

## Chapter III

### **PERSONNEL POLICIES AND PRACTICES**

This section of the Handbook identifies the policies and procedures that govern a faculty member's affiliation with the University. These policies and procedures are applied by the President, the Provost and Dean of the Faculty, the Dean of the Conservatory, department chairs, faculty committees, and faculty members as indicated below.

In all personnel matters, as in all its operations, Lawrence University promotes equal employment opportunity for all.

#### Academic Freedom

Faculty members at Lawrence University enjoy the freedom to engage in scholarly research and to publish their conclusions. They are also free to present and develop their subjects in the classroom, with the stipulation that they not introduce controversial material on topics that bear no relation to that subject. Faculty members retain their rights as citizens to express themselves on any issue, but their special place in the community brings with it special obligations. As learned individuals, teachers should at all times strive to be accurate, to exercise appropriate restraint, and to show respect for the opinions of others. In their roles as citizens, faculty members should, as a general rule, speak and act as private individuals (and appear to be doing so) and not as representatives of the University. Faculty members who wish to speak to public issues from the perspective of their professional disciplines, as in the writing of letters to editors or op-ed contributions, may specify their rank and departmental affiliation with Lawrence, providing they do not express opinions on behalf of the University or any segment thereof.

#### Recruiting

##### *I. The Approval Process*

1. Each spring, departments seeking to fill tenure-track positions in the following year should submit requests to the Provost and Dean of the Faculty. Such requests should include a position description or draft of a job advertisement and a brief rationale for the request that addresses the importance of the position to both the department and the university more broadly. They should also indicate whether discussions of the position with faculty *outside* the department have taken place and whether alternative position descriptions have been considered and rejected. Requests should be submitted no later than the end of the third week of the spring term.
2. The Provost and Dean of the Faculty will review each request in consultation with the Curriculum Committee and will notify the faculty as a whole of all requests through the committee minutes. Materials considered during these discussions may include recent departmental reviews and other supporting documents either submitted by the department or requested by

the Provost and Dean of the Faculty or the committee. The Provost and Dean of the Faculty or the committee may also initiate conversations with the department chair, the department as a whole, or other appropriate members or segments of the faculty.

3. The Provost and Dean of the Faculty will consult with the President, who must approve the filling of any vacancy or the establishment of any new position.
4. After appropriate deliberations, the Provost and Dean of the Faculty will respond promptly to all departmental requests and will announce all approved searches to the faculty as a whole, preferably at the second faculty meeting of the spring term.

## II. *The Search Process*

1. Once a search has been approved, a department will be expected to assemble a search committee prior to the initiation of the search itself. The committee should consist of all tenured and tenure-track members of a department plus at least two additional tenured or tenure-track members of the faculty. Ordinarily the chair of the department serves as the chair of the search committee, though there may be exceptions to this rule, and ordinarily retiring faculty members do not serve on committees searching for their replacements. Non-tenure-track and adjunct members of a department may not serve as members of the search committee, though departments are encouraged to solicit their input and involvement in the process, where and as appropriate.
2. Students may not serve as members of the search committee. Student participation in the search process, however, is crucial, and departments should ensure that mechanisms are in place to provide a thorough and reliable representation of student views.
3. In appointing outside members of the search committee, the department shall make its recommendations to the Provost and Dean of the Faculty, who may again seek advice from the Curriculum Committee. While there is no single standard that obtains in the appointment of outside committee members, departments should bear in mind such factors as disciplinary appropriateness, the requirements of interdisciplinary programs, gender balance, diversity, and the need to bring an institutional perspective to bear on all hires.
4. Once the Provost and Dean of the Faculty has approved the appointment of the outside members of the search committee, the committee as a whole should meet to discuss the conduct of the national search. Among the issues that should be considered at this meeting are the strategies for attracting a strong and diverse applicant pool, the nature of the screening process, and the schedule for reviewing candidates. Particular strategies for attracting

applications from domestic minorities should be considered, including placing announcements in appropriate publications and contacting particular graduate programs.

5. It is appropriate though not necessary for the full search committee to determine that some sub-set of the committee will conduct the early screening of applications. All members of the committee, however, should have access to all applications. As the pool of applicants is narrowed, it becomes increasingly important that all members of the committee participate fully in the search process, and by the time candidates are brought to campus, full participation by all members is essential.
6. Ordinarily the search committee, or some agreed upon sub-set of the committee, will review letters of application and supporting materials and establish a list of candidates to be interviewed at a national meeting, whenever possible and practical. At least three members of the search committee should be involved in the establishment of that list, and all members of the committee should be consulted prior to its final establishment. An interview team, whenever possible comprised of the search committee chair plus at least one additional member of the committee, will meet with the candidates and report back to the full committee, which in turn will identify a group of three to be invited to campus. Approval of this group must be obtained from the Provost and Dean of the Faculty, who may suggest a further review of the list of candidates if any of the finalists do not appear to correspond to the job description or to the needs of the university as a whole. The Provost and Dean of the Faculty may solicit advice when appropriate from the Curriculum Committee.
7. Once on campus, the candidates meet with all members of the search committee, the Provost and Dean of the Faculty, the President, the Dean of the Conservatory in the case of Conservatory hires, a representative group of students, and other members of the faculty, staff, or administration as appropriate. In arranging such meetings, the search committee should bear in mind especially departments, offices, and interdisciplinary programs with which the candidate might naturally interact. Candidates also make public presentations and/or teach classes appropriate to their disciplines.
8. After finalists for a position have visited campus, all members of the search committee should be invited to a meeting at which the finalists are discussed and, when discussions are concluded, a vote taken. Prior to this meeting, written responses should be solicited from other faculty members, staff members, and students who met with the finalists. All members of the committee, but no others, vote. The results of this vote are communicated to the Provost and Dean of the Faculty as the committee's recommendation. The goal in all such discussions should be consensus. In cases where the vote is not unanimous, the specific details of the vote—that is, how particular members of the committee from inside and outside the department voted, along with other germane information—shall also be communicated

to the Provost and Dean of the Faculty, so that his or her decision may be as fully informed as possible.

9. The Provost and Dean of the Faculty's approval must be secured before any offer of employment can be made, and the Provost and Dean of the Faculty will communicate the offer of employment to the candidate. In cases of Conservatory hiring, the Dean of the Conservatory may communicate the offer of employment.
10. All appointments are subject to the approval of the President.

### III. *Reporting and Record-Keeping*

1. Once an offer of employment has been accepted, the department chair should report to the Provost and Dean of the Faculty in writing on the search, including in that report the full text of the advertisement(s) placed, a list of the publications or on-line services in which they were placed, the number of applications received, the number of candidates interviewed at each stage, and the number of applicants and interviewed candidates who were identifiably women and the number who were identifiably members of domestic minority ethnic groups. To facilitate the collection of data on gender and ethnic distribution, departments will be provided with a standard information card to be enclosed with all letters of acknowledgement. These cards will be anonymous, will be returned directly to the Office of Human Resources, and will have no bearing on the conduct of the search itself.
2. At the conclusion of a search, the files of all applicants should be forwarded to the Provost and Dean of the Faculty's office for storage.

### Appointments

All appointments to the Faculty are made by the Board of Trustees upon the recommendation of the President.

Regular full-time appointments to the Faculty of Lawrence and Downer Colleges may be made at the ranks of Lecturer, Instructor, Assistant Professor, Associate Professor, or Professor. Persons appointed at the rank of Assistant Professor or above normally begin their service with a four-year appointment. New faculty who have not completed the Ph.D. or other appropriate terminal degree receive appointments at the rank of Instructor for a term of no more than two years. A person hired without such a degree will normally be expected to complete it by the end of the first academic year of employment (i.e., by the time of Commencement in that year); failure to do so will normally result in the termination of the appointment at the end of the initial contract period. Promotion to Assistant Professor occurs automatically upon completion of the terminal degree, and the initial two-year contract is extended to be a four-year contract, originating from the date of appointment. Lecturers receive one-year appointments.

Regular full-time appointments to the Conservatory may be made at the rank of Lecturer, Instructor, Assistant Professor, Associate Professor, or Professor. Persons appointed at the rank of Instructor will be promoted to the rank of Assistant Professor following a successful review for reappointment. Persons appointed at the rank of Instructor or above normally begin their service with a four-year appointment.

Full-time appointments to the Faculty may be made with or without the possibility of tenure. The initial letter of appointment indicates the tenure status of a position and letters of reappointment also address the tenurability of a position. The University reserves the right to declare a position untenurable for reasons of program changes or financial exigency.

All part-time faculty are appointed at the rank of Lecturer, with two exceptions: tenured regular faculty with part-time loads, who continue to carry their academic rank; and visiting faculty, whose rank is determined according to their professional status. All appointments at the rank of Lecturer are for specified terms, not to exceed one year. Part-time faculty members are not expected to carry the collateral responsibilities of full-time faculty members, such as committee assignments and advising responsibilities. Part-time faculty members are not eligible for tenure.

Normally, an offer of appointment is first tendered orally by the Provost and Dean of the Faculty or the Dean of the Conservatory. Once a candidate accepts an offer, the President or the President's delegate sends a formal letter of appointment to the candidate. This letter describes the position, including its tenurability, states the length of the appointment, and indicates salary and fringe benefits. The letter also outlines the University's expectations, both specific and general, of the new faculty member. The terms of the initial letter of appointment are subject to amendment by yearly appointment slips, letters of reappointment, promotion, or termination, or by other letters from the President relative to the terms of the faculty member's affiliation with Lawrence.

### Evaluating Teaching

Excellence in teaching is the paramount objective of Lawrence faculty members, and the development of excellence in teaching is the responsibility of every member of the faculty. Members of the faculty are expected to be attentive to the quality of their own teaching and be interested in and supportive of the efforts of colleagues to maintain the highest possible level of achievement as teachers. Lawrence's faculty view teaching excellence as a continuously evolving and dynamic process. We encourage faculty to collaborate on the enhancement of teaching excellence through the sharing of ideas and constructive suggestions for continued development.

The University encourages all faculty members to request that their students and appropriate members of the faculty engage in the process of evaluating courses. Students' course evaluations can provide useful information about the quality of teaching and the organization of courses. The chief point of the evaluations is to assist faculty members in designing and teaching their courses. These evaluations are not used as part of the tenure review, though they may be used to inform discussions between the faculty member and the Provost and Dean of the Faculty at the beginning of the second year of

service and as part of the reappointment process. Instructors and Assistant Professors in particular may find the results of such evaluation useful when consulting with experienced colleagues for advice about teaching techniques and skills. Standard course evaluation templates for the Conservatory of Music may differ from those used for other departments in the University, and all standard templates may be supplemented by questions designed for the specific course, at the discretion of the faculty member, or for the department involved, at the discretion of the department. These forms can provide useful information about the quality of teaching and the organization of courses.

Beyond student evaluation, it is also imperative that departmental faculty work together to provide one another (and especially untenured faculty) feedback on their teaching in order to promote excellence and personal growth as instructors. The opportunity of peer observation can be of great benefit both to the observed and to the observer. Such opportunities promote a culture of collaboration that creates a community characterized by teaching excellence. The more faculty members know about their own and their colleagues' teaching, the greater the opportunity for collegial support and dialogue about the improvement of teaching. Integral to the vitality of a community of scholar-teachers are activities such as invitations to colleagues to attend a faculty member's classes, participation in class discussions drawing on colleague's expertise as guests in the classroom, circulation of course syllabi among colleagues, and other such opportunities to observe and benefit from one another's teaching skills and pedagogy.

Tenure-track faculty are especially encouraged to invite members of the faculty to observe their teaching, and to use such peer observations to aid their development as teachers. Furthermore, because it is the personal responsibility of candidates standing for tenure and reappointment to build their strongest case, they should encourage peer observation to allow faculty first-hand opportunities to appraise their teaching.

Candidates are encouraged to invite numerous faculty, and in particular, departmental colleagues, to observe the full range of their regular teaching activities and teaching milieus. Tenured departmental faculty, in turn, are encouraged to seek opportunities to visit candidates' classes while also inviting candidates to observe their own teaching. Faculty who have directly observed the teaching of tenure-track colleagues are encouraged to discuss their observations with them. Observers should also comment on these observations in the evaluation letters that are solicited by the Committee on Tenure, Reappointment, Promotion, and Equal Opportunity Employment as part of the tenure and reappointment process.

Both at the time of the reappointment review and the tenure review, candidates are strongly encouraged to provide the Tenure Committee with the names of at least 2 faculty (at least one of whom is from the candidates department) who have observed their teaching and who are willing to share their observations. If faculty on this list do not provide written evaluations of their observations, the Tenure Committee may contact these individuals to encourage them to do so.

### Reappointment

All new faculty members will meet with the Provost and Dean of the Faculty at the beginning of their second year of service. The faculty members' annual reports and teaching evaluations will serve as the basis for discussion of their first-year performance.

The Provost and Dean of the Faculty and the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity conduct formal reviews for reappointment during the third term of the third year of an initial four-year appointment. If the candidate for reappointment is a member of the Faculty of the Conservatory of Music, the Committee may also consult the Dean of the Conservatory. Such reviews are based on the same categories of evaluation as are used in the tenure review—teaching, scholarly or creative achievement, and community service—with expectations adjusted to reflect the shorter period of employment. Materials collected during the review include a survey of student opinion of teaching, comments by departmental colleagues and other faculty members who have worked with the candidate or who have firsthand evidence of the candidate's performance, and at least one outside review of scholarly or creative work (solicited by the Provost and Dean of the Faculty, in consultation with the Tenure Committee, according to the procedures outlined for the tenure review, page III.15). A high level of competence and indications of strong promise as a teacher, clear interest in and work on a scholarly or creative agenda, and the assumption of some responsibilities within the larger University community are the focus of the review. Of these, a high level of competence in teaching is the most important.

Near the start of the second term of the third year of service, the Provost and Dean of the Faculty will ask candidates for reappointment to submit materials necessary for the review. All materials to be sent to the outside reviewer must be submitted by February 1; all other materials must be submitted by March 1.

The Provost and Dean of the Faculty and the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity consider the materials gathered in the review. The Committee makes a recommendation on each candidate, which the Provost and Dean of the Faculty conveys with his or her own recommendation to the President, who decides whether to recommend Reappointment to the Board of Trustees. Failure to receive reappointment means that the subsequent year is the terminal year.

Faculty members who are reviewed for reappointment are notified in writing by the Provost and Dean of the Faculty of the results of the review. For each faculty member who is reappointed, the written notice will include information on the timing of the tenure review.

### Tenure Policy

Tenure provides Lawrence University with a faculty whose research and teaching are protected from unwarranted interference. In particular, tenure guarantees academic and intellectual freedom to Lawrence faculty members as they carry out their scholarly activities and duties. Tenure, therefore, is awarded to faculty who demonstrate that their contributions to the Lawrence community merit this guarantee. Tenure is not awarded

for length of service or for a particular contribution, regardless of how outstanding either might be. Rather, tenure is awarded to those faculty members whose contributions to the Lawrence community provide clear evidence of past excellence and the potential for continued excellence throughout their academic careers.

### *I. Tenured Appointments*

Academic tenure was established in higher education as a means to ensure freedom of teaching, research and other forms of scholarly or creative activity, and extramural activity. A tenured member of the faculty of Lawrence University holds an appointment that remains in effect until that faculty member resigns or retires or is terminated under circumstances explained in the section of the Faculty Handbook that addresses conditions of dismissal.

Tenure is conferred by the Board of Trustees upon the recommendation of the President. A decision to confer tenure is based on a candidate's accomplishments and future promise in three areas: Teaching; Scholarship or Creative Activity; and Community Service. The importance of a decision to grant tenure requires an evaluation process that is serious and thorough. At all levels of evaluation, faculty, administrators and trustees are expected to exercise careful judgment.

### *II. Tenurable Positions*

Positions on the Lawrence Faculty may be defined as tenurable or untenurable. Faculty members are informed of the tenure status of their positions in letters of appointment. The President may hire into a tenured position on the Lawrence Faculty an individual who has previously been awarded tenure at another college or university. The President will confer with both the department which the new faculty member will join and with the Committee on Tenure, Reappointment, Promotion, and Equal Opportunity Employment before such an appointment is offered.

The University reserves the right to declare a position untenurable because of a change in academic programs or because of financial exigency. When, after consulting the tenured members of the department concerned, the President determines that a position previously defined as tenurable shall be untenurable, he or she announces that decision to the individual and to the concerned department in accordance with University policy. In deciding whether a position is tenurable, as in considering individual candidates for tenure, the University applies no quotas by numbers or percentages of tenured faculty in the University, or by numbers or percentages of tenured faculty in individual departments.

### *III. Timing of the Tenure Review*

Lawrence's policy on tenure applies only to tenurable appointments to the Faculty, and the timing of the tenure review and decision is spelled out for each faculty member in the appointment letter. Faculty normally are reviewed for tenure in their sixth

year of full-time service on the tenure track at Lawrence. The review may occur later if a candidate has taken medical or family leave, in accordance with University policy and upon the request of the candidate. The review may also be postponed if some personal or professional circumstance would place the candidate at an unfair disadvantage in the tenure review process. A candidate wishing to apply for a postponement must submit a written statement to the Provost and Dean of the Faculty specifying the rationale for the requested postponement. Normally a request for a postponement must be made by March 1 of the year preceding the year in which the individual is scheduled to stand for tenure. The decision about whether to grant the postponement will be made by the Provost and Dean of the Faculty.

When a faculty member has held a prior, full-time, non-tenure track appointment at Lawrence, a determination will be made, at the time of the tenure-track appointment, to what extent that appointment will be considered as part of the probationary period for tenure. That determination will be made by the President and the Provost and Dean of the Faculty, in consultation with the faculty member, and any such arrangement shall be specified in the letter of appointment. This arrangement may be changed subsequently by agreement of the faculty member, the Provost and Dean of the Faculty and the President. Any such change must be specified in writing.

When a faculty member has had a prior, full-time appointment at another college or university, the tenure review may occur earlier than the sixth year of service at Lawrence. Any agreement for an accelerated calendar for tenure review will be stated in the initial letter of appointment. Normally, faculty on an accelerated calendar will have an initial appointment of four years, with a reappointment review in the third year and the option of standing for tenure in either the fourth or fifth year, contingent on a successful reappointment review. The accelerated calendar may be changed by agreement of the faculty member, the Provost and Dean of the Faculty, and the President. Any such change must be specified in writing.

A faculty member may only stand for tenure at Lawrence University once. A faculty member who declines to stand for tenure at the appointed time will be deemed to have resigned, effective at the end of that academic year. If tenure is denied, a faculty member's employment will terminate at the end of the academic year following the year in which the tenure decision was made.

#### *IV. The Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity*

Tenure reviews are conducted by the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity. The Committee consists of five tenured members of the faculty—one each from the divisions of Fine Arts, Humanities, Social Sciences, and Sciences, plus one member selected at large—along with the Provost and Dean of the Faculty as an *ex officio*, non-voting member. No faculty member from a department of which a member is under review for tenure may serve on the Committee. Committee members are selected by the President from a slate of candidates (at least two proposed, whenever possible, for each position) prepared by the tenured members of the Faculty Committee on University Governance on behalf of the

Faculty. The Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity then elects its own chair and works independently to review the performance of each candidate for tenure. The President or a delegate may confer with the Committee during the normal course of its business.

The principal work of the Committee in evaluating candidates for tenure normally takes place during the first term of the academic year, and the Committee normally submits its final recommendations to the President no later than the end of the third week of the second academic term. The Committee's role, though central to the tenure review, is nonetheless advisory. Final decisions are made by the President, subject to the approval of the Board of Trustees.

#### V. *Guidelines and Procedures for the Tenure Review*

By the end of February each year, the Provost and Dean of the Faculty seeks from each faculty member eligible for tenure review at the beginning of the next academic year a written declaration of intent to stand for tenure. Once notified of a faculty member's intention to stand for tenure, the Provost and Dean of the Faculty then provides the candidate with a description of the materials to be assembled for the review and specifies a deadline for the submission of those materials to the Committee. In addition, the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity will hold shortly thereafter an informational meeting for all faculty members scheduled for a tenure review during the following fall, their department chairs, and other interested faculty.

It is the candidate's responsibility to make a clear and compelling case that his or her past efforts and potential for continued excellence meet the criteria that the award of tenure demands. These criteria are defined below. The candidate is encouraged to meet with his or her department chair and the Provost and Dean of the Faculty to discuss the criteria for tenure before compiling tenure materials. Normally, each candidate will submit, by March 31, a current *curriculum vitae* and a brief statement describing his or her area of scholarly or artistic interest in sufficient detail to allow the Committee to identify appropriate outside reviewers. Normally, each candidate will submit, by June 1, copies of scholarly or artistic work and other materials that may be examined by outside reviewers, a statement of professional scholarly or artistic interests and plans, and any other materials that may be useful to outside reviewers. Candidates may update these materials at any time prior to September 1, although there is no guarantee that the new materials will be forwarded to the external reviewers. Candidates are encouraged to notify the committee of notable accomplishments achieved after the September 1 deadline, but such information will be treated as supplemental to the candidate's dossier. The remaining materials for the tenure review are normally due by September 1. The candidate is strongly encouraged to invite Lawrence faculty colleagues to review his or her tenure materials before submission to ensure that the materials present as clear and compelling a case as possible. However, members of the tenure committee that will be reviewing the candidate's materials may not provide specific advice or editorial assistance on those materials, although they may respond to questions about general procedural matters.

As part of its review, the Committee solicits, in memoranda made available to the candidate, written statements about each candidate from members of the Lawrence faculty. When appropriate, the Tenure Committee may solicit statements from former members of the Lawrence faculty who worked with the candidate in a department, who have observed directly the candidate's teaching, or whose teaching areas or professional interests are closely aligned with the candidate's. If the candidate for tenure is a member of the Faculty of the Conservatory of Music, the Committee may also consult the Dean of the Conservatory. The Committee normally does not further query individual faculty members about their statements, but it may request in writing additional written information from faculty whose statements raise questions that are material to the tenure review. The Committee may also seek feedback from faculty whom candidates have listed as having directly observed their teaching, but who did not report on such observation in a letter of evaluation.

The Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity evaluates each candidate's achievements and potential as a teacher, as a scholar or artist, and as a member of the Lawrence community. Insofar as possible, the Committee attempts to correlate the information in its various sources in order to identify patterns or tendencies in a candidate's performance. For each of the three categories, its members rely on their experience and sense of judgment to weigh the information and to evaluate a candidate's performance in accordance with the expectations and procedural guidelines described below. The Committee may examine relevant portions of the candidate's letter of appointment and of letters materially affecting the terms of appointment, the Provost and Dean of the Faculty's report on the reappointment review, any reply by the candidate to that report, and other material in the faculty portfolio to help it assess the candidate's progress and achievements. The Committee may also communicate directly with a candidate for the purposes of clarifying the candidate's record or informing the candidate of the progress of the review. Other contacts shall be limited to conversations at which the candidate, the Provost and Dean of the Faculty, and the Chair of the Committee shall all be present.

### Teaching

#### Expectations

First and foremost, Lawrence expects from its faculty excellence in teaching, and the tenure process reflects this priority. By the time of the tenure review, Lawrence faculty members are expected to demonstrate a sound knowledge of the discipline in which they teach, the ability to convey to students the subject matter of courses in an interesting and appropriate manner, and the ability and willingness to teach effectively courses at various levels. By this time faculty members are also expected to have become proficient in developing written assignments, examinations, laboratories, exercises, and other materials appropriate to each course and, further, to have demonstrated both effectiveness and high standards in the evaluation of students' work. By this time they are also expected to have proven their accessibility to students and proficiency as advisors. Participation in Freshman Studies is expected of candidates for tenure unless the Provost and Dean of the Faculty has granted a specific exception to this expectation.

### Information

In its evaluation of a candidate's teaching, the Committee draws insofar as possible from information such as the following:

1. Statements from faculty members who have observed a candidate's teaching, attended lectures given by the candidate or collaborated with the candidate in, for example, team-taught courses, rehearsals, seminars, and interdepartmental programs, or who have first-hand knowledge about the quality of a candidate's advising.
2. Statements from faculty members who have frequent and formal contact with the candidate's students; members of the candidate's department; members of the faculty who have observed directly the candidate's teaching; and, perhaps, others whose teaching or scholarly endeavors are closely aligned with the candidate's.
3. A self-evaluation that is the candidate's written assessment of his or her experiences and aims as a teacher at Lawrence. The self-evaluation should describe how the candidate has grown as a teacher during his or her time at Lawrence, and how he or she expects to develop in the future. The self-evaluation should address how the candidate has built upon perceived strengths and worked to overcome perceived weaknesses. The self-evaluation should include a statement of the candidate's pedagogical aims and methods and how they fit within the educational mission of Lawrence University and the broader mission of liberal education as a whole.
4. A copy of letters written by the President or a delegate, usually the Provost and Dean of the Faculty, informing the candidate of the results of any formal reviews of the candidate's teaching prior to the tenure review and, in cases where a candidate has replied, a copy of those replies.
5. The results of the "Survey of Student Opinion of Teaching." Early in its proceedings, the Committee sends to all of a candidate's previous Lawrence students for whom it can secure current addresses, a questionnaire which invites them to provide written statements on the candidate's strengths and weaknesses as a teacher and to provide numerical ratings in response to a few specific questions about the candidate's teaching.

### Evaluation

The principal goal of the Committee in this aspect of the tenure review is to develop a comprehensive assessment of the candidate's current teaching abilities and to come to a reasoned judgment about the candidate's potential as a teacher. In the process, the Committee may ask the following kinds of questions:

1. Is the candidate consistently prepared and conscientious in fulfilling

responsibilities as a teacher?

2. Does the candidate organize material clearly and present it in such a way that students who are unfamiliar with the field of study may attain a reasonable understanding and appreciation of it?
3. Does the candidate present material in such a way that students become interested in the subject matter and stimulated to learn about it? In short, is the candidate an interesting and stimulating teacher?
4. Does the candidate have a reasonable, timely knowledge of the subject matter? Does the candidate recognize the limits of that knowledge?
5. Is the candidate accessible to students, and does the candidate generally communicate a sense of that accessibility?
6. Is the candidate effective in various kinds of courses--in introductory courses, for example, as distinct from intermediate and advanced; in the studio as distinct from ensembles; in seminars or tutorials or individual lessons as distinct from lecture courses? Are differences significant enough to warrant noting?
7. Does the candidate seem able to relate the materials of courses both to the total discipline of which they are a part and to a reasonable range of other disciplines?
8. Does the candidate demonstrate integrity in teaching by presenting basic materials and variant interpretations with intellectual honesty, by judging students' work fairly, and by willingly entertaining reasonable, divergent points of view?
9. Does the candidate demonstrate effectiveness and high standards in the evaluation of students' work?
10. Is the candidate a conscientious and capable academic advisor?

To draw reasonable inferences about a candidate's teaching, the Committee looks especially for comments from colleagues and students about particular strengths and weaknesses in the candidate's teaching, for repeated themes, for evidence of change from one year to another, for points or signs of agreement or disagreement among responding students, and the like. Although students' comments may provide the Committee with extensive information, the Committee interprets those comments cautiously, in part because of the degree of subjectivity inherent in students' responses and in part because of the possibly disproportionate representation of strong views among returned questionnaires. The Committee does not, therefore, make inferences about a candidate's teaching merely from the frequencies of decidedly favorable and unfavorable comments from students.

Although the Committee may calculate frequencies of students' numerical responses to specific questions about a candidate's teaching as well as descriptive statistics, such as means and standard errors, the Committee does not make inferences about a candidate's teaching merely from descriptive statistics for the same reasons that it does not make inferences merely from the frequencies of student's favorable or unfavorable written comments. The descriptive statistics may be at one and the same time a convenient way to summarize numerically the general tenor of students' responses and to present systematically corroborating information about a candidate's teaching.

The Committee, when appropriate, organizes the descriptive statistics and written comments according to categories of courses or students. To construct these categories, the Committee takes account of the courses taught, the tenor of students' responses, and the other information that the Committee has about the candidate's teaching. The Committee may consider categories such as majors, nonmajors, current students, graduated students, courses taught before reappointment, courses taught since reappointment, introductory courses, advanced courses, studio courses, ensembles, extra-departmental courses, tutorials, and independent study.

The Committee treats students' written comments and numerical responses as it treats all other information on teaching: that is, it correlates information from its various sources to make a qualitative assessment of a candidate's teaching.

At the end of its deliberations, the Committee prepares a report appraising the candidate's strengths and weakness as a teacher to date and capacity for excellence in the future.

### Scholarship or Creative Achievement

#### Expectations

The University considers scholarship and creative achievements to be of value in their own rights. Such achievements are not only measures of a faculty member's continuing involvement in a field of study or performance, but also sources of curricular strength and renewal for the institution. In recognition of the broad range of professional activities in which faculty members may appropriately engage, the University considers as scholarly or creative work such artistic endeavors as a musician's performances or a curator's exhibitions, and such materials as articles, essays and monographs, original computer software, paintings, sculptures, interpretive anthologies and textbooks, films and videos, and developed and developing manuscripts and compositions. Although the focus of each faculty member's intellectual and artistic pursuits may be unique, the expectation that every Lawrence faculty member will maintain such pursuits is uniform.

By the time of the tenure review, a candidate is expected to have demonstrated a serious, ongoing, and documentable commitment to scholarly or creative achievement, past achievements that are above average by the standards of the discipline and that give long-term promise of significant future achievements, and integrity in the pursuit of such achievements. More specifically, by the time of the tenure review, a candidate should have established an area or areas of scholarship or creative activity compatible with the

facilities, resources, and time available to members of the Lawrence faculty and should have produced results beyond the doctoral dissertation or its artistic equivalent—results that can be submitted for outside review. In most cases these results take the form of scholarly publications or recognized artistic works (or reproductions thereof in some instances of artistic work); but at the very least, tangible evidence of ongoing scholarly or creative activity, such as manuscripts or artistic works in progress, is a prerequisite for tenure. Candidates may submit scholarly or creative work, whether completed before or after their arrival at Lawrence University, but the Committee will place particular weight on work completed after the candidate's employment at Lawrence University. Thus an unpublished and largely unrevised doctoral dissertation or its artistic equivalent, which does not constitute tangible evidence of ongoing scholarly or creative activity conducted while at Lawrence, is not normally included in the tenure review. But a revised dissertation submitted or accepted for publication while at Lawrence qualifies as work “beyond the doctoral dissertation” and may be included in the review. Even so, candidates may find it appropriate to submit scholarly or creative work that was completed prior to their arrival at Lawrence if, for example, such work provides a larger context in which work completed at Lawrence might be evaluated.

The University sets no rigid quantitative requirements for scholarly or creative achievements by a candidate for tenure. The University recognizes that in some disciplines the norm for professional achievement may be a series of articles, some rather short, on related topics, while in other disciplines the norm may stress one or a few large works, perhaps a book or a lengthy musical composition. Just as scholarly or creative norms may vary from one to another discipline, so too may facilities, resources, and time vary among faculty. Nonetheless, the University expects from all its faculty at the time of the tenure review a documentable commitment to scholarly or creative achievements in the future and tangible evidence of past achievements.

### Information

To aid the Committee in its evaluation of the candidate's scholarly or creative activities and promise of future contributions, the candidate provides evidence of professional achievements such as books, editions, articles, original computer software, papers read at professional meetings, formal lectures delivered at Lawrence or other institutions, and manuscripts or artistic works in progress. For candidates in such areas as theater, music, and studio art, evidence of professional achievement should be as close as possible to the original work or live performance. Because the focus of evaluation is scholarly or creative achievement performed in the context of the facilities, resources, and time available to a Lawrence faculty member, the Committee normally places the greatest weight on scholarly or creative work completed after a candidate's employment at Lawrence University.

In its evaluation of scholarly or creative achievements, the Committee may draw on information such as the following:

1. Statements from members of the faculty who have direct information about the extent to which the candidate satisfies the general expectations for tenure—such as the candidate's commitment to scholarly or creative achievement or integrity in the pursuit of such achievements.

2. Statements from faculty members who have read the candidate's scholarly or creative work—or in other ways evaluated the creative work—and whose professional credentials qualify them to write critically about it. Normally, a candidate's departmental colleagues and others whose professional interests are similar to the candidate's evaluate the work, which the candidate is to make available to them.
3. A *curriculum vitae* that lists the candidate's scholarly or creative achievements, including the following: reviews of and notices of the candidate's works or performances, prizes and fellowships awarded in recognition of professional accomplishments, and journals and presses for which the candidate has refereed scholarly or creative works and a list of the subjects of those works.
4. A self-evaluation—a statement by the candidate describing his or her professional interests and scholarly or artistic agenda. The self-evaluation should describe any scholarly or creative work completed prior to the candidate's employment at Lawrence as context for work the candidate has undertaken during his or her time at Lawrence, and how he or she expects to expand upon or develop their scholarly or creative work in the future. It is important that candidates demonstrate not only significant development as scholars or creative artists, but also strong evidence that they can be expected to continue an active program of scholarship or creative work in the future. The self-evaluation should include a statement of how the candidate's scholarly and creative work fits within the educational mission of Lawrence University and the broader mission of liberal education as a whole.
5. A copy of letters written by the President or a delegate, usually the Provost and Dean of the Faculty, informing the candidate of the results of any formal reviews of the candidate's professional achievements prior to the tenure review, and in cases where the candidate has replied, a copy of those replies.
6. The written assessments of the candidate's scholarly and creative achievement and promise obtained from outside reviewers in the candidate's profession.

### Evaluation

To help the Committee develop a comprehensive assessment of the quality of a candidate's professional work and come to a reasoned judgment about future promise, materials bearing on the candidate's scholarly or creative achievements are submitted normally to four qualified reviewers from outside the University. These materials characteristically consist of the following: the *curriculum vitae*, the evidence itself of scholarly and creative achievements, and when appropriate the candidate's written self-assessment.

The Committee seeks names of prospective reviewers for the candidate's work from sources that it identifies as appropriate for each candidate—typically prestigious journals, notable institutions, prominent scholars, or outstanding professionals. To identify such sources, the Committee may seek the aid of members of the faculty, professionals outside Lawrence, and the candidate. Any candidate who so desires may identify three unacceptable reviewers by submitting a sealed list of their names to the Committee. Before the Committee identifies its prospective reviewers, it unseals the list and eliminates from consideration any names on that list.

The Committee selects as outside reviewers persons of high standards who are likely to appreciate the context in which the candidate works—a liberal arts college or a conservatory in association with a liberal arts college—and, normally, who are not known personally to the candidate except insofar as their acquaintanceship has been the result of infrequent professional interaction.

Where appropriate—as on occasion it may be in cases of candidates in theater, music, or art—the Committee may bring outside reviewers to the Lawrence campus, or otherwise arrange for them to review in person a candidate's works. In such cases, as in others, the Committee will not make known to the candidate the names of outside reviewers.

The Committee asks outside reviewers to evaluate each piece of a candidate's work for its professional quality, not in terms of expectations for tenure at their own institutions. Reviewers are asked to rate each work by the most rigorous professional standards as excellent, above average, average, below average, or poor; to assess the strengths and weaknesses of those works; to place them in context by comparing their quality to the quality of work done by others at similar stages in their careers; and finally to make as informed a judgment as possible about the candidate's prospects for continued professional growth and for productivity of high quality. Reviewers are also asked to make comments, when appropriate, on the candidate's scholarly or creative self-assessment and *curriculum vitae*.

In their readings of the outside reviewers' written statements, the members of the Committee do not look only to the reviewers' ratings. They look as well for comments about particular strengths and weaknesses, for repeated themes, for evidence of change from one year to another, and for points or signs of agreement or disagreement among reviewers.

The Committee treats the reviewers' statements as it treats all of its other information: that is, it correlates information from its various sources to make a qualitative assessment of a candidate's scholarship or creative work.

In order to develop a comprehensive assessment of the quality of the candidate's professional work and come to a reasoned judgment about future promise, the Committee may ask the following kinds of questions:

1. Does the candidate have an ongoing and well defined area of scholarship or artistic endeavor?

2. On balance, are past scholarly or artistic achievements above average by the standards of the discipline and consistent with the standards of Lawrence University?
3. Has the candidate produced scholarly or artistic work beyond that done to obtain the terminal degree?
4. Does the candidate disseminate the results of his/her scholarship or artistic work to others in the field? What is the significance of the venue of dissemination?
5. Does the candidate have a clearly articulated plan for future activities that are compatible with the facilities, resources, and time available to Lawrence University faculty in his/her position?
6. Does the scholarly or artistic agenda demonstrate the potential for excellence?
7. Does the candidate make his/her scholarly or artistic work accessible to the Lawrence University community through, for example, curricular innovation, upper level courses, independent studies, presentations, exhibitions, or performances?
8. Where appropriate, does the candidate collaborate with students in the pursuit of scholarship or artistic expression?

At the end of its deliberations, the Committee prepares a report appraising the candidate's scholarly and creative achievement to date and promise for the future.

### Community Service

#### Expectations

For the University to prosper as a community of scholars and artists, it must rely upon faculty members for contributions to the life of the University beyond their individual courses and scholarly or artistic endeavors. Such community service is rendered in part to a faculty member's own academic department in contributions to curricular stability and change, in discourse on matters of common professional interest, and in the helpful discharge of routine departmental business. Within the University as a whole, a candidate provides community service when participating in interdisciplinary programs, sharing professional interests with members of the community, effectively fulfilling routine or special committee assignments, and ably performing other responsibilities, both routine and unusual, to the many programs and offices of the University.

The notion of community service extends also to the broader professional community to which a faculty member belongs. This category of community service

includes the organization of conferences, clinics, seminars, exhibitions, and workshops; leadership in professional organizations; professional competitions for which the candidate has served as judge or juror; and professional assistance to corporations, nonprofit institutions, and governmental agencies. Service to the Lawrence community, in short, extends to all constituencies that Lawrence serves through its many programs as well as to all professionally related activities that reflect credit on the University.

Although service rendered to the Lawrence community will vary in kind and emphasis for each faculty member, a faculty member at the time of the tenure review is expected to have a record of community service—both in substance and in spirit—that gives every reasonable indication of future beneficial community service. In all cases, the University expects members of its faculty to exercise integrity in their service to the community and to demonstrate a commitment to reasoned discourse, which is necessary for fruitful exchanges among colleagues and between teachers and students.

### Information

In its evaluation of a candidate's community service, the Committee draws insofar as possible on information such as the following:

1. Statements from members of the faculty who have direct information about the substance and spirit of the candidate's service to the various programs and offices of the University.
2. Statements from faculty who are qualified to evaluate the way that the candidate meets current and future departmental needs and those of related or interdisciplinary programs.
3. The record of the candidate's community service-related activities and interests as detailed, for the most part, in the candidate's *curriculum vitae*.
4. A self-evaluation that is the candidate's written assessment of past community service and of plans for future service to the Lawrence community. The self-evaluation should not be simply a list of service activities, but rather describe how the candidate's community service fits within his or her professional life as well as how it serves the educational mission of Lawrence University and the broader mission of liberal education as a whole.
5. A copy of letters written by the President or a delegate, usually the Provost and Dean of the Faculty, informing the candidate of the results of any formal reviews of the candidate's service to the Lawrence community prior to the tenure review and, in cases where the candidate has replied, a copy of those replies.
6. When appropriate, statements from people outside the University familiar with the candidate's activities.

## Evaluation

The Committee seeks to develop a comprehensive assessment of the candidate's community service to date and to make a reasoned judgment about the likely benefits to the University from the candidate's service in the future. In the process, the Committee may ask the following kinds of questions about the candidate's departmental service.

1. Has the candidate demonstrated the willingness and ability to develop courses that meet current and future departmental needs?
2. Has the candidate reliably carried an appropriate share of the work load within the department?
3. What is the candidate's capacity for cooperation? Does the candidate work effectively within the department as a teacher and as a scholar or artist?

To appraise the candidate's community service beyond the department, the Committee may ask the following kinds of questions:

1. What contributions, if any, has the candidate made to the work of others outside the department?
2. Has the candidate demonstrated the willingness and ability to develop interdisciplinary courses or programs that meet the University's current or future needs?
3. Has the candidate reliably and effectively carried out University committee assignments or similar duties?
4. Within the limits imposed by teaching responsibilities and scholarly or creative goals, has the candidate been reasonably helpful to the University's programs and offices?
5. Does the candidate indicate a willingness to participate in the open exchange of opinion and knowledge? Is the candidate committed to reasoned discourse? Such a commitment does not, of course, preclude the expression of differences of opinion, however candid, persistent, or forceful.
6. What contributions has the candidate made to his or her professional community, and do the candidate's professionally related activities outside the University reflect credit on it?
7. Does the candidate demonstrate those qualities—foremost among them, integrity—that enable colleagues to have confidence in one another and to pursue common goals with mutual respect?

The Committee makes a qualitative assessment of the candidate's community service, correlating the information from its various sources to appraise community

service to date and the capacity for beneficial community service in the future, and prepares a report expressing that appraisal.

### Ratings of Candidates and Recommendations on Tenure

On completion of its evaluation of each category of a candidate's performance—teaching, scholarship or creative achievement, and community service—the Committee rates each candidate in the following manner:

- A. Teaching. On the basis of the evidence before it, the Committee rates the candidate by a positive or negative response to the following question: does the candidate's teaching demonstrate a high level of competence and effectiveness, and does it indicate the capacity for excellence in the future?
- B. Scholarship or Creative Achievement. On the basis of the evidence before it, the Committee rates the candidate by a positive or negative response to the following question: have the candidate's past scholarly or creative achievements been above average with regard to the standards of his or her discipline or field, and does the candidate offer the promise of significant future achievements?
- C. Service. On the basis of the evidence before it, the Committee rates the candidate by a positive or negative response to the following question: has the candidate's community service been of significant benefit to the University, and does the candidate give convincing evidence of significant beneficial service in the future to his or her department, to the University as a whole, and to the professional community?

Each rating is made by a formal vote of the Committee, and a majority vote is sufficient to determine a rating. Having rated a candidate in each of the three categories, the Committee then proceeds to determine its overall recommendation. Determination of the Committee's final recommendation is governed by the following provisions:

- (a) If there has been a negative rating in any category, the committee does not take a final vote, and returns to the President a negative overall recommendation on tenure.
- (b) Favorable ratings by the Committee in each of the three categories requires a final vote by the members of the Committee on the following question: has the candidate met or exceeded the criteria required for the award of tenure, as stated in the Tenure Guidelines? Although a favorable rating by the Committee in each of the three categories is required for a candidate to be recommended for tenure, favorable ratings in all three categories do not guarantee a favorable recommendation overall. The votes of individual committee members are informed but not constrained by either their individual votes or the Committee's ratings in each of the three categories. A majority vote is sufficient to determine the overall recommendation to the President.

In all its deliberations, the Committee evaluates candidates on their own merits and makes no comparisons among candidates under consideration.

#### The Report of the Tenure Committee

The Committee prepares a written report on each tenure candidate and initiates a process, described below, that culminates in the submission of the report to the President. The report includes the Committee's recommendation on tenure, its votes in each of the three categories plus its summary vote—all reported as unanimous or majority—and a statement explaining each vote. Each statement should consist of a succinct summary of strengths and weaknesses and a one-paragraph summary of the committee's judgment in that category. The report is signed by each member of the Committee, but it does not include the personal votes or comments of Committee members. If two members dissent, a minority report may be filed as a supplement to the main report.

The Committee submits the report, along with all of the evidence and data it has gathered during the course of the review, to the Provost and Dean of the Faculty by the end of the third week of the second term of the academic year. The Provost and Dean of the Faculty promptly transmits a copy of the report to the candidate and, if appropriate, to the Dean of the Conservatory. At the same time, the Provost and Dean of the Faculty also makes available to the candidates summaries of the information gathered in student surveys and summaries of the comments of outside reviewers (unless a reviewer has requested otherwise). All other information gathered in the course of the review will be kept confidential. On receipt of the report, the candidate may meet with the Provost and Dean of the Faculty (and, if appropriate, the Dean of the Conservatory) to discuss the Committee's recommendation.

Candidates wishing to respond in writing to the Committee's report must submit their response to the Provost and Dean of the Faculty within two weeks of receiving the report. If the candidate chooses to respond to the Committee's recommendation, the Provost and Dean of the Faculty promptly transmits to the Committee a copy of the response and any supporting materials or information submitted by or on behalf of the candidate. A response from the candidate is not required. If the candidate chooses not to respond, the Provost and Dean of the Faculty transmits the Committee's report to the President no more than two weeks following the due date of the response.

On receiving a response from a candidate, the Committee reviews the response and decides whether to sustain or revise its original recommendation. In either case the Committee prepares a codicil to its original report and submits the codicil to the Provost and Dean of the Faculty no more than two weeks after receiving the candidate's response. The Provost and Dean of the Faculty promptly transmits to the candidate a copy of the codicil and to the President the Committee's report, along with all of the evidence and data gathered during the course of the review, the candidate's response and supporting materials, and the codicil to the Committee's report. During the period of reconsideration, the President's review of the candidate is held in abeyance.

In all cases, the President promptly notifies the candidate of his or her receipt of the Committee's final recommendation, at which point the candidate may request a meeting with the President. Following a meeting with the Tenure Committee, during which there is an opportunity for the President and the Committee to discuss the context of the Committee's recommendation, the President prepares his or her recommendation in consultation with the Provost and Dean of the Faculty and, when appropriate, the Dean of the Conservatory. If the President's recommendation differs from that of the Committee, the President shall meet with the Committee for a second time, prior to communicating his or her decision to the candidate, to indicate the basis for the decision.

The President's final recommendation on tenure shall be communicated in writing to the candidate, and copied to the department chair, the chair of the Tenure Committee, the Provost and Dean of the Faculty, and, if appropriate, the Dean of the Conservatory, no later than six weeks after the candidate's reception of the Committee's report. The candidate may meet with the President and the Provost and Dean of the Faculty (and, if appropriate, the Dean of the Conservatory) to review the report, the ratings, the Committee recommendation, and the President's final recommendation.

## *VI. Appeals of Reappointment and Tenure Decisions*

Candidates for reappointment or for tenure may appeal decisions when they believe stated procedures for evaluation have not been followed properly; when they believe their academic freedom has been violated; or when they believe the decision was materially affected by impermissible discrimination on the basis of race, gender, religion, national origin, or sexual orientation. Candidates have two weeks after receipt of the President's

written decision to notify the President in writing of their intention to appeal the decision, and one calendar month after sending such notification to send a written appeal, including a full explanation of the basis for the appeal, to the President.

The President will send each appeal of a decision on reappointment or tenure to an Appeals Committee made up of three members of the faculty who have served on the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity but who are not members of the appellant's department and who have not considered the appellant's candidacy in the decision being appealed. Once in receipt of the appellant's written notification of intention to submit an appeal, the President shall direct the Secretary of the Faculty to select an Appeals Committee by lot from among the eligible members of the faculty.

The Appeals Committee will review the candidate's written appeal, the President's written decision, and the report to the President on the candidate's case by the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity. The Appeals Committee will direct written interrogatories to the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity regarding the appellant's claims of procedural failures, violation of academic freedom, or impermissible discrimination. The two committees will then meet together so that the Appeals Committee may have answers to those interrogatories and explore further questions. The Appeals Committee may also interview the candidate and the President. Within one calendar month of receiving the appeal, the Appeals Committee will report in writing to the President its finding upon the appeal, including an explanation of the extent, if any, to which it has found that the original decision was materially influenced by a violation of academic freedom; a failure properly to follow stated procedures for evaluation; or impermissible discrimination on the basis of race, gender, religion, national origin, or sexual orientation. The Appeals Committee will not evaluate the appellant's candidacy for reappointment or tenure.

The final decision on all appeals of reappointment and tenure decisions rests with the President, who will send a written statement of that decision to the candidate no later than two weeks after receiving the report of the Appeals Committee. In most cases, a successful appeal of a negative decision will result in a candidate's eligibility to go through the reappointment or tenure process anew the following year.

### Promotion

#### Assistant Professor

Normally, persons with the highest advanced degree in their field will be appointed initially as Assistant Professors. Persons hired without such a degree will be appointed at the rank of Instructor; promotion to Assistant Professor occurs automatically when a faculty member completes the degree. New faculty members in the Conservatory are normally appointed as Instructors or Assistant Professors, depending on experience and

qualifications. For those appointed as Instructors, promotion to Assistant Professor occurs automatically after a successful review for reappointment.

#### Associate Professor

The criteria for promotion to the rank of Associate Professor are identical to those which govern tenure decisions. Assistant Professors who receive tenured appointments are simultaneously promoted to the rank of Associate Professor.

#### Full Professor

With promotion to the rank of full Professor, the University recognizes those faculty members who demonstrate continuing and effective service to the University, and whose teaching, scholarly or creative achievements, and service to the community merit the distinction the rank connotes. Promotion to full Professor is an honor that the institution bestows upon faculty who have distinguished themselves among their peers, both at Lawrence and elsewhere; it is not a reward for length of service.

The University recognizes the diversity of career paths that faculty members may appropriately follow; different individuals demonstrate growth, vitality, and excellence in different ways. Accordingly, the evaluation of candidates for full Professor presumes a flexible application of the criteria for teaching, scholarship, and community service in each individual case. Candidates for promotion to full Professor must, at a minimum, have attained a level of distinction that realizes the potential shown, at the time of the tenure review, for future excellence in teaching, for significant future scholarly or creative achievements, and for significant beneficial service in the future to his or her department, to the University as a whole, and to the professional community.

Though the University has no formal schedule for review of candidates for promotion to full Professor, the presumption and practice are that candidates for promotion to full Professor will have served in tenured appointments for at least six years. Exceptions will be based only on evidence of extraordinary achievement warranting early consideration.

Faculty members are encouraged to consult at any time with the Provost and Dean of the Faculty about the level of their preparedness for promotion. Reviews for promotion to full Professor are normally begun in the fall term of the academic year. The deadline for submission to the Provost and Dean of the Faculty of all of the candidate's materials for the review is October 15. The expectation is that any positive recommendation for promotion to full Professor will be presented by the President to the Board of Trustees in the spring term of the same academic year.

The Provost and Dean of the Faculty, in consultation with the President, identifies those Associate Professors whose achievements and time in rank suggest that a review for promotion would be appropriate. Faculty members may, alternatively, forward their own candidacy or recommend the candidacy of others. Nominations of colleagues or applications for review for promotion to full Professor must be received by the Provost and Dean of the Faculty no later than the end of the academic year (i.e., by Commencement) prior to the academic year in which the proposed review would occur. After a discussion with the candidate of the candidate's record and the procedures of the review, the Provost and Dean of the Faculty determines the appropriateness of proceeding with a review for promotion. The decision to initiate a review does not in itself predict a favorable outcome, and a faculty member may decline to proceed with a review of his or her candidacy.

The Provost and Dean of the Faculty administers reviews for promotion to full Professor. The Provost and Dean of the Faculty invites each candidate to submit supporting materials, including:

- a current curriculum vitae
- a written statement of the candidate's achievements and plans as a teacher
- a written statement of the candidate's achievements and plans as a scholar or artist
- a written statement of the candidate's community service at Lawrence
- copies, to be submitted to at least three, and preferably four outside reviewers, of the candidate's scholarly publications and professional presentations not otherwise published, and/or of evidence of the candidate's artistic achievements, with those produced since the candidate's tenure review identified (copies of these materials are also to be made available by the candidate for review by members of the Faculty)
- course evaluations completed by students in courses the candidate has taught since receiving tenure
- the most recent versions of syllabi for all courses taught by the candidate since receiving tenure

The Provost and Dean of the Faculty administers a survey of student opinion of the candidate's teaching and advising based on the solicited responses of a substantial proportion of the students taught by the candidate at Lawrence since the candidate was reviewed for tenure, reviews the candidate's reports on all sabbatical and other leaves taken since the candidate received tenure, and arranges for the review of the candidate's scholarly or artistic achievements by outside reviewers (selected by the Provost and Dean of the Faculty, in consultation with the Tenure Committee, according to the procedures outlined for the tenure review, page III.15). The Provost and Dean of the Faculty also solicits the written comments and advice of all members of the candidate's department, of all other faculty members who are full professors, and, with the candidate's approval, other tenured faculty with whom the candidate has worked closely.

The Provost and Dean of the Faculty makes available to the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity all materials gathered in the review and then solicits the Committee's recommendation. This, along with the Provost and Dean of the Faculty's recommendation and all materials collected in the review, the Provost and Dean of the Faculty submits to the President, who decides whether to recommend the promotion to the Board of Trustees.

In preparing its recommendation, the Committee examines each candidate using the criteria for tenure and asks the following question: Has the candidate's performance in the time period since being awarded tenure been at such high level that tenure would be awarded again, at this point in time? If the answer to this question is affirmative, then the Committee moves on to consider the candidate for promotion.

As stated above, candidates for promotion to full Professor must demonstrate that they have realized the potential shown, at the time of the tenure review, for future excellence in teaching, for significant future scholarly or creative achievements, and for significant beneficial service in the future to their department, to the University as a whole, and to their professional community. In measuring excellence in teaching, the Committee looks for evidence that the candidate not only has mastered the mechanics of teaching and advising but also is committed to continued growth in these areas. In measuring significant scholarly or creative achievements, the Committee looks for evidence that the candidate has achieved ongoing scholarly or creative work at a level expected of a faculty member at a nationally respected undergraduate institution. In measuring significant beneficial service to the department, to the University, and to the discipline, the Committee looks for evidence that the candidate not only contributes regularly and meaningfully to these communities but has also assumed leadership roles in one or more of them.

Having weighed the supporting evidence, the Committee asks itself the following question: In the time period since being awarded tenure, has the candidate met the expectation for continued growth—in the areas of teaching, scholarship or creative achievement, and community service—to a degree that warrants promotion to full Professor? The Committee transmits its response to this question, in the form of a recommendation to either offer or deny promotion, along with a brief rationale explaining the recommendation, to the Provost and Dean of the Faculty.

Associate Professors who are reviewed for promotion to the rank of Professor are notified in writing by the Provost and Dean of the Faculty of the results of the review. Faculty members who are reviewed for promotion to the rank of Professor but do not receive the promotion are eligible to be reviewed again for such a promotion after three full academic years have elapsed since the unsuccessful review. The Provost and Dean of the Faculty will provide Associate Professors who are not promoted with a written explanation of reasons for the unsuccessful review.

### Endowed Professorships

An endowed professorship is a distinction awarded by the university to a tenured faculty member in recognition of past, and continued potential for, original contributions to the individual's academic discipline, excellence in teaching, and service to Lawrence University. In addition to the academic honor given to the individual, an endowed professorship provides funding for support of his or her teaching, research, and service responsibilities by providing salary and benefits as well as professional development support on an annual basis.

In addition to salary and benefits, professorship holders will receive an annual spending account of \$2500 to support their teaching and scholarship/creative activity. The funds for this account are meant to be used within a fiscal year, and may not accrue for more than two fiscal years.

With the honor and privilege of an endowed professorship comes responsibility. Professorship holders are expected to accept the following responsibilities for budgeting, reporting, and stewardship:

*Budgeting* - An annual budget for the expenditure of the associated spending account should be presented to the Provost and Dean of the Faculty for review and approval in advance of each fiscal year. The income from the endowment is unencumbered, except that it must be used in accordance with university policy, in support of teaching and research within the academic program, or as otherwise stated in the gift agreement.

*Reporting* – At the end of the academic year, each professorship holder shall submit annually to the Provost and Dean of the Faculty a brief narrative describing his or her academic activities that were supported with endowment funds. The Provost and Dean of the Faculty office will forward a copy to the Office of Alumni and Constituency Engagement. These narratives should be retained by the administrative offices for use in preparing special reports on endowed professorships that may be required at a later date.

*Stewardship* - Professorship holders shall confer annually with the Office of Alumni and Constituency Engagement to communicate with the professorship sponsor. Examples of stewardship activities may include writing an annual letter informing the sponsor of teaching/scholarship/creative activities, sending copies of any publications or works, or inviting the sponsor to presentations such as Lunch at Lawrence or Alumni events.

### Selection

The President will confer with the Provost and Dean of the Faculty to identify faculty who may be appointed to a professorship. Final selection will be done in consultation with the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity. Pursuant to the endowment description, faculty will be chosen based on recognition of past, and continued potential for, original contributions to the individual's academic discipline, excellence in teaching, and service to Lawrence University.

Appointments are expected to be career appointments, however professorship holders will be asked to submit renewal proposals every 5 years.

### Renewal Proposals

Renewal proposals will be submitted to the President and Provost and Dean of the Faculty, every 5 years. Proposals should include the following materials:

- Current CV
- Updated statement of teaching philosophy
- Updated statement of professional development plans
- Statement of service from the holder's last 5 annual reports

Renewals will be approved by the President, in consultation with the Provost and Dean of the Faculty.

### Retirement

In keeping with the provisions of federal law and Wisconsin law, Lawrence has no mandatory retirement age for faculty members or for staff.

### Emeritus Status

A Lawrence faculty member with ten years of continuous full-time service and a tenured appointment attains emeritus status on retirement at age 62 or thereafter. The rights and privileges accorded emeriti faculty include the following: attendance at all University functions—lectures, concerts, plays, films, athletic events, etc.—on the same basis accorded all faculty; participation in academic processions and other ceremonial occasions; subscriptions to University publications and receipt of weekly and monthly events calendars; a listing in the University staff directory; the use of a University mailing address and a faculty mail box; the right to audit classes at no cost; and full use of the University library and recreational facilities.

Requests for office space or use of University computing facilities should be directed to the Provost and Dean of the Faculty.

### Notices of Non-Reappointment

The University employs the following guidelines in giving notice of non-reappointment to untenured members of the faculty who hold renewable appointments:

1. Notice of non-reappointment for the following academic year will be given no later than March 1 of the first academic year of service.

2. Notice of non-reappointment for the following academic year will be given no later than December 15 of the second academic year of service.
3. Notice of non-reappointment for a faculty member who has been employed at the University for two or more full academic years will be given at least twelve months before the expiration of the contract.

### Resignations

Faculty members who intend to resign their appointments at Lawrence are expected to notify the Provost and Dean of the Faculty as soon as possible after a decision to resign is made, but no later than May 1.

### Dismissal

Faculty members may be dismissed from Lawrence University for inability to perform normal duties, for adequate cause, for discontinuance of a program or department, or for reasons of financial exigency at the University.

1. Termination for reasons of **inability to perform normal duties** will usually involve clear and documented medical reasons that the faculty member cannot continue to fulfill the terms and conditions of appointment. In the event that prolonged or frequent absences due to illness prevent a faculty member who is on a fixed-term contract from effectively performing his or her responsibilities, the University may terminate that faculty member's contract. The University will continue the terminated faculty member's salary for a period of six months. If a faculty member holding a tenured appointment is unable because of illness to perform his or her responsibilities for a period of two years, or if frequent and prolonged absences extend over a period of two or more years, the University may terminate the faculty member's employment with the University. A faculty member on tenure thus dismissed may be eligible for disability income benefits under the University's disability income plan. If not, the faculty member will receive severance pay of one year's salary.

A faculty member who wishes to challenge such a decision to terminate may ask that an *ad hoc* faculty committee, consisting of three members of the faculty who have served on the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity but not including any member of the same department as the person challenging the decision, review the evidence and recommend a course of action to the President. Once in receipt of such a request, the President shall direct the Secretary of the Faculty to select such a committee by lot from among eligible members of the faculty. The President will consider the report of the Appeals Committee before recommending action to

the Board of Trustees and shall convey the report to the Board along with that recommendation.

2. Dismissal for **adequate cause** pertains to faculty members deemed unfit to carry out their professional responsibilities. Moral turpitude, intemperance, disregard for the academic freedom of colleagues or students, or failure to meet, or neglect of, stated expectations and obligations or other professional responsibilities illustrate the kinds of grounds that constitute adequate cause for dismissal.

When persuaded that there are grounds to dismiss a faculty member for adequate cause, the President will discuss the matter with the individual and seek a mutually agreeable settlement. If no settlement is reached, the President will convey to the faculty member a written statement prepared in consultation with the Provost and Dean of the Faculty, and possibly others, detailing the grounds for the proposed dismissal and the President's intention to bring that matter to the Board of Trustees.

The faculty member may appeal for a formal hearing before an *ad hoc* committee consisting of three members of the faculty who have served on the Committee on Tenure, Promotion, Reappointment, and Equal Employment Opportunity, but not including any member of the same department as the person making the appeal or any member of the faculty who has been an official party to a previous grievance or appeals procedure or hearing in which the appellant was a principal. Once in receipt of a written appeal for a hearing from the faculty member, the President shall direct the Secretary of the Faculty to select a hearing committee by lot from among eligible members of the faculty.

In the hearing, the individual will be apprised of the evidence against him or her and will have the opportunity to present his or her own case, to offer evidence on his or her own behalf, and to be represented by counsel. University Counsel will be present at the hearing to advise the committee. If the appellant is represented by counsel, University Counsel will actively represent the University in the hearing. The hearing committee may interview the President or the President's designee as to the reasons for the dismissal. All testimony will be recorded. After a formal hearing, the committee will reach a judgment on the merits of the appeal on the basis of the evidence. It will communicate its judgment to the President and the faculty member. The President, in turn, will submit the full report of the committee to the Board of Trustees for final action. If the Board does not sustain the committee's judgment, it will provide reasons to the committee, and the committee will reconsider its judgment. Only after such a reconsideration is submitted to it will the Board render its final decision.

In the case of dismissal for adequate cause, the University will assume no obligation for the individual's salary and benefits beyond the end of the month in which the dismissal notice is given. If the President deems it necessary, he or she may suspend the individual with pay pending the outcome of the case.

3. Termination for reasons of **discontinuance of a program or department** will follow the appropriate review and discussion of the long-range educational implications of the discontinuance for the institution. Such decisions will be rendered by the President, with the approval of the Board of Trustees, after consultation with individual faculty members and the Faculty Committee on University Governance. The University will make every effort to place an individual whose position is thus terminated in another suitable position in the institution or, if such placement is not possible and the individual is tenured or has a multi-year contract, the University will provide severance pay of one year's salary.

4. **Financial exigency of the University** constitutes grounds for termination of any position at any time. Should the President determine, with the consent of the Board of Trustees, that the conditions for declaring financial exigency obtain, he or she will review both the conditions and the decision with the Faculty Committee on University Governance. The President may seek advice from the Faculty Committee on University Governance in developing criteria for determining where terminations should be made. Persons on tenure or multi-year appointments thus terminated will be given severance pay of one year's salary. No person thus terminated will be replaced within three years unless that person is first offered reinstatement.

### **Sabbaticals and Leaves of Absence**

#### Sabbaticals

Expectations and Applications: The Lawrence University plan for sabbatical leaves is designed to encourage and support the scholarly, artistic, and pedagogical development of faculty members by providing them unencumbered time for scholarly study, research, writing, and artistic endeavor. While sabbatical leaves are normally accorded members of the faculty who apply, they are not automatic.

To apply for sabbatical leave, faculty members complete an application form, explaining the activities they intend to pursue during the sabbatical and providing sufficient information to evaluate the proposal. The form is available in all academic buildings and from the office of the Provost and Dean of the Faculty. Normally, completed applications are due in the Office of the Provost and Dean of the Faculty by December 15 in the academic year preceding the year in which the leave is to be taken.

Before approving applications, the Provost and Dean of the Faculty consults department chairs (or the Dean of the Conservatory for Conservatory faculty members) about the likely impact of the temporary absence of the applicants upon the curriculum. The success of the sabbatical program depends on the flexibility of both attitudes and arrangements within departments and among individuals. The plan presumes that the

University will not normally replace faculty members on sabbatical, and that faculty members on sabbatical for less than a full academic year will be replaced only in the most extraordinary circumstances. Departments should therefore make multi-year plans for curricula to avoid bunching of sabbaticals, and they should examine carefully the need for the perennial offering of some courses. The sabbatical program encourages this flexibility.

Following a sabbatical leave, a faculty member must submit a report on his or her accomplishments during the leave. She or he must return to the University for at least one term for every term of sabbatical leave taken unless the University has approved an exception to this policy requested as part of the application for sabbatical leave.

Eligibility: Tenured members of the faculty earn eligibility for sabbatical leaves of three terms after six years (eighteen terms) of full-time teaching. Faculty members who receive tenure in their sixth year take their first sabbatical leave as tenured faculty members during the eighth year of service, though the Provost and Dean of the Faculty may grant exceptions to this policy should institutional considerations warrant them. Faculty members who receive tenure before their sixth year of service normally become eligible for their first sabbatical as tenured faculty members in their seventh year. The three terms of sabbatical leave must be taken sometime during the seven academic years following the acquisition of eligibility: faculty members may not accumulate sabbatical eligibility beyond this period. In effect, once eligibility is first established, a faculty member will be expected to teach at least eighteen terms of each block of twenty-one terms until retirement or resignation; that is, the teaching of a succeeding eighteen terms creates eligibility for another sabbatical of three terms' duration, which may be taken during the seven years following, and so on. Tenured faculty members need not take a sabbatical immediately upon becoming eligible in order to begin acquiring eligibility for their next, though they must, at some time during the seven-year period after they have acquired eligibility, take the three terms or forfeit those not taken, unless the postponement serves the convenience of the University.

Assistant Professors who have not yet been reviewed for promotion to associate professor with tenure are eligible for one term of sabbatical leave if they have been successfully reviewed for reappointment to a second contract. This leave may be taken during the fourth or fifth year of service in a tenure-line position. Applications for the sabbatical may be submitted to the Provost while the reappointment review is in process, but eligibility is contingent upon a positive reappointment decision. Sabbatical leaves for assistant professors will not delay the tenure review, nor will they affect eligibility for sabbatical leave as tenured faculty members. Applications for pre-tenure sabbaticals must be submitted no later than the end of the first week of the Winter Term of the academic year preceding that in which the leave is to be taken.

Level of Support: Faculty members receive 70 percent of their academic salary during the term or terms in which a sabbatical is taken. Thus, someone taking a full-year sabbatical will receive 70 percent of annual academic salary for that year ( $70\% + 70\% + 70\%/3 = 70\%$ ); a faculty member taking two terms will receive 80 percent of salary ( $70\% + 70\% + 100\%/3 =$

80%); a faculty member taking one term of sabbatical in an academic year will receive 90 percent of annual salary for the year ( $70\% + 100\%/3 + 100\%/3 = 90\%$ ).

Salary adjustments for faculty members on sabbatical become effective September 1. The reduced level of compensation will first be reflected in the first paycheck after September 1 and will remain in effect through the September 1 paycheck of the following year.

Faculty members planning sabbaticals should seek supplementary support from external foundations and agencies. The Provost and Dean of the Faculty will assist faculty in identifying appropriate foundation and fellowship sources. The University encourages faculty to try to obtain replacement support for Lawrence funds (that is, to obtain outside dollars to substitute for Lawrence dollars). The University recognizes, however, that sabbatical leaves often entail added expense. Accordingly, University salary support for a sabbatical leave may be supplemented by external fellowships or grants up to the point where the combined University and external support for salary equals 120 percent of a faculty member's annual salary. External funding that exceeds the amount needed to bring the faculty member's salary to that level will be used to replace Lawrence salary support. Faculty members should consult with the Provost and Dean of the Faculty about such an arrangement.

Benefits for faculty members on sabbatical leave are described elsewhere in this Handbook. The University will make no payments for the following benefits on that portion of the faculty member's total sabbatical year salary that exceeds the faculty member's annual full-time salary: the University's retirement program, life insurance, and disability insurance. Questions about benefits should be directed to the Office of Human Resources.

### Individualized Learning Credits

#### Credits

Each faculty member may earn credits (individualized Learning Credits or ILC's) for exceeding two Tutorials or equivalent activities each year, up to a limit of four credits.

3	Tutorials or equivalent	=	1 ILC
4	“ “	=	2 ILC's
5	“ “	=	3 ILC's
6	“ “	=	4 ILC's

#### Conversion

Each ILC will result in the equivalent of .83% of the faculty member's salary being accrued in a special faculty development fund. With the credit schedule outlined above, the maximum earning will be 3.3% of the faculty member's salary each year. Over 6 years, a faculty member could earn the equivalent of up to 20% of her or his salary in the fund.

The conversion will be subject to a University maximum.

#### Eligibility

The following activities can count towards ILC's:

Tutorials

Independent Studies

Internship supervision

Other (may be particularly applicable to the Conservatory)

#### Administration

A faculty member may use the accrued funds either to supplement sabbatical salary or as a faculty development fund (to be used for professional purposes). Note that if a faculty member earns the maximum number of ILC's he or she could take a full-year sabbatical at 90% of salary, or a two term sabbatical at full pay, or a one term sabbatical at full pay.

#### Implementation

Qualified Individualized Learning activities will be counted starting with the 2008-2009 academic year.

Credits can be used (redeemed) beginning with the 2011-2012 academic years.

If the cost of the ILC's being redeemed in any one year exceeds the amounts set aside (accrued) to that point, some restrictions will be based on the total amount that can be redeemed. Under these circumstances, priority will be given to enhancements of scheduled sabbaticals. ILC's that cannot be funded will be deferred and can be redeemed in a subsequent year.

Earned ILC's will be redeemable for up to six years.

#### Leaves of Absence

When possible, the University grants leaves of absence without pay. Requests for leaves of absence should be made to the Provost and Dean of the Faculty after consultation with the department chair and other members of one's department. The University prefers to know about such leaves as early as possible, but in all cases it seeks to accommodate the individual faculty member's wishes insofar as they are consistent with the needs of the University.

Experience in teaching or conducting post-doctoral research in other institutions is looked upon as a favorable contribution to a Lawrence faculty member's career, and leaves for such purposes are thus encouraged. Likewise, faculty members interested in experimenting with alternative careers may petition for a leave of absence. As a general rule,

leaves of absence may not extend beyond one year or total more than two years in any six-year period.

#### Statement on Dual Career Couples

The University recognizes that many members of the faculty have spousal or partner relationships with persons who have professional credentials and are interested in employment. While it is not possible to guarantee a position for the spouse or partner of a faculty member, the opportunity for such a position can be an important factor in the recruitment and retention of high quality faculty. Therefore, the University strives to provide information to faculty spouses or partners about potential employment at Lawrence or in the Fox Valley area. Interested persons are encouraged to contact either the Office of the Provost or the Director of Human Resources.