolios can then be revised and supplemented for subsequent reappointment, tenure, and promotion reviews. Because these portfolios are the foundation on which candidates are evaluated according to the university-wide criteria, their content must be standard for the entire university.

These guidelines should be used by tenure-track faculty and faculty evaluators for: annual review of untenured faculty; reappointment; tenure and promotion; triennial review of tenured faculty; and promotion to full professor. Each college may require additional materials; thus department chairs should consult with the Dean's office regarding any additional requirements.

Please see the Reappointment, Tenure and/or Promotion, Annual Review, and Triennial Review checklists for the required contents and organization of portfolios. Sections I-III below provide additional information about the CV, the statement on research, teaching, and service, and other elements of the portfolio.

I. Curriculum Vitae

The curriculum vitae should follow the following format:

A. Biographical information including the following:

- Name
- Home and business street and e-mail addresses, including phone and fax numbers.
- Complete educational history beyond high school, including dates.
- Full employment history/professional experience including dates (including military service, if any).

B. Publications and Creative Activities

In each category, list published works first, followed by works not yet published but accepted for publication. Co-authors should be identified. The candidate should distinguish between authored and edited works and refereed and non-refereed publications, and clarify the status of unpublished works. Comparative distinctions (e.g. major v. minor works, juried v. non-juried) should be used for performing and creative arts faculty.

Publications (in the following order): For collaborative publications, the nature of the faculty member's contribution should be specified in the Statement on Research and Scholarship.

- Books
 - Books authored. Original or revised edition should be specified.
 - Monographs.
 - Books edited.
 - Chapters in books.
- Articles in refereed journals. Provide full citation, including pagination. Review articles and invited articles should be identified.
- Published reports and conference proceedings (indicate those that are refereed).
- Edited publications and other articles (including those invited and non-refereed).
- Reviews (book, film, software, exhibit, performance, etc.) and notes.
- Working papers (include status of paper).

Creative Activities (in the following order):

- Films, tapes, photographs, etc. (the nature of the faculty member's contribution should be specified).
- Exhibits, performances, demonstrations, and other creative activities (the nature of the faculty member's contribution should be specified).
- Original designs, plan, inventions, and patents.
- Other (specify type).

C. Honors and awards (dates, awarding institutions) such as:

- Recognition by professional and academic societies.
- Distinguished lectureships.
- Appointment to fellow or comparable grade in important professional organizations.
- Honorary degrees.
- Award(s) for best paper, book, etc.
- Teaching awards and other special recognitions.
- Service awards and honors.

D. Research funding and training grants broken down into the categories below. List amounts awarded and role (e.g. principal investigator).

- Competitively awarded research grants (including any collaborators).
- Non-competitive research grants (including any collaborators).
- Competitively awarded training grants (including any collaborators).
- Non-competitive training grants (including any collaborators).
- Institutional/equipment grants (including any collaborators).
- Contract/consulting work (including any collaborators).

E. Editor/editorial review board membership for scholarly publications.

F. Scholarly presentations broken down into the following categories: For multi-authored presentations, identify the presenter with an asterisk or by underlining the name.

- Invited presentations/lectures/colloquia/workshops/performances/conferences.
- Refereed presentations/lectures/exhibits/performances/conferences.
- Organized or chaired sessions/colloquia/exhibits/performances/conferences.
- Other.

G. Teaching and Research Advising

- Courses taught
- Advising – research direction. The name of student and academic year(s) involved should be indicated, as well as placement of the student(s). List completed work first and then in-progress work.
 - Undergraduate
 - Master's
 - Doctoral

H. Service (include dates and indication of leadership roles)

- University
 - Service to university.
 - Service to college.
 - Service to interdisciplinary programs.
 - Service to department.
- Professional
 - Office and committee memberships held in professional organizations.
 - Other non-university committees, commissions, panels, etc.
 - International activities not listed above.
 - Other.

II. Statement on Research, Teaching, and Service

The candidate for reappointment, tenure, and promotion must provide a statement that assists the faculty evaluators in determining whether he or she has met the criteria in research, teaching, and service. Because many faculty collaborate with others, the statement should indicate the significance and impact of the candidate's own contributions in these areas.

Normally the candidate will divide the statement into three parts that address research, teaching, and service separately. The candidate may also describe how her or his achievements in these areas are integrated or overlap.

In the statement on research and scholarship, the candidate shall supply a general narrative of his or her scholarly interests, achievements, goals, and methodologies. While this statement can take various forms, the purpose is to provide a clear indication of the substance of the candidate's current and future scholarship and its contribution to her or his academic discipline. The narrative should be written in a way that permits educated laypersons to understand the significance of the candidate's work.

For tenure and/or promotion, candidates must provide evidence that their research and scholarship have already had a significant and positive impact in their field and that their professional work has enhanced the reputation of Lehigh University. Positive action on tenure or promotion must be based on demonstrated accomplishment and not simply on potential. For promotion to full professor it is expected that the faculty member will build upon his or her established performance and demonstrate leadership in scholarship and/or teaching.

In the statement on teaching, candidates shall discuss their achievements, goals, and methodologies in teaching. This should include the candidate's teaching philosophy and explanations of why she or he teaches various courses in a particular way. Candidates should also discuss their contributions in course and curriculum development, and emphasize the ways in which their courses contribute to the mission of their department and the university as a whole.

Candidates for reappointment, tenure, and promotion must provide materials sufficient to demonstrate that they are effective teachers and mentors who ensure that their courses meet contemporary standards of relevance and quality, and who develop their students' analytical and expressive abilities. Faculty should provide excellent instruction at multiple levels of the curriculum, from lower-division undergraduate courses to the graduate level (where applicable).

In the statement on service, candidates shall discuss their achievements and goals in service, including advising. Although service is not a sufficient element for tenure or promotion, it is a necessary component. As with teaching and scholarship, the university expects that a candidate's level of service will increase over time. Service to the department, interdepartmental programs, college, and university is fundamental to the successful operation of the institution. The university also expects faculty to participate in an increasing level of professional service, which benefits both the reputation of the individual faculty member and the university.

III. The portfolio should also include the following materials: Please see the appropriate checklist for organization.

Teaching and advising

- A chronological listing of undergraduate and graduate (if applicable) courses taught, with number of credits for each course, and the number of grades assigned in each course.
- A discussion of advising, including number of students advised, the dates of service, and the advisory format (frequency of contact, individual or group meetings).
- Copies of the Course Evaluation Summary Reports supplied by the Office of Institutional Research. Pre-tenure faculty should submit copies of summary reports for all courses they have taught at Lehigh.

- Representative syllabi, examinations, and assignments, including innovative methods.

Research

- Background information on the stature of journals, book publishers, conferences, performance/exhibit venues, etc. In fields where data are available, provide the impact factor or ranking of journals (out of the total in the category), and the acceptance rate or other quality indicator of conferences. Information on citation data for the candidate's published works may be included as appropriate to the field. Although these citation data must be used with great care and are inherently more valid for promotion to full professor than for tenure and promotion to associate professor, in certain fields they may provide an indication of the disciplinary impact of the candidate's scholarship. In particular, citation data should be calibrated against the external evaluators' assessment of the importance of the candidate's scholarship. Data reported in the portfolio should include the number of citations by others (i.e. no self-citations) for each of the candidate's publications.

Guidelines for the Department Chair and Faculty Evaluators

The review process depends upon confidentiality among participants, including the opinions expressed by all external and internal reviewers. Confidentiality must be maintained throughout the process—in letters and in conversation.

Tenure-track faculty should begin to create their portfolios in their first year, as they provide materials to faculty evaluators for annual review. These portfolios can then be revised and supplemented for subsequent reappointment, tenure, and promotion reviews.

Tenure Extensions

Pre-tenure assistant professors who have a tenure clock extension, with or without taking a Family and Medical Leave, undergo only a total of 5 reviews during their pre-tenure period –3 annual and 2 reappointments. Generally, they should not undergo a review during the time of or immediately after they have been on FML.

According to Lehigh's policy, tenure candidates who receive tenure extensions must be evaluated with the same academic standards as candidates who do not receive extensions.

The extension will affect both the probationary period as a whole and the appointment in which the faculty member confirms the extension. If reappointment review for the faculty member has already begun, however, that review will continue and his or her next appointment will be adjusted. *Examples:* (1) An assistant professor in his third year will have his second (and current) appointment extended. His next reappointment review, as well as his tenure review, will be delayed. (2) For an assistant professor in her fourth year, for whom the second reappointment review has begun, the reappointment review process will continue. Her third appointment will be extended, thus delaying the tenure review.

1. Annual Review of Pre-Tenure Faculty

a. In years when reappointment or tenure is not considered, an annual review process is conducted for pre-tenure faculty, including pre-tenure assistant and associate professors. Please see *R&P 2.2.4.1* for additional details regarding the annual review process, which may be coordinated with salary review.

b. The pre-tenure faculty member and department chairperson compile materials to be considered by the tenured voting members of the department. (See 2.2.3.1 for faculty joint appointments.) The department chairperson meets with the tenured voting faculty to discuss the performance and status of the pre-tenure faculty member then summarizes in writing the department's evaluation in a letter addressed to the faculty member (not to the dean). The chairperson then meets individually with each pre-tenure faculty member, discusses the faculty's review of his/her performance, and gives him/her the written summary letter. The pre-tenure faculty member is notified that he/she has the right to respond in writing to the tenured faculty's evaluation.

c. Copies of the departmental evaluation and any written response by the pre-tenure faculty member are placed in the pre-tenure faculty member's file in the department, with copies 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. The Dean's office sends copies of these letters to the Provost.

d. The Annual Review department summary letter for pre-tenure faculty must have a high level of clarity and specificity which will ensure that the pre-tenure faculty member has a clear understanding of the department's expectations in each of the three areas. The letter will include specific guidance on what constitutes acceptable, high-quality venues for dissemination of scholarly/creative works in the faculty member's field. These annual written review letters will be included in each subsequent reappointment/tenure portfolio of the pre-tenure faculty member.

2. Department-level reappointment, tenure, and promotion evaluators:

- a. For candidates with joint appointments, see R&P 2.2.3.1.
- b. When a candidate is being considered for reappointment or tenure, voting members of the department include all tenured faculty of the department. In a department with fewer than three tenured faculty, see R&P 2.2.2.2.1, 2.2.2.2.2.
- c. When a candidate is being considered for promotion to full professor, voting members of the department include tenured full professors of the department. In a department with fewer than three tenured full professors, see R&P 2.2.2.2.3.

3. External evaluators (for tenure and promotion)

a. The first step after initiation of the tenure and promotion process is identification of external evaluators. The department chairperson, in consultation with the tenured members of the department, the dean, and the candidate, has initial responsibility for preparing a list of external evaluators. See R&P 2.2.6.2 or 2.2.9.3 for further information on the selection process. Please note that it is recommended to construct a list of 8-10 prospective external evaluators for approval by the dean and provost because some of the scholars may decline to serve.

b. The portfolio shall contain five or more external letters. Please consult college guidelines for additional requirements. At least one and no more than two of the external evaluators will be the candidate's nominees. Each evaluator should be a person of considerable distinction in the candidate's field or related field. The evaluators should be selected and letters requested without any prior solicitation by the candidate, faculty, or administration. This ban on prior solicitation refers to contact specifically regarding the external evaluation.

c. The department chair will inform external evaluators that time added to the probationary period by tenure extensions, taken with or without a Family and Medical Leave, must not be included in measuring the quantity or quality of the candidate's research and scholarship.

d. The list of evaluators included in the portfolio must include only the evaluators who actually submit letters of evaluation. The following information about the evaluators shall be compiled by the department chair and included in the candidate's portfolio sent to the dean:

- A short written statement of how well and in what capacity each evaluator may know the candidate. The core group of five (5) evaluators must be individuals who have no vested interest in a candidate's success or failure; that is, co-authors, co-researchers, co-editors, former professors and advisors are usually not acceptable reviewers. However, a department chair may discuss with the dean an exception. Only the dean and provost may approve an exception to the requirement.
- Summary of each external evaluator's stature in field or 1-2 page curriculum vitae. This information must include current position, significant publications (including most recent work), and significant honors.
- A copy of the letter sent to external evaluators. A copy of only one representative letter is necessary. The letter must be phrased impartially and request an assessment of the candidate's overall professional standing and promise relative to other individuals in the field. (See below for a sample letter requesting an external evaluation).

4. Faculty letters and department summary (reappointment, tenure, and promotion)

a. Following the department meeting, each department-level evaluator (including the chairperson) will submit a detailed written evaluation of the candidate's qualifications in research and scholarship, teaching, and service, applying the criteria stated in R&P 2.2.1.5. In writing their letters, faculty will employ the candidate's portfolio, the letters of external evaluators (for tenure and promotion), and additional materials such as the candidate's publications, course materials, etc. The letters will employ evidence to explain fully the faculty evaluator's recommendation.

b. In assessing teaching, faculty evaluators may include peer observations of the candidate in a classroom context and/or evaluate the candidate's instructional effectiveness in the context of professional presentations, seminars, or colloquia. Exit interviews with graduating majors may provide evidence concerning the candidate's instruction. Colleagues will also evaluate the role the candidate's courses play within the department and university curricula. For example, does the candidate share in the teaching of required courses or teach electives only? Is the candidate capable of teaching the "difficult" courses and does he/she take turns doing so? Does the candidate willingly offer new courses that enrich the curriculum, or is he/she reluctant to do so?

c. Faculty letters should also include an evaluation of the candidate's major, non-major, and graduate advising. Evaluation may include sources such as senior and graduate student exit interviews conducted by the department; surveys of all graduating seniors/graduate students; number and placement of doctoral and master's students.

d. After receiving the faculty letters, the chairperson writes the department's recommendation.

- For reappointment candidates, see R&P 2.2.7.1 and 2.2.7.2 for information on the departmental recommendation, pre-submission consultation with the candidate, and submission to the dean.
- For tenure candidates, see R&P 2.2.6.5, 2.2.6.6, and 2.2.6.7.
- For candidates for promotion to full professor, see R&P 2.2.9.5, 2.2.9.6, and 2.2.9.7.

Sample Letters to External Evaluators

A sample letter requesting the participation of external evaluators in the tenure and promotion review follows, as does a sample thank you letter for their agreement to serve. While you are welcome to draft your own letters, please make certain that you request of the evaluators and subsequently receive the information specified in paragraph four of the evaluator request letter.

Sample letter requesting service as an evaluator:

Dear (Name):

Lehigh University is in the process of considering (name of faculty member) for (tenure and/or promotion). The university is committed to tenuring and promoting only those candidates whose excellence in their performance as teachers and scholars is well documented and who show clear promise of continued contributions of the highest quality and productivity. A key indicator of excellence in research and scholarship is testimony of outstanding members of the discipline. As such, I am writing to ask whether you would be willing to serve as an evaluator of the scholarly achievements of (name of faculty member).

(Paragraph including background information and accomplishments of candidate) For your convenience, a copy of (name's) CV is enclosed.

Please let us know by (date) if you will be able to provide us with your professional opinion of the scholarship of (name of faculty member). We will then mail you (his/her) recent scholarly materials; if there are publications listed on the CV that you are particularly interested in receiving, please let me know. We would need to receive your evaluation by (date).

If you agree to provide an evaluation, we would be seeking an assessment of (name's) overall professional standing and promise relative to other individuals in the field. We request your evaluation of the impact and significance of (his or her) scholarship to date, as well as an assessment of (his or her) promise of continued contributions of the highest quality and productivity.

This evaluation will be shared with the members of the department, the college tenure and promotion committee, the dean, and provost as part of the normal tenure and/or promotion review process. It is Lehigh University's general policy to maintain the confidentiality of evaluations of tenure and promotion candidates, except of course when disclosure is mandated by applicable legal requirements.

At Lehigh, the regular period prior to tenure review is five years. Some faculty receive tenure clock extensions for up to a maximum of two additional years. According to Lehigh's policy, tenure candidates who receive extensions must be evaluated with the same tenure criteria as candidates who do not receive extensions.

If you have any questions, please feel free to contact me at the phone number or e-mail address above. I am enclosing a self-addressed stamped envelope for your convenience.

Thank you in advance for your consideration. We very much appreciate your assistance.

Sample thank you letter for agreeing to serve as an evaluator:

Dear (Name):

Thank you for agreeing to serve as an evaluator of (name of faculty member's) scholarly achievements. This evaluation is considered part of the normal tenure and promotion review process and as such will be shared with the members of the department, the college tenure and promotion committee, the dean, and provost. It is Lehigh University's general policy to maintain the confidentiality of evaluations of tenure and promotion candidates, except of course when disclosure is mandated by applicable legal requirements.

For your convenience, I have enclosed (name's) recent scholarly materials as well as a copy of (his/her) CV. In your evaluation, we ask that you provide an assessment of (name's) overall professional standing and promise relative to other individuals in the field. We request your evaluation of the impact and significance of (his or her) scholarship to date, as well as an assessment of (his or her) promise of continued contributions of the highest quality and productivity. Please send your evaluation to me in the enclosed self-addressed stamped envelope by (date).

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If you have any questions, please feel free to contact me at the phone number or e-mail address above. Thank you in advance for your assistance.

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