

**ADOPTED BY THE FACULTY OF THE
WEATHERHEAD SCHOOL OF MANAGEMENT,
February 4, 2009**

**APPROVED BY THE UNIVERSITY FACULTY SENATE
February 26, 2009**

**CASE WESTERN RESERVE UNIVERSITY
WEATHERHEAD SCHOOL OF MANAGEMENT
BY-LAWS OF THE FACULTY**

These by-laws, and all amendments adopted as hereinafter provided, shall constitute the rules and regulations governing the conduct and procedures of the faculty of the Weatherhead School of Management, as authorized by and consistent with the Faculty Handbook, Chapter 2, Organization and Constitution of the University Faculty and the By-laws of the Faculty Senate.

ARTICLE I. PURPOSES OF BY-LAWS

These by-laws adopt rules to govern the procedures of the faculty, to provide for its council and committees, and to make recommendations to the dean of the Weatherhead School of Management (hereinafter called the dean) and to the president for organization of the research and teaching staff, appointments and rank, the Weatherhead School of Management's curricula, terms and times of attendance, examinations, and degrees in course, as authorized by action of the board of trustees.

**ARTICLE II. MEMBERSHIP OF THE WEATHERHEAD SCHOOL OF
MANAGEMENT FACULTY**

The Weatherhead School of Management faculty comprises three different categories of faculty appointments: (1) tenured or tenure-track appointments, (2) non-tenure track appointments, and (3) special appointments. Each engages in the missions of the faculty of the school as described below:

Section A. Tenured or tenure-track faculty

Tenured or tenure-track faculty members are those persons holding full-time academic appointments at the ranks of professor, associate professor, and assistant professor whose obligations to the school include 1) teaching, 2) research and scholarship, and 3) service to the school community. Tenured or tenure-track faculty shall be entitled to vote on all matters coming before the school faculty, except for matters of appointments, promotion, and tenure where only those at equal or higher rank and tenure status to that for which the candidate is being considered shall vote. All academic titles of tenured or tenure-track faculty shall be discipline based.

Section B. Non-tenure track faculty

Non-tenure track faculty members are those persons holding full-time appointments at the ranks of professor, associate professor, assistant professor, senior instructor and instructor whose obligations to the school include two of the three obligations of the tenured/tenure-track faculty, i.e., (1) teaching, (2) research and scholarship, or (3) service to the school community. Non-tenure track faculty shall be entitled to vote on all matters coming before the school faculty, except for matters of appointment, promotion and tenure. All academic titles of non-tenure track faculty shall be discipline based.

Section C. Special faculty members

Special faculty members are: (1) those persons holding part-time academic appointments, or (2) persons holding full-time academic appointments, but who have specific, limited responsibilities for the duration of a specific project, or for a limited duration. Examples of special appointments are faculty members hired for one semester, who teach one course on a repeated basis, who engage only in clinical supervision without other responsibilities to the school, or who are engaged in a specific project conducted outside the school. In general, special faculty members' obligations to the school shall include one of the three obligations of the tenured/tenure-track faculty, i.e., (1) teaching, (2) research and scholarship, or (3) service to the school community. The ranks and titles held by special faculty members shall be subject to approval by the dean and shall include a modifier to traditional ranks that reflects the nature of the appointment. Special faculty ranks and titles are lecturer, adjunct professor, visiting assistant professor, visiting associate professor and visiting professor, and Weatherhead fellow. Special faculty members shall not be entitled to vote on any matter coming before the school faculty.

Section D. Members ex officio

The president, the provost or a designee of the president, the dean of graduate studies, and the dean shall be ex-officio voting members of the faculty.

Section E. Majority of appointments shall be tenured or tenure track

The proportion of tenure/tenure-track faculty to non-tenure track faculty shall be decided by the dean in consultation with the faculty, subject to review by the faculty senate and the approval of the provost. However, except under special circumstances which are reviewed by the faculty senate and approved by the provost, at least a majority of the voting faculty shall be tenured or tenure-track faculty members.

Section F. List of members of the faculty

By September 1 of each year, the dean shall furnish to the faculty and the secretary of the university faculty a list of all tenured, tenure-track and non-tenure track members of the faculty, according to the above definitions, showing their categories of appointments, ranks and voting privileges. Faculty additions or deletions from the list shall be communicated to the faculty and the secretary of the university faculty when they occur.

ARTICLE III. MEETINGS

Section A. Meeting schedule

The faculty shall hold monthly meetings within the fall and spring semesters each year, on dates to be determined by the dean, provided, however, that the faculty at any regular meeting may, by majority vote, fix the date of the next regular meeting. Any regular monthly meeting may be canceled by joint agreement between the dean and the council, as defined in Article V, with a ten-day notification to the faculty of such cancellation, provided that at least one regular meeting must be held during the fall and spring semesters of each academic year.

Section B. Special meetings

The faculty shall hold special meetings when called by the president or dean, either of whom may call a special meeting. The dean shall call a special meeting on the vote of the council or on a petition signed by 20 per cent of the voting members of the faculty and stating the purpose of the proposed meeting.

Section C. Notification of meetings

The secretary of the faculty shall notify each member in writing at least one week before each regular meeting and at least two days before each special meeting, specifying the time, the place, and the agenda of the meeting.

Section D. Meeting conduct

The dean shall preside at both regular and special meetings, and conduct such meetings in accordance with *Roberts' Revised Rules of Order*, latest edition. In the absence of the dean, the secretary of the faculty shall preside until the faculty elects a presiding officer.

Section E. Secretary of the faculty

The secretary of the council shall also serve as secretary of the faculty and shall be selected as provided in ARTICLE V, Section D. The secretary shall serve one year, or until the selection of a successor, and may serve successive one-year terms. The secretary shall record the attendance at all meetings of the faculty, keep the minutes of all such meetings, retaining the original and transmitting copies to the president and to the dean, and shall also prepare and circulate to all members of the faculty before the first regular faculty meeting of the academic year a list of all voting members of the faculty and a list of all council and committee memberships for the academic year. At the expiration of the secretary's term of office, all records shall be transferred to the successor.

Section F. Quorum and voting

Fifty per cent of the voting members of the faculty shall constitute a quorum, and all decisions shall be by majority vote of those present. In the absence of a quorum call, a quorum is assumed present at all legally called meetings and all actions taken are thereby legal whether or not there was, in fact, a quorum present.

ARTICLE IV. COMMITTEES**Section A. Standing committees**

The standing committees of the faculty shall be the council and the committee on appointments.

Section B. Special committees

The faculty may at any time provide for a special committee to study and to recommend on any matter or matters within its jurisdiction which it may deem appropriate, provided, however, that such matter or matters are not within the jurisdiction of any standing committee.

ARTICLE V. COUNCIL**Section A. Duties of council**

The council shall consider all matters of educational policy and any other matter within the jurisdiction of the faculty. It shall have the power to act for the faculty between meetings of the faculty. It shall be advisory to the president, dean, and board of trustees in any matters which they may deem appropriate, including consultation on the appointments of special committees.

The council shall hear and respond to any petition signed by three or more members of the faculty.

Section B. Membership and terms of council members

The council shall consist of the dean ex officio and nine members elected at large from among the voting members of the faculty as defined by ARTICLE II, Sections A through D. Each such member shall serve three years and may serve consecutive terms without interruption. Their terms shall be staggered over a three-year cycle.

Section C. Election of members of council

In May each year, the secretary of the faculty shall mail to each voting member, as designated in ARTICLE II, Sections A through D, a nominating ballot listing all members of the voting faculty, as designated in those sections. Each member so designated may vote for not more than six, and the six persons receiving the largest number of votes shall be considered nominated for membership in the council. The secretary shall then mail to each voting member a second ballot listing the six nominees. Each member may vote for not more than three and the three nominees receiving the largest number of votes shall be elected to membership in the council. Ties which make indeterminate the nominations or elections to the council shall be resolved by a majority vote of the council as constituted at the time of election. A vacancy occurring before the term of the incumbent has expired shall be filled by a majority vote of the council for only the unexpired term.

Section D. Election and duties of the chairperson of council

After the annual election of the council, the chairperson shall be elected by the faculty from among the council members. In consultation with the dean, the chairperson shall prepare the agenda and shall preside at each meeting. The chairperson shall notify each member of the council in writing, at least five days before each regular meeting and at least two days before each special meeting specifying time, place and the agenda of the meeting.

Section E. Election and duties of the secretary of council

The secretary of the council, who shall also serve as secretary of the faculty as provided in Article III, Section E, shall be elected annually by majority vote of the council from among its members. The secretary shall record the attendance and actions of all meetings and keep the minutes of all meetings, transmitting copies to the president, the dean, and members of the council. At the expiration of the secretary's term of office, all records shall be transferred to the successor.

Section F. Quorum

Fifty per cent of the membership of the council shall constitute a quorum, and all decisions shall be by majority vote, provided a quorum is present.

Section G. Council meetings

The council shall hold at least four regular meetings within the fall and four within the spring semester on dates to be determined by the dean, provided, however, that the council at any regular meeting may, by majority vote, fix the date of the next regular meeting.

Section H. Special meetings

The council shall hold special meetings when called by the president or dean, who may call a special meeting, and shall call a special meeting on a petition signed by three members of the council and stating the purpose of the proposed meeting.

Section I. Student input

Council shall provide for significant student input and advice to faculty deliberations. The process for designating such representation shall be devised jointly between council and appropriate student groups.

ARTICLE VI. COMMITTEE ON APPOINTMENTS

Section A. Duties of the committee

Consistent with the Faculty Handbook, the committee shall consider all tenured, tenure-track and non-tenure track faculty appointments, reappointments, promotions, terminations, non-renewals and matters of tenure. The committee shall report to the dean and summarize for the faculty as defined in Article II, Section A, B and D the current status of its recommendations.

Section B. The committee shall recommend to the dean each year the reappointment, promotion, non-renewal, tenure, or continuation of existing status of each tenure-track and non-tenure track faculty member not previously appointed “without term,” and shall notify the individuals involved a minimum of 30 days prior to the date required by the practice of the university.

Section C. Membership and terms of committee members

The committee on appointments shall consist of the dean or the dean’s designee, ex officio, one member from each department, and three other members elected at large. This membership shall consist of tenured professors and up to two associate professors with tenure, who shall not participate in decisions about promotion to professor, as defined in Article II, Section A. These committee members shall be elected by tenured and tenure-track faculty, as specified in Article II, Section A, according to the procedure specified herein. Members shall serve staggered three year terms.

Section D. Election of committee members

To ensure that the committee shall always include at least one member from each department, every third year one member shall be elected from eligible faculty in each department by the tenured and tenure-track faculty in that department. Following announcement to the faculty of the results of these departmental elections, one at-large member shall be elected by the tenured and tenure-track members of the faculty from a slate of candidates generated through a written nomination process that shall ensure that at no time shall more than three members from any one department be included in the membership of the committee. The dean’s office shall mail to each tenured and tenure-track faculty member a nominating ballot listing all eligible tenured and tenure-track faculty members. Each member may vote to nominate not more than three. The three persons receiving the largest number of votes shall be considered nominated for membership in the committee. The dean’s office shall then mail to each tenured and tenure-track member of the faculty a second ballot listing the three nominees. Each member may vote for one and the one receiving the largest number of votes shall be elected to at-large membership in the committee on appointments. Ties which make indeterminate the nominations or elections to the committee shall be resolved by a majority vote of the committee as constituted at the time of election. A vacancy occurring before the term of the incumbent has expired shall be filled by a majority vote of the committee for only the unexpired term. All elections shall be conducted by written secret ballot administered by the dean’s office. A vacancy occurring before the term of the incumbent has expired shall be filled by majority vote of the committee for only the unexpired term, except when that vacancy eliminates a department’s elected member of the committee. In that instance, the department shall elect for only the unexpired term a member from its eligible faculty.

Section E. Election and duties of the chairperson of the committee

The chairperson of the committee shall be elected annually by majority vote of the committee from among its own members. In consultation with the dean, the chairperson shall prepare the agenda and shall preside at each meeting. The chairperson shall notify each member at least one day before each meeting, specifying the time the place, and the agenda of the meeting.

Section F. Quorum

Two-thirds of the membership shall constitute a quorum, and all decisions shall be by majority vote, provided a quorum is present.

Section G. Election and duties of the secretary of the committee

The secretary shall be elected annually by majority vote of the committee from among its own members. The secretary shall record the attendance and actions of all meetings, including the division of votes, and shall keep the minutes of all meetings, retaining the original and transmitting copies to the dean and to the president. At the expiration of the secretary's term of office, all records shall be transferred to the successor.

Section H. Procedures of the committee

1. Department chairpersons shall annually provide the committee with a written appraisal of the progress toward tenure of each untenured faculty member in their departments, along with the untenured faculty member's resume and such additional information as is specified by the committee. A copy of the departmental appraisal shall be provided to the candidate. Such an appraisal shall begin at the divisional level where a department is so organized.
2. Recommendation for initial appointment shall be a consequence of a departmental vote on the candidate by all tenured and tenure-track faculty at or above the rank and tenure status under consideration, and forwarded to the committee. For prospective faculty members whose scholarly competence and activity fall within more than one academic discipline or field, such recommendations shall be made jointly by the departments where those disciplines are housed. The committee shall approve, disapprove, or refer recommendations so prepared back to the originating group.
3. Recommendation for reappointment or promotion shall be a consequence of a departmental vote on a faculty member by all tenured and tenure-track faculty at or above the rank and tenure status under consideration, and forwarded to the committee. For faculty members whose scholarly competence and activity fall within more than one academic discipline or field, such recommendations shall be made by the department of primary appointment. The faculty member shall be duly notified of the recommendation of the department. The committee shall approve, disapprove, or refer recommendations so prepared back to the originating group. The faculty member has a right to appeal a departmental decision to the committee.
4. Each faculty member whose appointment leads to tenure consideration shall be considered for tenure no later than nine years after the date of initial appointment in accordance with all regulations stated in these by-laws and the Faculty Handbook. During the third year, each assistant professor shall undergo a comprehensive internal review. As a result of the review, individuals shall receive either a one-year terminal contract or another three-year contract. Each tenure-track assistant professor in the latter group shall be reviewed by the committee during the sixth year. This review shall be consistent with, but shall not replace the review described in Chapter 3, PART ONE, I, Paragraph F.5. of the Faculty Handbook. The committee shall recommend either a terminal contract, or promotion to associate professor without tenure and a three-year contract, or promotion to associate professor with tenure. During the ninth

year, those individuals not already tenured shall be considered for an award of tenure. If after this period tenure has not been granted, reappointment may normally be made for only one additional year.

5. An observer shall be elected from among the untenured tenure-track faculty by the untenured tenure-track faculty. The vote shall take place in conjunction with, and following the procedures used for, the election of the at-large member of the committee. Each appointment shall be one year, non-renewable.
6. The purpose of the observer shall be to learn about the processes of the committee and to share descriptions of the process with other untenured, tenure-track faculty, provided no details of individual cases are revealed in violation of the committee's confidentiality policies. The dean and the committee chair shall informally meet with the person selected for this position and discuss with him or her what is expected regarding participation. They shall also respond to any questions the person might have.
7. General requirements and criteria for tenured, tenure-track, non-tenure track, and special faculty appointments, reappointments, promotions and tenure are detailed in the Appendix to these by-laws.

Section I. Voting

Each action taken by the committee under the provisions of Section A. with respect to appointments, promotion and tenure shall be submitted to an oral roll-call vote of the committee. The secretary shall record the numerical vote. That record shall be held available for examination on request by the member of the faculty upon whose status the action is taken.

ARTICLE VII. OTHER COMMITTEES

The council shall establish any additional committees to study and to recommend on any matter or matters within its jurisdiction which it may deem appropriate, provided, however, that such matters are not within the jurisdiction of the committee on appointments.

ARTICLE VIII. AMENDMENTS

Section A. A motion to amend these by-laws may be made by any voting member of the faculty at any meeting of the faculty.

Section B. Any motion to amend these by-laws must lie on the table at least ten days after its introduction, to be acted upon by the faculty, as herein before provided in Article II, Sections A through D, at the next regular or special meeting. At the time of introduction copy of the proposed amendment shall be provided to each voting member of the faculty by email, unless a member requests a hard copy. Final action shall not be taken unless the motion has been included in the agenda of the meeting at which final action is sought.

ARTICLE IX. RATIFICATION

These by-laws shall become effective on adoption by the faculty and approval by the faculty senate.

ARTICLE X. DUE PROCESS

Section A. The council shall hear and respond to any petition signed by three or more members of the faculty.

Section B. The faculty is required to hear and respond to any petition signed by five or more members of the faculty, provided subject matter of the petition has been heard as provided for in Article X, Section A.

Initial Approval: 11/17/70

Amended: 01/10/72

Amended: 05/01/72

Amended: 10/11/72

Amended: 01/21/74

Amended: 04/16/75

Amended: 04/23/76

Amended: 04/12/81

Amended: 04/23/84

Amended: 04/14/89

Amended: 05/12/92

Amended: 10/25/95 (Section 27D)

Amended: 03/24/07

Amended: 02/18/08

Amended: 07/07/08

Amended: 02/04/09

**CASE WESTERN RESERVE UNIVERSITY
WEATHERHEAD SCHOOL OF MANAGEMENT**

**APPENDIX TO BY-LAWS OF THE FACULTY
FACULTY PERSONNEL POLICIES**

These personnel policies are intended to aid in the development and maintenance of a collegial community characterized by continued development of individual competence, performance and contributions to the goals of Case Western Reserve University and the Weatherhead School of Management. These policies are intended to be consistent with the university's Faculty Handbook, Chapter 3, "Policies and Procedures for the Members of the Faculty", and Chapter 4, "General University Policies and Procedures."

ARTICLE I. FACULTY APPOINTMENTS, PROMOTIONS AND TENURE

Section A: Appointments

1. Terms of appointments

The school follows prescribed university policies regarding terms and lengths of appointments, as well as those regarding retirement and emeritus appointments. To maintain intellectual development and collegial relationships, each faculty member must have an appointment in at least one department of the school.

2. Initial appointments

An initial appointment may occur at any rank and tenure condition. Thus, special care must be given to apply criteria comparable with those for faculty who progress normally through the appointment, promotion, and tenure processes of the school. The candidate must demonstrate a record of accomplishment that would warrant promotion to the rank and tenure condition in question within the criteria of this university and school.

In addition to the usual criteria of excellence in research and teaching and service, the school seeks to attract and retain individuals who desire to work constructively and helpfully with others, and who see their own future as being aided by their relationships within the school. Toward this end, it shall be the policy of this school to emphasize a process of selection that maximizes the exposure of prospective candidates to as large a number of individuals as possible and to individuals of diverse backgrounds and interests.

Evidential bases for appointments, promotions and tenure are described in Article I.A.3 below.

3. General criteria for tenure track appointments

Members of the faculty are expected to devote a major share of their total effort to combinations of the following activities:

- a. Generating new knowledge of enduring consequence that has a significant impact on the development of management theory and practice;

- b. Providing effective teaching, making improvements in teaching-learning processes, and developing new educational programs;
- c. Contributing to relationships with units throughout the university and other academic institutions, professional societies and with industrial, governmental, and community organizations; and
- d. Contributing to the development, governance and administration of the school.

4. Criteria for assistant professor appointments

Appointments to assistant professor on the tenure track are based on evidence of high potential for excellence in teaching and research. Evidence of interest in contributing to service activities is desirable but not required at this rank. Normally, no one shall be appointed to assistant professor or above on the tenure track without the Ph.D. or equivalent qualifications.

5. Criteria for associate professor without tenure appointments

Appointments to associate professor without tenure on the tenure track shall reflect the judgment that the individual is likely to satisfy the criteria for tenure detailed in Article I.A.3 above within the maximum allowable time for that decision under the stipulations of that particular appointment.

6. Awards of tenure

To receive tenure, faculty members must demonstrate significant contributions in teaching and research (as described in Article I.A.3 a and b, above) with excellence required in one of them. Candidates for tenure are also required to have made significant contributions in service as described in Article I.A.3 c and d).

7. Criteria for associate professor with tenure appointments

Appointment to associate professor with tenure shall reflect the judgment that the candidate has demonstrated outstanding performance in a combination of research, teaching and/or service that satisfies the criteria detailed in Article I.A.6.

8. Criteria for professor with tenure appointments

Appointment to professor with tenure shall reflect the judgment that the candidate has demonstrated outstanding performance in a combination of research, teaching and/or service that satisfies the criteria detailed in Article I.A.6. A strong case for appointment to professor with tenure can be made on two bases:

- i) achieving excellence in one of the three areas noted above, coupled with significant contributions in the other two, or
- ii) achieving a balanced portfolio of research, teaching and service that is viewed as a significant contribution to the profession and the School/University.

Regardless of the bases the candidate and the committee on appointments choose, every effort should be made to consider and acknowledge the candidate's cumulative work in all three areas.

9. Criteria for non-tenure track appointments

Non-tenure track appointments may be made at three ranks as follows:

- a. Appointment as assistant professor on the non-tenure track usually requires that the candidate hold the highest academic credentials, either the PhD or the most advanced professional degree relevant to the appointment and have at least five years of significant, relevant work experience. The school looks favorably at

people who have had at least two years of teaching experience and a track record of service activities that the school values.

- b. Appointment as associate professor on the non-tenure track usually requires that the candidate hold the highest academic credentials, either the PhD (preferred) or the most advanced professional degree relevant to the appointment and have at least 10 years of significant, relevant work experience. The school looks favorably at people who have had at least two years of teaching experience and a track record of service activities that the school values.
- c. Appointment as professor on the non-tenure track usually requires that the candidate hold the highest academic credentials, either the PhD (preferred) or the most advanced professional degree relevant to the appointment and have at least 15 years of significant, relevant work experience. The school looks favorably at people who have had at least two years of teaching experience and a track record of service activities that the school values.

10. Criteria for special faculty and visiting appointments

It is the policy of the school to encourage relationships between the school and professionals in the community through part-time teaching and research appointments. Such appointments typically are made only when the services required are insufficient to warrant a full-time appointment or where the teaching talent cannot be acquired in another way. These appointments can be made in a variety of ranks as specified below and generally are made with the understanding that they are part-time or temporary in nature, and usually do not make the individual holding them eligible for faculty benefits. Special faculty and visiting appointments are made by the dean, generally on the recommendation of the concerned department chair and the relevant associate dean for academic programs.

Individuals in such appointments are encouraged to participate in the affairs of the school as permitted by the bylaws. However, special faculty shall not be entitled to vote on any matter coming before the school faculty.

- a. Appointment to the special faculty at the rank of adjunct professor is based on relevant prior experience and educational background.
- b. Visiting appointments can be made at the visiting assistant professor, visiting associate professor or visiting professor ranks, generally to faculty that continue to possess a tenure-track appointment at another college or university. The rank of the appointment should equal the candidate's rank at that other institution. Visiting appointments normally are for one year and can be renewed without interruption but the maximum total duration shall not exceed three years.
- c. Appointments to the designation of a "Weatherhead Fellow" are reserved for professionals in industry, government and academia. These appointments recognize continuing contributions to the Weatherhead School as defined in by-laws ARTICLE II, Section C.

11. Secondary appointments

The school encourages secondary appointments among its departments as well as with other university units. Such appointments provide the means to enrich the school's

program, as well as to contribute to the development of general university educational and research objectives. Approval of secondary appointments shall be the responsibility of the appropriate departmental chairpersons and deans. Such appointments should not result in an overload on the faculty member concerned or in a dilution of the individual's efforts and responsibility to the primary unit. All activities related to the secondary appointment should be recognized and evaluated by the appropriate university units.

Section B: Promotions

1. Promotion from assistant professor on the tenure track to associate professor without tenure on the tenure track shall reflect the judgment that the individual is likely to satisfy the criteria for tenure detailed in Article I.A.6 within the maximum allowable time for that decision under the stipulations of that particular appointment.
2. Promotion from associate professor with or without tenure on the tenure track to professor with tenure shall reflect the judgment that the individual has and has demonstrated outstanding performance in a combination of research, teaching and/or service that satisfies the criteria for tenure detailed in Article I.A.6. A strong case for promotion can be made on two bases:
 - a) achieving excellence in one of the three areas noted above, coupled with significant contributions in the other two, or
 - b) achieving a balanced portfolio of research, teaching and service that is viewed as a significant contribution to the profession and the School/University.Regardless of the bases that the candidate and committee appointments choose, every effort should be made to consider and acknowledge the candidate's cumulative work in all three areas.
3. Promotion from assistant professor on the non-tenure track to associate professor on the non-tenure track requires continuous teaching excellence, successful course development activities and a strong record of service to school and/or university, generally for a period of five years.
4. Promotion from associate professor on the non-tenure track to professor on the non-tenure track requires continuous teaching excellence, an excellent record of course development activities and curriculum contribution, and strong evidence of a positive role in the practitioner community generally for a period of ten years.

Section C: Evidential bases for appointment, promotions and tenure

The evidence relevant to appointments and promotions will vary from field to field and from individual to individual. Nevertheless, certain generalizations normally prevail. The quality of research scholarship is more important than the quantity. Recognition by a candidate's peers is the primary measure of excellence. However, ongoing scholarship is important and is most evidenced by continued significant publication.

The primary impetus and evidence for an appointment, promotion and tenure case shall usually come from the candidate's department or division. The head or chair of the unit has the responsibility of representing adequately any unusual criteria of the field or qualifications for the appointment, promotion and tenure.

The committee on appointments examines the information that the candidate has provided and requests additional documentation as needed.

1. Research and scholarly contributions

- a. The evaluation of an individual's scholarship is based primarily upon evidence in the form of reports, publications (particularly where peer reviewed), books and invited lectures.
- b. A second way in which scholarship can be demonstrated is by the number and productivity of advanced students who are or have been associated with the individual. The essence of the candidate's work may be expressed partially through the quality of teaching, which may demonstrate sustained originality at a level of excellence. The committee on appointments may seek testimonials of such excellence from former students. The committee also may solicit similar letters regarding outstanding service contributions to the institution, the profession or the field.
- c. In addition, the generation of external funding for research and scholarly activities may be utilized as evidence of the individual's reputation and competence as a scholar, a generator of knowledge, and a contributor to the development of the school and the university.
- d. In assessing the quality of work, it is the school's policy, consistent with university policy, to seek advice of well-recognized scholars outside the university who are active in the individual's field. Evidence of a national reputation is demonstrated by external letters. A majority of these letter writers should not have been directly involved with the individual as a thesis advisor, co-author or former colleague.
- f. The following documentation, as provided by the Faculty Handbook, would normally provide evidential basis of research and scholarly contributions:
 - i. List of refereed publications in scholarly or professional journals;
 - ii. Books and book chapters published;
 - iii. Invited papers and lectures, abstracts, book reviews, major reports and other presentations;
 - iv. Professional honors, awards and national offices;
 - v. External research grants or other supportive funding;
 - vi. Published reviews, literary or artistic criticisms of the nominee's work;
 - vii. Confidential letters of evaluation of scholarly work from external authorities at other major academic institutions or industry leaders; and
 - viii. Confidential letters of evaluation of work by university colleagues.

2. Teaching and pedagogic contributions

The evidence on the teaching dimension includes teaching effectiveness and contributions to pedagogy over an extended period of time. Some of the ways in which they can be assessed include:

- a. Teaching evaluations and teaching awards.
- b. Teaching materials that are widely circulated, teaching manuals, software that is used in the classroom, innovation in use of technology in the classroom, etc.
- c. Textbooks and case studies.
- d. Testimonials from previous students.
- e. Leadership in developing new classes, designing programs etc.
- f. Mentorship and assisting new faculty by sharing class notes, opening up classes to faculty etc.

- g. Facilitating connections of students with enterprises.

3. Application of knowledge contributions

Contribution to the application of knowledge would normally be evidenced by applied research and use in industry. It is particularly persuasive where this activity leads to publishable work, lectures or speeches to interested parties, and to related service activities that add materially and demonstratively to the reputation of the school. Such activity might be demonstrated through practitioner books and articles, written applications of scholarly literature to practical topics, and awards for applying scientific knowledge to real world problems.

4. Service contribution

The evidence on the service dimension refers to important service to the department, school, or university and to major academic professional societies. To be considered for full professor based on excellence in service a faculty member would have to provide evidence that she/he has made significant contributions over an extended period of time. To be recognized for the excellence of contributions for service means that a faculty member has made a major positive difference to the school. In this regard, testimonials from colleagues in the school would be an important component. Evidence of the sustained excellence of service contributions could include:

- a. Major departmental responsibilities, including leadership activities of programs, new initiatives, committee memberships, etc
- b. Testimonials from faculty, staff, deans, and chairs that confirms the contributions that you have made.
- c. Testimonials from others that confirm the significant service contributions that have been made.
- d. Winning of prizes that acknowledge service activities.
- e. Ongoing history of positive involvement and active participation and leadership in school business.
- f. Record of annual reviews that cite contributions in service.
- g. Consulting activities, board memberships, and governmental consulting activities that have directly and significantly benefited the school.

ARTICLE II. COMPENSATION OBJECTIVES

Consistent with the fiscal conditions in the school and university, it is the general objective of the school's compensation practices that individuals shall be adequately and meaningfully rewarded. Exceptional compensation should be based on an exceptional record of accomplishment.. Those who demonstrate unusual creativity or extraordinary effort in meeting the teaching, research and service objectives should be so rewarded.

Section A: Process and Guidance

Recommendations for salary levels and increases should be based on the same criteria used in promotion decisions. The evidential basis for the recommendations should be similar to those also used to evaluate an individual's performance in the areas of teaching, research and service. Further, compensation policies should aid in the minimization of conflict and difference, and contribute to healthy and productive working relationships. Specific objectives include:

1. Average Salary

The average salary at each rank and for each discipline should be competitive with other similar outstanding schools offering equivalent degree programs. For the purpose of comparison, a list of comparable schools to be used as the school's peer group should be jointly determined periodically by the dean and the committee on appointments. Statistical summaries of salary comparison lists should be shared widely with the faculty.

B. Summer Opportunities

The School shall endeavor to provide summer opportunities whenever they are sought, but it is recognized that such opportunities are related to individuals' efforts at obtaining funded research as well as to the general summer teaching and research programs of the School. Where summer employment is for teaching, remuneration is dependent upon sufficient registration for a course to make its offering worthwhile. If the loss of income from canceling a summer course creates an unanticipated hardship, every effort will be made to find alternative employment in research or in other matters of consequence to the School.

C. Additional Compensation

Where permitted by University policy, additional compensation may be paid to faculty beyond the regular salary where warranted by special programs, workshops and other sponsored activities of the School which are not part of the normal teaching, research or service responsibility. The amount of such payment in all cases shall be subject to approval by the Dean's office.

D. Equity

Every effort will be made to maintain internal equity with recognition of the need to acknowledge individual contributions and persistent market differentials.

Section II: Faculty Effort Allocation Objectives

All full-time faculty members are expected to demonstrate a basic and continuing commitment to the educational, research and service objectives of the school. While all full-time faculty members are expected to demonstrate this commitment, the content of particular tasks may vary for an individual over time and, at any given time, among individual faculty members. The following guidelines apply to teaching assignments:

A. Research

A faculty member is expected to develop and maintain an ongoing program of research. This research activity will usually result in assignment of two courses a semester if the faculty member can demonstrate both a current and consistent record of such research.

B. Teaching

Teaching assignments for a faculty member in any given semester may vary from no courses up to a maximum of three, depending upon other activities. Variations in the usual teaching assignment may be made for individuals who undertake significant administrative or professional responsibilities. Further reductions in teaching assignments will be warranted to the extent that an equivalent time devoted to research is funded by outside sources.

Particular care should be exercised to ensure that tenure-track faculty have total teaching assignments that permit adequate time to develop their research capabilities. Where

teaching involves inexperience with a course or area, such as with new personnel, this factor should also be taken into account.

The teaching requirements of the school have priority in faculty allocation by semester. Within that constraint, an individual faculty member's time allocation may vary within the year or between years to permit concentration on a particular objective. Thus, a heavier teaching load in one semester may be offset by fewer requirements in another, if consistent with school needs.

ARTICLE III. FACULTY DEVELOPMENT

It is the responsibility of all faculty to regularly initiate, encourage, and monitor faculty development in all of the relevant areas of faculty performance listed in ARTICLE I. This development process is to be encouraged throughout a faculty member's professional life regardless of academic rank.

A. Development of Teaching

Development of teaching skills requires feedback from several sources. This information may be useful for advice and counseling on technique and substance in teaching. The school encourages the development of student feedback that, with other information, will help determine the effectiveness of its curriculum and teaching, and enable individual faculty members to judge their effectiveness. Recognition of teaching excellence should be acknowledged.

B. Development of Research

Development of research skills comes through collegial interaction as well as individual initiatives. For example, faculty members are encouraged to consider joint research and investigation where appropriate. Research seminars in the school provide the opportunity to obtain advice and direction within the school. Faculty should consider presentations to their colleagues in the school as one means of providing assistance. Interaction with external colleagues in academic and professional meetings also leads to faculty development and recognition. Such participation should be actively encouraged and stimulated.

C. Personal Development Activities, Leaves, Sabbaticals

As a part of the regular process of self-development, all faculty should consider a multi-year plan for their activities in research, teaching, and service. Leaves of absence and sabbaticals have an important place in the development process. A reasonably detailed outline of planned activities and their contribution is an important element of the process of granting a request for leave or sabbatical. Upon return from a leave or sabbatical, the faculty member shall provide to the department chair and dean a short report of the activities.

Since a sabbatical must be negotiated between the applying faculty member and the dean, there is room for a disagreement. In case the dean denies a sabbatical request, a faculty member may appeal to the committee on appointments for review and mediation. However, the decision rests with the dean. Formal grievance procedures can be instigated, of course, if the negotiated decision is not to the faculty member's satisfaction.

ARTICLE IV. FACULTY GRIEVANCES

An individual with a grievance involving members of the school that cannot be resolved by the complainant and the respondent may submit the grievance in writing to the dean who shall follow the following procedure. This procedure normally should be utilized before a faculty member files a grievance at the university level.

- A. A review committee consisting of secretary of the faculty and the chairs of both the council and the committee on appointments shall investigate the grievance and attempt to resolve the dispute.
- B. If the above procedure fails, the review committee will form an ad hoc committee of three faculty members drawn from recommendations by the complainant and the respondent. The ad hoc committee will investigate the grievance and reports its findings to the review committee.
- C. The review committee will report its findings to the dean and to the complainant and the respondent.
- D. The grievance, the committee(s)' investigations and recommendations, and any subsequent decisions or actions shall become a part of the permanent records of the complainant and the respondent.

ARTICLE V. DEPARTMENTAL AND SCHOOL ANNUAL REVIEW PROCEDURES

As far as is consistent with stated university and school faculty policies and procedures, faculty involvement at the departmental level in the development of recommendations and decisions regarding appointments, promotions, the granting of tenure, faculty compensation and allocation, and the implementation of other policies specified herein shall be determined on a departmental basis. Department chairpersons will review evaluations of faculty as specified under such policies and procedures on an annual basis with members of the school committee on appointments.

Initial Approval as an Appendix to the By-Laws: 02/26/09
