

Professional Standards for Faculty: Promotion, Tenure, and Sabbatical Leave

The University Bylaws give the President the authority to recommend to the Trustees persons deemed to be qualified for promotion, tenure, or sabbatical. Evaluation for any of these personnel actions is based on teaching effectiveness, scholarly research and creative activity, and service.

- 1. Teaching Effectiveness is evaluated on the basis of classroom instruction, demonstrated command of subject, student performance (e.g., mastery of subject matter and critical thinking), academic advising, special mentoring of students, and success in shaping curriculum in the major, school, and University. **Effective teaching is central to the mission of the University and is given a weight of 50% in the evaluation process.***
- 2. Scholarly Research, Creative Activity, and Professional Achievement is evaluated on the basis of successful engagement in grant preparation, research and other knowledge development, scholarly writing, conference presentation, and publication, or other creative endeavor, such as in music and the fine arts activity, and disseminating that knowledge and creative work. **Scholarly research/creative activity is critical to the mission of the University and is given a weight of 30% in the evaluation process.***
- 3. Service includes contributing to the mission of the University, school and department through participating in the deliberation, decision making and implementation processes that further that mission, and by extending that work to the community. **Service is also vital to the success of the University and is given a weight of 20% in the evaluation process.***

*The PTS Committee will provide a comprehensive assessment of candidates for promotion, tenure, and sabbatical on the basis of these standards in accordance with the following weights: **Teaching (50 percent), Scholarly Research (30 percent), and Service (20 percent).***

I. Definition of Tenure

Tenure is a status earned after demonstrating excellence in teaching, scholarly and creative activity, and service to the University, one's school, one's department, and the community at large. *Except as required by the Faculty Bylaws, **tenure is not granted on the basis of length of service to the University.** The probationary period determined at the time of hire (referred to as the tenure clock) provides an opportunity to demonstrate one's commitment and capacity to work satisfactorily within the University's administrative structure and community.* According to the "Statement of Principles of the American Association of University Professors," published in 1940, tenure is defined as follows:

Tenure is a means to certain ends, specifically: (1) freedom of teaching and research and of extramural activities and (2) a sufficient degree of economic security to make the profession attractive to men and women of ability.

The acquisition of tenure assures the faculty member that her or his contract will be continued from year to year, unless she or he fails to fulfill professional and contractual obligations or for reasons of professional incompetence, moral turpitude, or financial exigencies facing the University. The attainment of tenure does not, in itself, insure later promotion. Employment situations which do not accumulate tenure time are as follows:

- When part-time teachers at the rank of Instructor or higher become full-time members of the faculty, their previous Lincoln service is not applicable toward tenure.
- **Unless agreed to in writing by the President (or designee) at the time of tenure-track hire**, time spent by Lecturers, Senior Lecturers, Assistants, Consultants, Visiting Faculty, and Adjunct Research Appointees is not credited in the probationary period leading to possible tenure.

Full-time faculty members may be granted release time in order to do research, or perform administrative duties delegated by the administration. As long as these duties are performed at Lincoln and as long as the faculty member's primary function is teaching, the time spent will be counted as part of the probationary period. Any question concerning whether or not the faculty member's primary function is teaching, will be resolved by the dean of the respective school in consultation with the respective department chair.

II. Professional Standards for Rank: Faculty

Advancement in academic rank is not based on years of service, but involves achievement of gradations of higher levels of excellence in teaching effectiveness, scholarly research / creative activity, and service, with the highest level of achievement at the rank of professor. The following specify these standards as they apply to rank:

A. Instructor

An Instructor shall hold a master's degree or its equivalent. Reappointment depends on satisfactory progress towards completion of the terminal degree, and satisfactory teaching and advising, and service to the University, school, and academic department.

B. Assistant Professor

An Assistant Professor is expected to have an earned doctorate or its equivalent, or the accepted terminal degree in one's discipline (**MFA, MLS, JD, or others as certified by the department in question**). To be promoted from Instructor to Assistant Professor, the person shall have an earned doctorate or the accepted terminal degree in one's discipline. Reappointment depends on satisfactory teaching and advising, service to the academic department, school, University and community, and evidence of scholarly research / creative activity / professional achievement.

C. Associate Professor and/or Tenure

The applicant for Associate Professor and/or becoming a tenured faculty member shall have an earned doctorate or the accepted terminal degree in her or his respective discipline and shall give

evidence of teaching effectiveness and service which *meets the accepted standard for associate professor*, and, likewise, a high level of competence in his or her respective field as shown by such activities as scholarly research and publications, grant proposals, presentations at scholarly conferences, and exhibitions and juried performances, *as attested to or validated by peers, both within and outside the University, through documented peer review or critique*. The successful applicant must achieve at least a 3.5 weighted rating (out of a possible 5.0) on the Rating Scale (Step 2). Those applicants not already at the rank of associate professor or higher and who are successful in receiving tenure, shall automatically be awarded promotion to associate professor.

D. Professor

A Professor shall meet all the standards of Associate Professor and, in addition, *show evidence of consistent excellence* in teaching and service, and in scholarly research /creative activity exceeding the level expected of Associate Professor, *both in extent and quality — as attested to or validated by peers within the University and qualified outside referees*. *Such evidence must demonstrate excellence in the level of competence in one's discipline*. The successful applicant must achieve at least a 4.0 weighted rating (out of a possible 5.0) on the Rating Scale (Step 2).

III. Criteria for Tenure and Promotion: Faculty

A. Applicant Responsibility

It is the responsibility of the applicant to develop and provide a complete portfolio of documentation that unequivocally demonstrates the applicant's conformance with the standards for the personnel action being requested. It is also the applicant's responsibility to be thoroughly informed about and in compliance with required deadlines for submission of materials.

B. General Criteria

Each tenure-track faculty member applying for tenure and/or promotion will be expected to have fulfilled all contractual requirements as stated below:

1. perform the educational work of the University in a manner appropriate to his or her profession in accordance with her or his role at the University;
2. meet classes as assigned;
3. advise students;
4. maintain regularly scheduled office hours, i.e., six hours per week;
5. attend departmental, school, and faculty meetings;
6. serve on faculty committees;
7. attend all formal academic occasions scheduled by the University—unless relieved by the Vice-President for Academic Affairs.
8. adhere to professional ethics; and
9. refrain from outside remunerative activity, which interferes with the acceptable performance of her or his duties as a faculty member.

C. Specific Criteria

Each applicant for tenure and/or promotion must show evidence of teaching effectiveness; scholarly research / creative activity, and professional achievement; and service to one's respective department, school, and to the University, as well as to the community at large.

1. Teaching Effectiveness

a. Effectiveness in Communication

1. Characteristics Judged

Organization and preparation for classes; Effective and varied teaching strategies; Effective use of instructional technologies; Comprehensive and clearly organized syllabi; Clarity of presentations and answers to questions; Sensitivity to student questions and frustrations; Intelligible speech (audible, understandable); Engagement of students in higher order thinking; Clarity of corrective feedback to students; Effective and organized use of class time

2. Examples of Evidence

Student course evaluations; Classroom observation reports by department chairperson; Classroom observation reports by peer evaluators; Department chairperson reference letter; Other letters of reference; Self-evaluation; Assessment of syllabi and textbook selection

b. Fairness and Appropriateness of Expectations

1. Characteristics Judged

Syllabus reflects criteria and weightings for grades; syllabi reflects course expectations and assignments; tests and evaluations engage higher order thinking; feedback is fair, timely, and adequate; Tests, exams, and assignments reflect course goals; Textbooks and reading materials are appropriate; classes held regularly and begin and end on time; Clarity of what students are expected to learn

2. Examples of Evidence

Examples of syllabi; Examples of exams and assignments; Student course evaluations; Classroom observation reports by department chairperson; Classroom observation reports by peer evaluators; Department chairperson reference letter; Other letters of reference; Self-evaluation; Assessment of syllabi and textbook selection

c. Command of Subject

1. Characteristics Judged

Ability to relate one's subject to other areas of the discipline and other disciplines; knowledge of relevant developments in applicant subject field; Clear interpretation of abstract ideas; Clearly identifies core principles of subject

2. *Examples of Evidence*
Classroom observation by department chairperson; May use peer evaluation; Letters of reference including external letters of reference; Self-evaluation; Course syllabi; Publications and written work; Plan for professional advancement; Student course evaluations
- d. *Effectiveness in Communicating the Methods and Content of One's Discipline to students.*
1. *Characteristics Judged*
Impact on student learning; Student learning from applicant's courses; Stimulation of intellectual development of students; Stimulation of active student engagement in higher order thinking (analysis, synthesis, evaluation); Stimulation of student application of knowledge to real-world problems; Students understand the characteristics of excellent work
 2. *Examples of Evidence*
Chairperson's letter of reference; Interviews with student majors; Peer letters of reference; Documentation of student learning; Self-evaluation; Student course evaluations
- e. *Effective use of technology as a tool in the classroom*
1. *Characteristics judged*
Grasp of and use of technologies in classes, including computer based technologies; Effective and varied teaching strategies; Effective use of instructional technologies
 2. *Examples of Evidence*
Verification of instructional use of technologies in the classroom (eg., WebCT, Powerpoint); Classroom observation reports; Department chairperson reference letter; peer reference letter; Documentation from IMC
- f. *Effectiveness in Advising Students*
- Characteristics Judged*
Effective advising on course selection, career choice, and retention; Mentoring students in applicant's discipline in formal and informal contexts; Availability to students during office hours and informal contact; Grasp of University and major requirements and programs.
 2. *Examples of Evidence*
Department chairperson's reference letter; Peer letters of reference; Letters/interviews with student advisees; Letters from and interviews with applicant's major students; Formal surveys through Advising Center; Applicant's self-evaluation.

- g. Effectiveness in relating professional goals to the needs and goals of one's own students as whole persons
1. *Characteristics Judged*
Student-centeredness; Commitment to the overall well being of one's students; Demonstrated concern for student learning; Encouragement of student questions and expressions of opinions; Presence and accessibility to students outside of class; Treatment of students with courtesy and respect; Expectation of student success in learning; Enthusiasm for subject matter and teaching in general; Instructor holds student interest and attention
 2. *Examples of evidence*
Student course evaluations; Classroom observation reports by department chairperson; Classroom observation reports by peer evaluators; Department chairperson reference letter; Other letters of reference; Self-evaluation; Assessment of syllabi and textbook selection
- h. Demonstrated Concern for furthering the Academic Mission of the University
1. *Characteristics Judged*
Contributions to curriculum development; Applicant's contributions to the subject discipline and its role in the University's Academic Mission; Awareness of how applicant's discipline relates to other disciplines within the applicant's school and the University; participation in interdisciplinary projects and programs.
 2. *Examples of Evidence*
Self-evaluation; Department chairperson letter; Peer letters of reference; Documentation
2. **Scholarly Research / Creative Activity and Professional Achievement**
- a. Extent and Quality of Scholarly Research / Creative Activity and Professional Achievement
1. *Characteristics Judged*
Professional competence and achievement; Staying current on developments in applicant's relevant subject fields; Commitment to applicant's own professional subject discipline.

2. *Examples of Evidence*
Samples of publications; Documentation of externally funded grants and inventions and patents; Samples of reviews of creative works; Documentation of presentations at scholarly conferences; Documentation of juried performances and artistic works; Certification in field specialties; Post-doctoral education; Chairperson's letter of reference; Letters of reference from peers in one's discipline; Self-evaluation
- b. *Success in Relating Scholarly Research /Creative Activity, and Technology to Effective Teaching*
1. *Characteristics Judged*
Use of new subject field developments with students in classrooms, tutorials, and public lectures, performances, and exhibitions; Inclusion of students in research projects; Use of technologies in development of materials and systems
 2. *Examples of Evidence*
Course syllabi; Student interviews/letters; Department Chairperson letter of reference; Peer letters of reference; Self-evaluation; Documentation of collaboration with students on scholarly projects; Documentation of development of materials and systems with technology.
- c. *Success in Stimulating Intellectual Work in Colleagues through Scholarly Research and Intellectual / Creative Activity*
1. *Characteristics Judged*
Stimulation of colleagues to further scholarly research, intellectual, and creative work.
 2. *Examples of Evidence*
Documentation of scholarly presentations to the University community, school or department; Documentation of collaboration with other colleagues in research projects, publications, performances, exhibitions, grants; Documentation of curricula and other changes resulting from scholarly research / creative activity; Chairperson's letter of reference, peer letters of reference.
3. ***Service to the University and Promotion of its Mission***
 - a. *Service and/or leadership on school or University Committees*
 1. *Characteristics Judged*
Active participation on school and University standing and ad hoc committees; Participation in the business of the general faculty; Participation in curriculum development processes; Fulfillment of special assignments (e.g., administrative assignments such as recruitment, research for the college, and consultation); Service as Dean, Program

Director, Department Chairperson; Service on special committees (e.g. Middle States Self-Study, Curriculum Review, etc.); Assisting with Internet-based activity such as developing course and departmental web sites and offering formal and informal training in academic technology

2. *Examples of Evidence*
Department Chairperson letter of reference, letters from committee chairpersons; Documentation of participation in committee work; Self-evaluation

b. *Service and/or Leadership in one's Academic Department*

1. *Characteristics Judged*
Participation in department meetings and on departmental committees; Directorship of department programs; Curriculum development in one's department (e.g., designing new courses); Sponsorship/advisor to majors clubs; Effective advising and mentoring of departmental majors; fund-raising initiatives.
2. *Examples of Evidence*
Chairperson's letter of reference; Departmental peer letters of reference; letters from and interviews with student majors; Documentation of leadership on such efforts as special projects, assessment, Middle States Reports, curriculum authorship, and grant writing.

c. *Service and/or Leadership in extending College Resources to the Wider Community*

1. *Characteristics Judged*
Use of professional expertise in service to the community; Consulting or serving as a resource person; Presentations to community groups; Serving on community or program boards; Appointment in a scholarly capacity to a state or national post; Active participation in professional organizations (e.g., attendance at annual meetings, elections or appointments to offices or committees)
2. *Examples of Evidence*
Documentation; External letters of reference; self-evaluation

D. Review Process

The Department Chairperson receives and reviews applications from candidates for personnel action and forwards the application along with the Chairperson's letter of reference to the PTS Committee by December 15. After receipt of applications, the PTS Committee carefully engages a comprehensive, two-step review of each candidate:

Step 1. *The PTS Committee determines whether the application qualifies to go forward to the comprehensive, in-depth review in accordance with the following guidelines. Failure to meet any one of these three guidelines disqualifies a candidate from further consideration.*

1. *The letter of “intent to apply” and application materials were submitted by the required deadlines (except for the 2002-03 academic year).*
2. *The application is complete and contains all required supporting materials, including but not limited to, course evaluations, letters of reference, or documentation of scholarship.*
3. *The applicant possesses the accepted terminal degree in his or her discipline.*

Step 2. *The comprehensive rating process. The PTS Committee proceeds with an in-depth review of the application. The PTS Committee makes a thorough examination of the evidence from the applicant’s dossier. Step 2 is based on the University’s overall commitment to academic excellence, and requires that the applicant demonstrate excellence in teaching, scholarly research / creative activity, and service.*

The evaluation of the applicant is weighted as follows: Teaching (50%), Scholarly Research (30%), and Service (20 %). This weighting is built into a point system accompanying the table entitled “Rating Scale for Applicants for Promotion and/or Tenure.” This rating scale contains the specific performance criteria by which applicants are to be judged (See Section VII: Criteria for Promotion and/or Tenure) and specifies how the calculations are done. It is the responsibility of the applicant to submit evidence of performance in each of these specific areas.

The PTS Committee will make a final decision and include a brief, written justification in its final recommendation.

Step 3. *The PTS Committee’s written recommendation is submitted to the Vice-President for Academic Affairs for administrative review. Each school dean will forward reference letters on the applicants in their schools to the Vice-President for Academic Affairs. After reviewing the PTS Committee recommendations and the Deans’ reference letters, the Vice President forwards a list of recommendations to the President, who forwards a finalized set of recommended actions to the Board of Trustees for ratification. The President will inform the PTS Committee of the Board’s decision on each applicant.*

Rating Scale for Faculty Applicants

5 - substantially exceeds standard	4 - exceeds the acceptable standard
3 - meets the acceptable standard	2 - below the acceptable standard
1 - substantially below the acceptable standard	0 - no basis for evaluation

I. Teaching Effectiveness	Circle one number and multiply	Score
<p>1. <u>Effectiveness in Communication</u> <i>(Characteristics Judged: Organization and preparation for classes; Comprehensive and clearly organized syllabi; Clarity of presentations and answers to questions; Sensitivity to student questions and frustrations; Good speaking (audible, understandable); Engages students in higher order thinking; Effective and varied teaching strategies; Clarity of written feedback to students; Effective use of class time; Selection of texts)</i></p>	0 1 2 3 4 5 x 1 =	
<p>2. <u>Fairness and Appropriateness of Expectations</u> <i>(Characteristics Judged: Syllabus reflects criteria and weightings for grades; syllabi reflects course expectations and assignments; testes and evaluations engage higher order thinking; feedback is fair, timely, and adequate; Tests, exams, and assignments reflect course goals; Textbooks and reading materials are appropriate; classes held regularly and begin and end on time; Clarity of what students are expected to learn)</i></p>	0 1 2 3 4 5 x 1 =	
<p>3. <u>Command of Subject</u> <i>(Characteristics Judged: Ability to relate one's subject to other areas of the discipline; knowledge of relevant developments in one's field; Clear interpretation of abstract ideas; Clearly identifies core principles of subject)</i></p>	0 1 2 3 4 5 x 1 =	
<p>4. <u>Effectiveness in Communicating the Methods and Content of One's Discipline to students</u> <i>(Characteristics Judged: Impact on student learning; Student learning from applicant's courses; Stimulation of intellectual development of students; Stimulation of active student engagement in higher order thinking (analysis, synthesis, evaluation); Stimulation of student application of knowledge to real-world problems; Students understand the characteristics of excellent work)</i></p>	0 1 2 3 4 5 x 1 =	
<p>5. <u>Effective use of technology as a tool in the classroom</u> <i>(Characteristics judged: Grasp of and use of technologies in classes, including computer based technologies; Effective and varied teaching strategies; Effective use of instructional technologies)</i></p>	0 1 2 3 4 5 x 1 =	
<p>6. <u>Effectiveness in relating professional goals to the needs and goals of one's own students as whole persons</u> <i>(Characteristics Judged: Student-centeredness; Commitment to the overall well being of one's students; Demonstrated concern for student learning; Encouragement of student questions and expressions of opinions; Presence and accessibility to students outside of class; Treatment of students with courtesy and respect; Expectation of student success in learning; Enthusiasm for subject matter and teaching in general; Instructor holds student interest and attention)</i></p>	0 1 2 3 4 5 x 1 =	
<p>7. <u>Effectiveness in Advising Students</u> <i>(Characteristics Judged: Effective advising on course selection, career choice, and retention; Mentoring students in applicant's discipline in formal and informal contexts; Availability to students during office hours and informal contact; Grasp of University and major requirements and programs.</i></p>	0 1 2 3 4 5 x 1 =	
<p>8. <u>Demonstrated Commitment to the Academic Mission of the University</u> <i>(Characteristics Judged: Contributions to curricula development in department, school, and University; Concern for one's discipline and its role in the University Academic Mission; Awareness of how one's discipline relates to other disciplines within one's school and the University)</i></p>	0 1 2 3 4 5 x 1 =	

Teaching Effectiveness - Total Raw Score	Add Column 3 Ratings	
Average Rating	Divide Total by 8	
50% Weighted Rating	0.5 x Average Rating	

<p>II. Scholarly Research / Creative Activity and Professional Achievement</p> <p>9. <u>Extent and Quality of Scholarly Research / Creative Activity, and Professional Achievement</u> (Characteristics Judged: Professional competence and achievement; Keeping abreast of developments in the appropriate field; Commitment to one's professional discipline)</p> <p>10. <u>Success in Relating Scholarly Research / Creative Activity and Technology to Teaching Effectiveness</u> (Characteristics Judged: Use of new subject field developments with students in classrooms, tutorials, and public lectures, performances, and exhibitions; Inclusion of students in research projects; Use of technologies in development of materials and systems)</p> <p>11. <u>Success in Stimulating Intellectual Work in Colleagues through Scholarly Research / Creative Activity</u> (Characteristics Judged: Stimulation of colleagues to further scholarly research, intellectual, and creative activity)</p>	<p>0 1 2 3 4 5 x 2 =</p> <p>0 1 2 3 4 5 x 1 =</p> <p>0 1 2 3 4 5 x 1 =</p>	
<i>Total Raw Score</i>	Add Column 3 Ratings	
<i>Average Rating</i>	Divide Total by 4	
30% Weighted Rating	0.3 x Average Rating	

III. Service to the University and its Mission		
<p>12. <u>Service and/or leadership on school or University Committees</u> <i>(Characteristics Judged: Active participation in school and university standing and ad hoc committees; Participation in the business of the general faculty; Participation in curriculum development processes; Fulfillment of special assignments (e.g., administrative assignments such as recruitment, research for the college, and consultation); Service as Dean, Program Director, Department Chairperson; Service on special committees (e.g. Middle States Self-Study, Curriculum Review, etc.); Assisting with Internet-based activity such as developing course and departmental web sites and offering formal and informal training in academic technology)</i></p>	<p>0 1 2 3 4 5 x 1 =</p>	
<p>13. <u>Service and/or Leadership in one's Academic Department</u> <i>(Characteristics Judged: Participation in department meetings and on departmental committees; Directorship of department programs; Curriculum development in one's department (e.g., designing new courses); Sponsorship/advisor to majors clubs; Effective advising of departmental majors; fund-raising initiatives)</i></p>	<p>0 1 2 3 4 5 x 1 =</p>	
<p>14. <u>Service and/or Leadership in extending College Resources to the Wider Community</u> <i>(Characteristics Judged: Use of professional expertise in service to the community; Consulting or serving as a resource person; Presentations to community groups; Serving on community or program boards; Appointment in a scholarly capacity to a state or national post; Active participation in professional organizations (e.g., attendance at annual meetings, elections or appointments to offices or committees)</i></p>	<p>0 1 2 3 4 5 x 1 =</p>	
Total Raw Score	Add Column 3 Ratings	
Average Rating	Divide Total by 3	
20% Weighted Rating	0.2 x Average Rating	
Combined Rating in the three categories	Add the three weighted ratings	

3.5 = Minimum required for Tenure

3.5 = Minimum required for Associate Professor (or Tenure and Associate Professor)

4.0 = Minimum required for Professor

(1/28/2002 version)