Abstract

This document outlines the policies and procedures governing appointment, promotion, and tenure decisions at LUMS as they apply to all members of the faculty. This documents combines the policies and procedures that were available in (i) Faculty APT policy, (ii) Faculty APT process & procedures, (iii) Guidelines for faculty appointments, promotion, tenure and renewal of contracts, (iv) APT processes & procedures summary, and (v) 3 year contract review process for Tenure Track faculty.
### Table of Contents

1. **Table of Contents** ................................................................. 1
2. **Introduction** ........................................................................ 3
2.1 Implementation .................................................................... 3
3. **Positions for Appointment and Promotion** ............................ 5
   3.1 Overview ........................................................................... 5
   3.2 Faculty Responsibilities and Areas of Assessment ............... 6
      3.2.1 Teaching .................................................................... 7
      3.2.2 Research, Scholarship & Creative Work ..................... 7
   3.3 Professorial Ranks ............................................................ 8
      3.3.1 Tenure Track ............................................................. 8
      3.3.2 Teaching Track ......................................................... 9
   3.4 Appeals ............................................................................. 10
   3.5 Non-professorial Ranks .................................................... 12
4. **Roles and Responsibilities** .................................................... 13
   4.1 The Candidate .................................................................. 13
      4.1.2 Promotion & Tenure ..................................................... 13
   4.2 The Department .................................................................. 13
      4.2.1 Departmental Search Committee (DSC) ....................... 13
      4.2.2 Department Promotion and Tenure Committee (DPTC) .. 15
   4.3 The School ....................................................................... 16
      4.3.1 School Appointment, Promotion & Tenure Committee (SAPTC) 16
      4.3.2 The Dean .................................................................. 17
   4.4 MC / Board of Trustees ..................................................... 18
      4.4.1 Appointment ............................................................... 18
      4.4.2 Promotion ................................................................. 18
5. **Appointment Processes** ....................................................... 20
   5.1 Approval for Appointment Position ..................................... 20
   5.2 Standard Appointment Process for (Professorial Rank) positions 20
   5.3 Standard Appointment Process for (Non-Professorial Rank) positions 21
   5.4 Summary of Appointment Processes, Procedures and Signing Authority 21
6. **Tenure & Promotion Processes for Faculty on Tenure Track** .... 23
   6.1 Definition of Tenure .......................................................... 23
      6.1.1 Eligibility for Tenure .................................................... 23
   6.2 Tenure Clock .................................................................... 23
   6.3 Deviations from Standard Tenure Clock ............................. 24
      6.3.1 Professor or Associate Professor without Tenure .......... 24
      6.3.2 Prior Professorial Experience ...................................... 24
      6.3.3 Leave of Absence ....................................................... 24
      6.3.4 Request for Early Tenure Review .............................. 25
6.4 Performance Review of faculty

6.4.1 Annual Review 25

6.4.2 Review of Tenured Faculty

6.5 Preparation of the Dossier:

6.6 Mid Probationary Period Review

6.7 Committee Recusal

6.7.1 Updates and Late Submissions to the Dossier

6.8 Substantive Guidelines for Evaluation

6.8.1 Meeting Minutes

6.9 Standard Tenure & Promotion Process

6.10 Effective date of Tenure

6.11 Appeals 32

6.12 Timelines for Dossier Submission and Processing

6.12.1 Tenure Review 32

6.12.2 Mid-Term Review

7 Contract Renewal & Promotion Processes for Faculty on Teaching Track ..................34

7.1 Eligibility for Promotion

7.2 Deviations from Standard Eligibility Requirements

7.2.1 Prior Professorial Experience

7.3 Performance Review of faculty

7.3.1 Annual Review 34

7.3.2 Review for Extension of Contract

7.3.3 Preparation of the Promotion Dossier:

7.4 Committee Recusal

7.4.1 Updates and Late Submissions to the Dossier

7.5 Substantive Guidelines for Evaluation of Promotion Cases

7.5.1 Meeting Minutes

7.6 Standard Promotion Process

7.7 Effective date of Promotion

7.8 Appeals 38

7.9 Timelines for Dossier Submission and Processing

7.9.1 Tenure Review 38

7.9.2 Renewal of Contract

8 Dismissal / Termination of Appointments, Sanctions and Suspension ..................40

8.1 Resignation 40

8.2 Dismissal 40

8.2.1 Legitimate Causes for Dismissal

8.2.2 Hearing Process

8.2.3 Suspension Pending Final Decision

8.3 Sanctions Other than Dismissal

8.4 Termination 41

8.4.1 Termination because of a Reduced or Discontinued Program or Academic Unit 41

8.5 Financial Exigency

8.6 Exemptions and Revisions
2 Introduction

1. The reputation and standing of a university are determined by the quality of its faculty, and consequently, the appointment, retention, and development of premiere quality faculty are of highest priority. This document outlines the policies and procedures governing appointment, promotion, and tenure decisions at LUMS as they apply to all members of the faculty. The appointment and promotion procedures at LUMS are designed to privilege the knowledge and judgment of senior scholars within the candidate’s field, with the understanding that scholars are uniquely positioned to evaluate the quality of colleagues’ work within their field.

2. Except for changes due to policy revisions, the procedures by which candidates are evaluated should remain consistent over time, irrespective of faculty or administrative turnover. This document is intended to provide continuity and structure to the appointment and promotion process, and serve as official guidelines for all individuals participating in the appointment and promotion processes.

3. As much as possible, it is important that the process be applied uniformly across departments. The AP&T committees recognize that both the nature of scholarship and the venues that are used to communicate it vary widely from discipline to discipline. It is expected that the AP&T processes across disciplines will be essentially similar.

4. Confidentiality is important at all stages of the review process. Unless specified otherwise within these guidelines, all persons involved in a promotional review must hold in strict confidence all discussions and materials related to the review, including but not limited to the letters of both internal and external reviewers, letters of recommendation from deans and Chairs, testimony to the AP&T committees by deans, Chairs, and all deliberations of the AP&T committees. No person involved in the AP&T process should disclose to the candidate or to others what takes place at a Committee meeting at any time. The VC may share the recommendations of the MC/BoT with the respective deans.

2.1 Implementation

5. The policies and procedures laid out in this document are for faculty hired on tenure track, teaching track, contract or on special appointments. Faculty on termless contracts, who were hired under contracts and policies that predate the adoption of this policy will be encouraged to apply for tenure or promotion, but are not bound by the timelines and other procedures stipulated in this document. Instead, faculty on termless contracts, hired prior to the adoption of this policy are governed only by the terms of their existing contracts with the University.

6. Following the approval of the policies and procedures laid out in this document, the following existing policies stand revoked:
1. Faculty APT Policy: LUMS Policy # 201-08, Faculty Appointment, Promotion and Tenure, January 20, 2009

2. Faculty APT Processes & Procedures: Appointments, Promotion and Tenure Processes and Procedures. In line with LUMS Policy #201-08, February 05, 2009

3. Guidelines for faculty appointments, promotion, tenure and renewal of contracts: Guidelines for Faculty Appointments, Promotion, Tenure and Renewal of Contracts. Applies to all LUMS faculty governed by Policy # 201-08.


5. 3 year contract review process for Tenure Track faculty: 3 Year Contract Review Process for Tenure Track Faculty
3 Positions for Appointment and Promotion

3.1 Overview

7. The university may appoint academic staff on

A. **Tenure Track.** All tenure track appointments are in professorial ranks at the Assistant Professor, Associate Professor, or Professor level.

B. **Teaching Track.** These appointments may occur either in the professorial ranks or non-professorial ranks. Within the professorial ranks, candidates may be appointed to the Assistant Professor, Associate Professor or Professor level. In the non-professorial ranks, candidates may be appointed to the position of Teaching Fellow.

C. **Special Appointments.** Special Appointments may occur either in the professorial ranks or non-professorial ranks. Within the professorial ranks, candidates may be appointed as Research Professor (all ranks), Professor of Practice (all ranks), or Professor Emeritus level. In the non-professorial ranks, candidates may be appointed to the level of Visiting Faculty, Adjunct Faculty, post-doctoral fellow or scholar/writer/artist-in-Residence.
3.2 Faculty Responsibilities and Areas of Assessment

8. For appointment and promotion to a higher rank, a candidate is evaluated in terms of effectiveness in three principal areas:
   
   A. Teaching and mentoring
   
   B. Research, scholarship or creative work
   
   C. Professional service through university or professional society committee/council service, advising and other duties.

9. Distinction in the first two, constitute the chief basis for appointment and promotion for faculty on tenure track. Even though teaching may be more difficult to evaluate than
scholarship, research, or creative work, it is not of secondary consideration in the overall evaluation.

10. Teaching track appointments within the professorial ranks prioritize teaching, mentoring, and university service over research and scholarship, though teaching track faculty are encouraged to pursue scholarship to the extent necessary to remain current in their field.

11. Non-professorial rank appointments and special appointments rarely involve responsibilities in all three areas.

3.2.1 Teaching

12. Teaching is a principal function of the faculty. It involves direct educational connection with students inside or outside the classroom, laboratory or studio, and includes such activities as classroom, laboratory or studio instruction, seminars, independent study project supervision and supervision of graduate and postdoctoral research. It also includes advising undergraduate and graduate students.

13. University reviews will carefully evaluate a candidate’s record of excellence in teaching, using both peer reviews and student evaluations. In addition, the teaching evaluation will consider the quality of thesis and project supervision, as well as contributions to the development of curriculum and courses, and use of technology. For professional disciplines, peer evaluation may include evaluation of a faculty member’s teaching ability outside the traditional classroom lectures.

14. For faculty members who have contributed to teaching beyond classroom instruction or project/thesis supervision, (including textbook authorship or research in education) performance will be assessed according to measures of impact such as adoptions, citations, awards, and stature of publishers and publications.

3.2.2 Research, Scholarship & Creative Work

15. Scholarship refers to creative work that significantly contributes to knowledge and practice within the candidate’s field of expertise. The university will assess a candidate’s research, scholarship and creative work according to objective measures, including external reviews.

16. In assessing a candidate’s achievements in research, scholarship and creative work, the factors that will be taken into consideration include significant publications in books, journals, case journals, conference proceedings and other scholarly outlets, and peer-reviewed funding and substantial improvements or innovations in professional practice.

17. Various committees will assess publications according to objective measures of impact, including adoptions, citations, awards, reviews, reputation of journals and stature of publishers. Quality, rather than the quantity of work, will be the overriding factor for promotion as well as tenure.
3.2.3 Service

18. A demonstrated record of service is required for all faculty members. The shared governance model embedded in the tenure/teaching track system requires collegiality and good citizenship treating all members of the University community (faculty, staff, students) with respect. He/she must demonstrate compassion and willingness to cooperate and work harmoniously with others, while maintaining independence of thought and action. An individual's effectiveness as a teacher, as a leader in a professional area, and as a human being is therefore of great importance. Most notably, faculty members must exhibit intellectual breadth, emotional stability and maturity of thought. The university seldom grants tenure and/or promotion to the level of Associate/Full Professor to candidates with an unsatisfactory record of service.

19. The university considers service to department, school, university, industry, national and international agencies and professional organizations/societies/institutions in its assessment of the candidate’s service record. The university places special emphasis on service that raises the university’s local or global visibility and supports its key mission and strategic direction.

20. The university expects candidates for promotion to professor to have made contributions to the university through service at the departmental, school or university level. Service in the profession will be assessed according to objective measures of impact such as citations, awards, commendations and level of appointment.

3.3 Professorial Ranks

3.3.1 Tenure Track

3.3.1.1 Assistant Professor

21. To be appointed as an Assistant Professor on Tenure Track, the candidate is required to have a Ph.D/relevant terminal qualification from a recognized institution and excellent written communication skills as well as excellent presentation skills. An assistant professor should be demonstrably competent in his/her field of expertise and should have indicated a serious commitment to teaching, but an extensive reputation in the field is not yet expected. As the assistant professor continues in this rank an effort to increase knowledge and improve teaching ability should be demonstrated, and professional presentations should be made through papers to professional organizations, through publications, or through other creative work.

22. Assistant professors are appointed for an initial contract of four years, with the “Mid-Probationary Period Review,” described in detail in section 6.5, for grant of a second 4-year contract occurring in the third year.

3.3.1.2 Associate Professor

23. The candidate for Associate Professor should offer evidence of knowledge of developments in the field of expertise and a continued interest in improving teaching methods. Appointment or promotion to this rank represents an expectation on the part of
the department, school, and university that the individual will continue to make sound contributions to teaching and learning. It should be made only after careful investigation of the candidate’s promise in scholarship, in teaching, and in leadership and learning. Initial appointment at the level of Associate Professor may be made with or without tenure. In case the appointment is without tenure, tenure review will happen at the end of the candidate’s third year of employment. (See section 6.3) It is expected that an Associate Professor shall already have shown a basic general understanding with regard to a large part of the discipline. Associate Professors are eligible to serve on Department, School, and University level appointment, promotion & tenure committees, although they are ineligible to vote on cases of promotion to full Professor.

### 3.3.1.3 Professor

24. A faculty member appointed to the rank of Professor is expected to have had an impact on the state of knowledge. It is expected that the professor will continue to develop and mature with regard to teaching, research, and other qualities that contributed to earlier appointments. Consideration for this appointment should include particular attention to the quality and significance of contributions to the candidate’s field; to the sensitivity and interest in the general problems of university education and their social implications; and the candidate’s ability to make constructive judgments and decisions in regard thereto. It should be kept in mind that the full professors are likely to be the most enduring group in the faculty and are those who will give leadership and set the tone for the entire University.

25. Initial appointment at the level of Professor may be made with or without tenure. Contracts for appointment to Professor without tenure are for a maximum of four years, with tenure review taking place at the end of the candidate’s third year of employment. (See section 6.3) Professors are eligible to serve on department, school, and university level appointment, promotion & tenure committees, and are the only faculty members eligible to vote on cases of promotion to full Professor. Professor is the highest professorial rank at the university.

### 3.3.2 Teaching Track

#### 3.3.2.1 Assistant Professor

26. The option of appointment of Assistant Professor on teaching track will in general be available to those who either have a terminal degree/equivalent professional qualification, or 8-10 years of teaching/industry experience after a master’s degree/equivalent professional qualification and excellent written communication and presentation skills.

27. An assistant professor should be competent in their field and should be committed to teaching, but it need not be expected that an extensive reputation in the field has been acquired. As the assistant professor continues in this rank, he/she should demonstrate an effort to increase knowledge and improve teaching ability.

28. Assistant Professor on teaching track hold four year contracts, which may be renewed subject to formal reviews that take place at the school level during the final contract year of each contract period.
3.3.2.2 **Associate Professor**

29. Normal expectation for appointment to Associate Professor is a terminal degree/equivalent professional qualification along with 7-8 years teaching experience as Assistant Professor, or equivalent relevant industry experience. The candidate for Associate Professor should offer evidence of knowledge of developments in the field of expertise and an interest in improving teaching methods. The candidates’ record of teaching, curriculum development, pedagogical scholarship, and/or relevant industry experience will be carefully assessed prior to appointment. Appointment or promotion to this rank represents an expectation on the part of the department, school, and University that the individual will continue to make sound contributions to teaching and learning. It should be made only after careful investigation of the candidate’s promise in teaching, leadership and learning. Initial appointment at the level of Associate Professor may also be made.

30. It is expected that an Associate Professor shall have demonstrated substantial knowledge with respect to his/her academic discipline. Associate Professors are eligible to serve on department, school, and university level teaching-track appointment & promotion committees, although they are ineligible to vote on cases of promotion to full Professor.

31. Associate Professors on teaching track hold four year contracts, which may be renewed by the Dean of the School, subject to formal reviews that take place at the school level during the final contract year of each contract period.

3.3.2.3 **Professor**

32. A faculty member appointed to the rank of Professor is expected to have had an impact on the state of knowledge. It is expected that the professor will continue to develop and mature with regard to teaching, research, and other qualities that contributed to earlier appointments. Consideration for this appointment should include particular attention to the quality and significance of contributions to the candidate's field, sensitivity and interest in the general problems of university education and their social implications, and ability to make constructive judgments and decisions in regard thereto.

33. Normal expectation for appointment to Professor is a terminal degree/equivalent professional qualification and an additional 8-10 years of teaching experience at the Associate Professor level. It should be kept in mind that the full professors are likely to be the most enduring group in the faculty and are those who will give leadership and set the tone for the entire university.

34. In all other cases they will hold four year contracts, which may be renewed subject to formal reviews that take place at the school level during the final contract year of each contract period.

3.4 **Appeals**

35. Candidates may appeal a negative committee decision with respect to extension of contract or promotion at any time in process not later than six weeks after the candidate has been notified. The appeal is with the dean if the application is rejected at the department level, and with the VC if it is rejected at school or university level.
36. Candidates may also appeal decisions by writing to the Faculty Council not later than six weeks after the candidate has been officially notified that contract is not being extended or promotion has not been awarded. This review, which is conducted by the Appeals and Grievances Committee of the Faculty Council, examines procedural issues only and does not assess the substantive issues having to do with the candidate's qualifications for renewal of contract or promotion. Once the review is complete, the Appeals and Grievances Committee files a written report of its findings to the Vice Chancellor, who subsequently decides what action to take.

3.4.1 Special Appointments

3.4.1.1 Professor of Practice

37. Appointment to the rank of Professor of Practice or Associate Professor of Practice is for practitioners who have demonstrated a high level of expertise in fields of particular importance to LUMS. The process followed for these appointments is the same as that followed for tenure track appointments at the same rank. These appointments are intended for individuals who, by virtue of their credentials and extensive practical experience, bring distinctive insight and skill to teaching in various educational programs. Appointment is within the professorial ranks, and candidates must demonstrate a deep commitment to teaching and/or research.

38. Professors and Associate Professor of Practice hold four year contracts. These contracts are renewable and based on performance, as assessed through annual reviews. The appointment letter for those hired with this title must include a description of their teaching duties and other responsibilities. It should also describe the procedures to be used for their annual review and evaluation.

3.4.1.2 Research Professor (All Levels)

39. Appointment as a Research Professor at the level of Assistant, Associate or Full Professor is for researchers required by the university for a specific task or on a specific funded project, through which their salary would be paid. The process followed for these appointments is the same as that followed for tenure track appointments at the same rank. These faculty members are not assigned any teaching responsibility nor are they expected to participate in any administrative activity.

3.4.1.3 Professor Emeritus

40. The university may appoint full professors who retire in good standing to the status of Professor Emeritus. The university may also appoint distinguished retired full professors from an institution of comparable or higher reputation to the status of Professor Emeritus. This honorary status is permanent and does not confer teaching, research, or service responsibilities. The university may provide the Professor Emeritus with office space, clerical assistance, lab space, and other facilities on the basis of need and ability. The university may appoint a Professor Emeritus to teach courses, conduct projects, or assume administrative duties. The letter of appointment will contain the terms and conditions of the supplemental
appointment. Those chosen as Professor Emeritus may not hold down a salaried position elsewhere.

3.5 Non-professorial Ranks

3.5.1 Visiting Faculty

41. Visiting appointment of a faculty member are limited to persons who hold primary positions elsewhere, usually at another University/Institute, etc. Contracts may be granted for a maximum period of two years and are renewable. Individuals of distinction having assistant/associate/full professorial or equivalent rank at institutions of equivalent or higher standing than LUMS may be appointed at equivalent visiting professorial ranks.

3.5.1.2 Teaching Fellow

42. This is an entry level position for individuals who have a bright prospect for a career in academia. Teaching Fellows hold a master’s degree or its equivalent and are working towards a doctorate or professional degree pursuant to a career in academia. Teaching fellows are eligible to apply for appointment as Assistant Professors upon the attainment of a doctorate / professional degree, in accordance with the individual’s review schedule. While there is no guarantee of appointment as an Assistant Professor upon the attainment of a doctorate degree, the aptitude and qualifications of an applicant should be carefully assessed during the appointment process for the Teaching Fellow position.

43. Teaching Fellows would be appointed for an initial period of three years, during which they would be expected to proceed for their doctoral studies or complete requirements for their ongoing doctoral studies.

3.5.1.3 Adjunct Faculty

44. Members of the adjunct faculty do not have permanent positions, and are hired to teach courses at the university on a part-time basis each semester. They are not limited to working only at LUMS, do not have administrative responsibilities and, in general, are not expected to perform research. Appointments will only be made for one semester, but may be renewed. Faculty members may be appointed as adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor.

3.5.1.4 Scholar/Writer/Artist in Residence

45. Practitioners in fields of particular importance to LUMS may also be appointed as Executive-, Writer-, or Poet-in-Residence. Appointments to Executive-, Writer-, or Poet-in-Residence are for a maximum of four years and are renewable.
4 Roles and Responsibilities

46. Origination of cases of appointment, promotion and tenure occurs either at the departmental level for schools that do have a departmental structure or at the school level in the absence of a departmental structure. The most important stage of the review process occurs at the level where appointment, promotion, and tenure cases originate.

4.1 The Candidate

4.1.1 Appointment

47. The candidate is responsible for providing an up to date CV along with a list of referees to the Departmental Search Committee (DSC) to be considered appointment in the department / school. Any application received by any other person in the university is to be forwarded to the DSC. Candidates who are invited to interview on campus will be expected to deliver a seminar of at least one-hour duration on a topic relevant to their area of scholarship.

4.1.2 Promotion & Tenure

48. Once a Chair has informed a candidate of the department's intention to conduct a review for promotion, and he or she consents, the candidate will prepare his/her dossier in accordance with guidelines provided for in this document. While it is the responsibility of the candidate to prepare their dossier, it is important to note the responsibilities of the Chair outlined later in this document.

4.2 The Department

49. In schools having a departmental structure it is expected that the department faculty typically has the most extensive knowledge of the candidate's work and the most relevant expertise to evaluate it. It is here that the quality standards are most effectively applied. Ideally, if the departments execute their responsibilities fully and correctly, the vast majority of cases that are forwarded with a positive recommendation will be approved. If a candidate does not qualify for appointment or promotion, it is preferable that the recommendation to not award promotion be made at the level of the department.

4.2.1 Departmental Search Committee (DSC)

50. Once the departments are fully staffed it is expected that faculty position vacancies would occur only occasionally due to retirement or departure of a faculty member or provision of additional faculty lines by the university. Once this steady state operation is reached the process of recruitment of a new faculty member would be managed by an ad-hoc Department Search Committee which would be a committee set up to solicit and process candidates for the open faculty position. The DSC solicits applications, evaluates applicants, and recommends successful candidates to the Chair for further consideration.

51. The search committee would normally consist of at least three members, including a minimum of two whose areas of scholarship relate to that of the open position. The
appropriate Chair appoints faculty to the DSC in consultation with the school’s dean. Both the dean and Chair serve as independent reviewers to the committee, and may not serve as voting members of the committee. If the department is small, the Chair may participate in the search process, though he/she may not participate in the DSC report or recommendation. If a school does not have a departmental structure, the search committee will be formed at the school level by the dean.

52. If the department is small or intends to hire faculty with interdisciplinary expertise, the DSC may draw members from other departments or schools of the university. If the university lacks a sufficient number of relevant faculty to serve on the committee, the Chair may extend the DSC committee membership to faculty members from universities of equal or higher standing.

53. During the formative years of a department the Chair in consultation with the dean of the school, may establish a standing DSC consisting of at least three faculty members who would perform all functions of the search committee and would obtain review of experts in the areas of scholarship of the faculty candidate, as required.

4.2.1.1 Appointment

54. The DSC constructs a recruitment plan for the department’s available positions, including an advertising and outreach strategy, and solicits applications for open positions. Advance planning and strategic recruitment is encouraged in order to attract a competitive and robust candidate pool. The DSC may invite candidates to apply for open positions.

55. After soliciting applications, the DSC compiles a dossier of all eligible candidates, which consists of all necessary documentation in line with the department’s specific application procedures. All applications must include letters of reference.

56. The DSC short-lists candidates to invite to campus for in-person interviews, arranges the visit program, and takes responsibility for all communication between the university and candidate. The program for appointment candidates’ campus visit shall include (at a minimum) interviews, a seminar presentation by the candidate, and time for interaction between the department and the candidate. As an alternative to the visit, the DSC may conduct the interviews through Skype or any other electronic means.

57. Following the interactions, the DSC shall meet to discuss the candidates’ impact, and to evaluate the strength of the candidate’s dossier. The DSC will vote on whether to recommend the candidate’s appointment, and will delegate one member to write a written report elaborating on the committee’s decision.

58. Any committee member whose vote did not align with the committee’s official recommendation may opt to submit a minority report, either in support or against the candidate’s appointment. All minority reports are included in the candidate’s dossier.

59. The committee shall forward its report and the dossier (including the candidate's application, written notes from the candidates’ interviewers, and any minority committee reports, if applicable) to the Chair.
4.2.2 Department Promotion and Tenure Committee (DPTC)

60. The DPTC is a department level committee formed by the Chair in consultation with the Dean. It makes recommendations on mid probationary review, promotion and grant of tenure to faculty members. The DPTC recommends successful candidates to the SAPTC for further consideration. Schools without a departmental structure will not have DPTCs, and the SAPTC will serve as the starting point for matters of tenure, review, and promotion of existing faculty.

61. The committee consists of three to five faculty members at the Associate / Full Professor level who serve a 3-year term. The appropriate Chair shall appoint the members in consultation with the school’s dean. Both the dean and Chair serve as independent reviewers to the committee, and may not serve as voting members of the committee. For cases of promotion to Professor, only the vote of Professors may count. For cases of grant of tenure, only the vote of tenured faculty may count.

62. If the department is small or if the candidate has a joint appointment with other departments or schools, the committee may draw members from other departments or schools within the university. If the university lacks the relevant faculty to constitute a full committee, the Chair may extend the DPTC committee membership to senior faculty members from universities of equal or higher standing.

4.2.2.1 Promotion and Tenure

63. For each case, at the conclusion of the deliberations, a member of the Committee, referred to as the Convener, will be assigned by the Chair the task of authoring an “Executive Summary” of the committee deliberations. The final draft of the Executive Summary, including a record of each vote without the name of the specific Committee member attached to it, should be approved by the Committee and added to the dossier in electronic form and forwarded to the Chair.

4.2.3 Chair

64. The Chair is responsible for informing candidates about appointment and promotion processes, including the candidate's role in the review and the expected schedule for each stage of the review. The Chair should also make a reasonable effort to ensure that the candidate has fully understood the process and that any potential confusion or misunderstanding has been resolved.

4.2.3.1 Appointments

65. The Chair will receive a written report and recommendation from the DSC regarding the strength of any candidate who has been interviewed on campus for a position within the department. If both the DSC and Chair issue a negative recommendation for the candidate’s appointment, the Chair will then inform the candidate.

66. If either the DSC and/or the Chair issues a positive recommendation for the candidate’s appointment, the Chair will write a summary of the case and forward the candidate’s dossier and all additional materials to the SAPTC for further consideration.
The SAPTC reviews the case and forwards its recommendations to the dean.

If both the SAPTC and the dean decline to recommend the candidate for appointment, the application will be rejected and the Chair will notify the candidate.

In all tenure track and teaching track cases (professorial ranks only) the dean will forward the case along with his/her summary recommendation as well as the recommendation of the SAPTC to the VC for final review and decision.

**4.2.3.2 Promotion & Tenure**

The Chair should explain clearly to the candidate the expectations for meeting university-wide standards of quality and productivity in scholarship, research, or other creative work, in teaching, and in professional service both within and outside the University. For Assistant Professors, this information should be provided to the candidate at the time of employment, reiterated at each performance review, and again communicated to the candidate prior to review for promotion or contract renewal. At annual performance reviews, the Chair should give Assistant Professors feedback about their progress toward achieving tenure and suggest constructive measures that will help address any existing deficiencies. At the beginning of all meetings concerning promotion, the Chair should remind the faculty of the confidential nature of the entire review process.

For tenure candidates, the Chair is also responsible for the preparation of the candidate's external dossier. Although he or she may delegate work to others, the Chair must oversee the process and ensure the full dossier is complete and in compliance with university guidelines. The Chair will ensure that concise, uniform dossiers in *electronic form* with recommendations of the external reviewers and Chair are available to be forwarded to the dean, DPTC, and SAPTC for consideration.

**4.3 The School**

**4.3.1 School Appointment, Promotion & Tenure Committee (SAPTC)**

The SAPTC is a school-level standing committee with responsibility for the review of all appointment, mid probationary review, tenure and promotion cases for the school.

The SAPTC must have a minimum of five faculty members at the Associate / Full Professor level, each of whom serves a three-year term. The dean shall appoint the members. The dean and Chair serve as independent reviewers to the committee and may not serve as voting members. For cases of promotion to Professor, only the votes of Professors may count.

If necessary in order to constitute a full-sized committee, the SAPTC may draw members from other schools within the university. If the university lacks a sufficient faculty qualified to serve on the committee, the Dean may extend the committee membership to faculty from universities of equal or higher standing. Membership of the SAPTC may include senior faculty including those on termless contracts but who have not been through the tenure process.
4.3.1 Appointments

75. The SAPTC reviews any appointment candidate who has been recommended for appointment by the DSC and/or relevant Chair. The SAPTC reviews the candidate’s dossier and all additional documents, and then votes whether to support the candidate’s appointment. The SAPTC then makes a report and sends its recommendation with the dossier and all documentation to the dean for further review. Any committee member whose vote did not align with the committee’s official recommendation may opt to submit a minority report, either in support or against the candidate’s appointment. All minority reports are included in the candidate’s dossier.

4.3.1.2 Promotion & Tenure

76. For each case, at the conclusion of the deliberations, a member of the SAPTC will be assigned by the dean the task of authoring an “Executive Summary” of the committee deliberations. The final draft of the Executive Summary, including a record of each vote without the name of the specific Committee member attached to it, should be approved by the Committee and added to the dossier.

4.3.2 The Dean

4.3.2.1 Appointments

77. The dean will receive a written report and recommendation from the SAPTC regarding the strength of any candidate whose dossier the committee has evaluated. If both the SAPTC and dean issue a negative recommendation for the candidate’s appointment, the Chair will then inform the candidate.

78. For all teaching track and special appointment positions (Except adjunct faculty), if either the dean and/or the SAPTC delivers a recommendation in support of the candidate’s appointment, the dean will forward the candidate’s dossier and any additional documents to the VC for final evaluation. In the case of adjunct faculty, the final appointment will be made by the Dean.

79. For all tenure track appointments at the level of Assistant Professor, if either the Dean and/or the SAPTC delivers a recommendation in support of the candidate’s appointment, the dean will forward the candidate’s dossier and any additional documents to the VC for final evaluation.

80. For all tenure track appointments at the level of Associate or Full Professor, if either the dean and/or the SAPTC delivers a recommendation in support of the candidate’s appointment, the dean will forward the candidate’s dossier and any additional documents to the Vice Chancellor.

4.3.2.2 Promotion & Tenure

81. Once a case has been reviewed by a department and forwarded to the school, the dean will then seek evaluation of the candidate and recommendation from the SAPTC. The dean may also request letters of assessment from faculty in the candidate’s department. Such
letters will be treated in confidence and will be included in the dossier when it is forwarded to the VC. Should letters be received by the dean from others, whether solicited or not, copies of such letters will be sent by the dean to the DPTC.

82. Upon completion of the review by the SAPTC, the dean will write a confidential memorandum to the vice chancellor. This memo will describe his or her evaluation of the candidate and will assess the potential impact of the promotion on the long range goals of the school and the University. It will be added to the dossier and sent to the VC’s office.

83. Occasionally, a dean may disagree with the recommendation of the SAPTC. This may occur when a dean feels that a candidate whom the department supports is not qualified for appointment or promotion; or conversely, a dean may feel that a candidate should be reviewed by the university when the department feels otherwise. The dean will in all cases forward the dossier to the vice chancellor along with a confidential letter of recommendation.

4.3.3 The Vice Chancellor

84. The Office of the Registrar (RO) is the custodian of all policies and procedures relating to faculty appointment, promotion, tenure, and retention at the university. The Registrar’s Office is responsible for circulating policies to all academic staff and their respective units.

85. The VC conducts the final review of all matters pertaining to appointment, promotion & tenure, prior to approval by the Management Committee (MC) and ratification by the Board of Trustees (BoT). In making decisions regarding appointments, promotion or tenure, the Vice Chancellor may call on other persons who might provide information considered vital to a fair and thorough review before transmitting them to the MC.

86. All candidates who are reviewed by the SAPTC, whether successful or unsuccessful, will be notified by the VC of the decision. This communication is made immediately following the VC’s decision and precedes the formal approval of the MC/BoT. Unsuccessful candidates will be informed by the Vice Chancellor of their right to an appeal which may only be on procedural grounds.

4.4 MC / Board of Trustees

4.4.1 Appointment

87. For all cases of appointment with tenure or appointment to full Professor (with or without tenure), final approval of a candidate’s appointment lies with the MC to be ratified by the BoT. After the VC considers the candidate for appointment, the VC will deliver a formal recommendation to the MC who will then vote to either approve or reject the candidate’s appointment. Decisions of the MC will be forwarded to the BoT for ratification.

4.4.2 Promotion

88. For all cases of tenure track promotion, or of a teaching track candidate’s promotion to full Professor, final approval of a candidate’s appointment lies with the Board of Trustees. After the VC considers the candidate for promotion and/or tenure, the VC will deliver a formal
recommendation to the MC, who will then vote to either approve or reject the candidate’s promotion. Decisions of the MC will be forwarded to the BoT for ratification.
5 Appointment Processes

5.1 Approval for Appointment Position

89. The university’s annual budget, as approved by the Board of Trustees, includes the number of lines for professorial and non-professorial rank academic staff on tenure track, teaching track and special appointments. Any appointment of an academic staff member may only be made against an approved line. The Vice Chancellor will allocate available positions between the schools based on anticipated needs and university priorities. Each dean may thereafter allocate the school’s budgeted positions among the various departments, based on the needs and priorities of the school and each department.

5.2 Standard Appointment Process for (Professorial Rank) positions

1. Availability of relevant faculty line confirmed by HR
2. Application received for consideration by the DSC
3. DSC Convenes and reviews all applications
4. Shortlisted Candidates invited for interview
5. In all other cases the HoD forward his/her recommendation together with that of the DSC to the Dean for consideration by the SAPTC
6. In case of negative recommendation by the SAPTC and Dean, application is rejected and candidate is so informed
7. Review of dossier and DSC recommendation by the HoD
8. The SAPTC reviews the case and forwards its recommendations to the Dean
9. In case of negative recommendation by the SAPTC and Dean, application is rejected and candidate is so informed
10. In case of a positive recommendation by the Dean for appointment at the Assistant or Associate Professor Level, the final decision for appointment without tenure at is made by the VC.
11. Shortlisted Candidates invited for interview
12. In case tenure is to be granted upon initial appointment or initial appointment is to be made at the Full Professor Level then the case is forwarded to the Board of Trustees along with the recommendation of the VC
13. On approval of VC, dossier is forwarded to HR for issuance of contract to be signed by the VC
5.3 Standard Appointment Process for (Non-Professorial Rank) positions

5.4 Summary of Appointment Processes, Procedures and Signing Authority

The process to be followed for appointments to be made in the professorial and non-professorial ranks is outlined in Section 5.2 and Section 5.3 respectively. The offer letter and the employment appointment letters employ a standard format and are generated by the Human Resource division.
<table>
<thead>
<tr>
<th>Academic Staff Position</th>
<th>Appointment Approving Authority</th>
<th>Signing Authority of Offer Letter</th>
<th>Signing Authority of Employment Appointment Letter</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Professorial Ranks</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assistant/Associate Professor (Teaching Track, Tenure Track or Research), Assistant Professor of Practice</td>
<td>Vice Chancellor</td>
<td>Dean</td>
<td>Vice Chancellor</td>
</tr>
<tr>
<td>Associate Professor (Tenured) / Professor(Tenure Track) / Professor(Tenured)</td>
<td>MC/Board of Trustees</td>
<td>Dean</td>
<td>Vice Chancellor</td>
</tr>
<tr>
<td>Professor Emeritus</td>
<td>MC/Board of Trustees</td>
<td>Not Applicable</td>
<td>Vice Chancellor</td>
</tr>
<tr>
<td><strong>Non-Professorial Ranks</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Teaching Fellow</td>
<td>Dean</td>
<td>Not Required</td>
<td>Dean</td>
</tr>
<tr>
<td>Visiting Professor (All Ranks)</td>
<td>Vice Chancellor</td>
<td>Dean</td>
<td>Vice Chancellor</td>
</tr>
<tr>
<td>Adjunct Faculty</td>
<td>Dean</td>
<td>Not Required</td>
<td>Dean</td>
</tr>
<tr>
<td>Scholar/Writer/Artist in Residence</td>
<td>Dean</td>
<td>Not Required</td>
<td>Dean</td>
</tr>
<tr>
<td>Post-doctoral Fellow</td>
<td>Dean</td>
<td>Not Required</td>
<td>Dean</td>
</tr>
</tbody>
</table>
6 Tenure & Promotion Processes for Faculty on Tenure Track

6.1 Definition of Tenure

91. Tenure is an arrangement whereby an Associate Professor or Professor, maintains his/her professorial appointment until retirement, resignation, dismissal for cause, or termination due to the discontinuation or reduction of a program. Tenured faculty members are entitled to continued institutional support for teaching and scholarship, and they enjoy equitable compensation and benefits.

92. Academic tenure allows faculty members to teach, research, or inquire into areas that might be politically or commercially controversial without fear of dismissal. The process of exploring and expanding frontiers of knowledge often challenges the established order. Therefore, tenure’s value extends beyond the mere protection of individual faculty members. Tenure assures society that the faculty’s first priority will remain the pursuit of truth and knowledge.

93. The granting of tenure does not preclude a faculty member from further review of performance.

6.1.1 Eligibility for Tenure

94. All non-tenured appointments in the tenure-track are eligible for tenure. New appointments at the associate professor and professor rank can be with tenure or without tenure, and can be moved to tenured positions on meeting tenure requirements.

95. The conferral of tenure represents a long-term commitment by the university and requires tenure candidates to demonstrate both a track record of proven excellence, and promise for continued distinction. Relevant benchmarks for tenure evaluation, therefore, include the extent to which the candidate’s work has advanced his/her field; reflects growing professional development; is perceived as valuable by experts in the field; and demonstrates potential for increased contribution to the discipline’s body of knowledge.

6.2 Tenure Clock

96. The “tenure clock” is the schedule for the probationary period after which a tenure track faculty member in the professorial ranks is required to apply for tenure. A standard tenure clock spans eight years that are divided in two parts. New tenure track appointments are made at the initial professorial rank of Assistant Professor.

97. An initial appointment of a faculty member on tenure track is made through grant of a first contract for four years. A mid-probationary review (MPPR) occurs during the third year of the first contract and upon successful review at the end of the third year of the first contract, the faculty member is awarded a second contract of four years. If the review is not successful, the fourth year of the first contract will be the terminal year. The official tenure application and review occurs during the Assistant Professor’s third year of the second contract or one year prior to the expiration of the second contract. Assistant professors are promoted to the rank of associate professor on award of tenure.
During the third year of their second contract (or seventh year after initial appointment), Assistant Professors are required to undergo review for tenure. Assistant Professors who receive tenure are promoted to Associate Professor after the completion of their contract; for those who do not receive tenure, the eighth year will be the terminal year, unless the candidate is granted the option to reapply for tenure. This extension is granted at the sole discretion of the university.

If the candidate is granted the option to reapply for tenure, the university will extend his/her contract for a two-year term upon expiration of the second contract. The second tenure review must take place within two years of the first application for tenure review. If tenure is not granted the second year of the extended contract will be the terminal year.

### 6.3 Deviations from Standard Tenure Clock

#### 6.3.1 Professor or Associate Professor without Tenure

Rarely, a scholar or researcher with experience may be appointed to tenure track at the Associate Professor or Professor level. These appointments are made typically when considering qualified senior level individuals without significant experience in academia, or those candidates returning to academia after some break. The period of contract of a professor or associate professor without tenure shall be for a maximum of four years.

Professors or associate professors without tenure may be reviewed for tenure during the first three years of the period of contract. If they are not conferred tenure by the end of the third year, the fourth year will be the terminal year, unless the candidate is granted the option to reapply for tenure. This extension is granted at the sole discretion of the university. If the candidate is granted the option to reapply for tenure, the university will extend his/her contract for a two-year term upon expiration of the contract. The second tenure review must take place within two years of the first application for tenure review. If tenure is not granted the second year of the extended contract will be the terminal year.

The time frame in which a faculty member is to apply for tenure is specified in the contract awarded.

#### 6.3.2 Prior Professorial Experience

When an individual who has served at other institutions at a professorial rank is employed at LUMS, prior service at other institutions will not be counted in the tenure clock.

#### 6.3.3 Leave of Absence

An approved leave of absence from LUMS without pay is not counted in the tenure clock if, due to the nature of the leave, the faculty member is unable to continue the pursuit of normal scholarly activities during that period. The tenure clock would also be stopped for a period of one-year during the period of maternity leave. Extension in the tenure clock must be requested in writing at the time the leave is requested. The VC in consultation with the dean will determine how such a leave will affect the timing of the review for promotion and the terms of the contract. All leaves from which normal research activities are continued will count towards the tenure clock.
6.3.4 Request for Early Tenure Review

105. Early reviews are encouraged only in cases where candidates are making unusually rapid progress and have already shown high accomplishments. To be successful, the case must be very clear and compelling. If the department wishes to put forward a candidate early, it should make a proposal in writing to the dean, summarizing the reasons, prior to initiating the review process.

106. In determining whether to conduct an early review, the department will examine the CV, teaching record, and other materials the candidate chooses to present. Should the department decide that the candidate’s scholarship lacks sufficient justification for early tenure review, it will reject the request for an early tenure review and explain the reasons for its decision to the candidate. The candidate’s tenure review will proceed under the standard timeline in accordance with his/her contract and tenure clock.

107. If the department feels the request for early review is warranted, it may agree to start the tenure review process at the request of the candidate.

6.4 Performance Review of faculty

6.4.1 Annual Review

108. All faculty members participate in annual review of their performance by completing the electronic self-evaluation forms following which their performance is reviewed by the respective Chairs/Deans.

6.4.2 Review of Tenured Faculty

109. Other than annual salary reviews, tenured associate professors receive a review by their chair every three years; a more detailed review by a review committee is also carried out in their ninth year at associate status. Other than annual salary reviews, tenured full professors are reviewed in detail by a review committee every five years. The review committee will be constituted at the department or school level by the Dean of the School in consultation with the Vice Chancellor.

110. The Dean may waive the review for faculty members who have submitted a letter of retirement or resignation. The Dean of the School may grant an extension of up to one year when circumstances place an undue burden on the faculty member or department to complete the review during the scheduled year of review.

6.5 Preparation of the Dossier:

111. The following information must be included in the dossier to be prepared by the candidate to be reviewed on the tenure track system and promoted on the teaching-track system:

1) **Cover letter to the Chair/Dean** that succinctly highlights accomplishments in research (do not list publications), teaching, service to LUMS as well as societal impact, if any. Accomplishments outside these categories may also be highlighted. For teaching, applicants should prepare a table listing all courses taught (semester by semester)
along with percent contribution, student enrollment in each course and the associated instructor evaluation score (score out of 5).

2) **Updated curriculum vitae** that includes list of publications in journals, conferences and books, cases, research grants and role in each, travel grants, awards and honors, and invited seminars at conferences and institutions. Also include in CV consultancies, patents filed, invention disclosures, and companies formed.

3) **A comprehensive Google Scholar / Scopus/Web of Science report** listing all publications along with number of times each contribution was cited.

4) **Teaching statement** describing teaching philosophy, innovations in teaching methodology (if any), and courses developed. Other notable achievements in enhancing quality of pedagogy may also be highlighted in this section.

5) **Research statement** describing past accomplishments, ongoing work and future research activities. Also list past and ongoing collaborations, along with the number of undergraduate and graduate students supervised and their placements.

6) **Service statement** elaborating how the applicant has contributed to institutional building as well as impacting the society. List all conferences and workshops organized, associations with scientific journals and/or funding agencies, and service to them as reviewer.

7) **Names and contacts** of at least six referees working in the applicant’s research area including those who have worked, collaborated, and/or supervised the applicant are to be provided at the time of tenure review. External referees are not required for mid-probationary review. [*For promotion to associate professor all referees must be at a rank of Associate Professor and above; similarly, for promotion to full Professor, all referees must also be at the same rank. Referees from research institutes or corporations with ranks equivalent to academic ranks are also acceptable.*]

### 6.6 Mid Probationary Period Review

12. The employment of tenure track Assistant Professors consists of two consecutive contracts, each of four-year duration. The first contract is awarded at the time of employment and the second is awarded following a successful review of work done during the first contract period. During the third year of the first contract, the Assistant Professor undergoes a Mid Probationary Period Review (MPPR) to evaluate his/her progress towards tenure and determine whether his/her contract will be extended for the following 4 years.

13. This MPPR will take place no later than the spring semester of the candidate's third year of the first four-year contract period. Assistant professors whose contracts are not renewed will be entitled to complete the fourth year of their contract but lose the right to participate in faculty searches. Candidates will be notified in writing of the decision regarding contract renewal no later than six months prior to the completion of their contract.
114. All candidates, regardless of when they are hired, must be reviewed for their first contract period no later than their third year by DPTC & SAPTC; and must be reviewed for tenure no later than their seventh year (with appropriate account of leaves).

115. In preparation for the MPPR, the faculty member must prepare a dossier to inform the committees’ evaluation of his/her scholarship, teaching performance, and service. The requirements of the MPPR dossier are the same as that of the internal dossier required for tenure and promotion decisions. External reviews are not required for the MPPR.

116. The decision to award a second four-year contract to an assistant professor is a major commitment. Consequently, the review process must evaluate the candidate’s performance in the same categories of scholarship, teaching, and service as are addressed when a candidate is reviewed for tenure. The review process must also respect the legitimate expectations of the candidate and reflect the informed judgment of his or her peers (normally the tenured and senior members of the department). Since the period of evaluation is less -- typically two and one half years for a contract review versus six and one-half for a tenure review -- the expectation for demonstrated research and achievements is far less than what is expected for the grant of tenure.

117. The option of non-renewal is not meant to compromise the integrity of the normal probationary period, for the university well understands that creativity is not easily assessed and need not arrive on a fixed schedule. However, the same general standards and principles should apply; the decisive criteria are the quality and impact of the work to date and that the candidate is making reasonable progress toward tenure. The materials required for review of a tenure-track contract renewal are thus of the same kind as for a tenure review and they should be assembled by following the same steps described in the previous sections. The only exception is that external reviewers are not required. There may, however, be cases where a department feels that the review would benefit from an external opinion. In such cases, the same guidelines for selecting and communicating with external reviewers as for a tenure review apply. The appointment of an internal reviewer is also optional.

6.7 Committee Recusal

118. Under certain conditions, specific members of the appointment, promotion & tenure committees should be recused from considering all or part of a specific case:

6. A member who serves on more than one committee may vote no more than once on any case, and must be recused in other committees.

7. A member of a committee who is the candidate’s Department Chair has already made his/her recommendation, contained in the dossier, and therefore should abstain from voting and deliberations in the committee, but may answer other committee members’ questions as needed.

119. A member of a committee who has a conflict of interest or who feels he or she may not be able objectively to evaluate the candidate has the responsibility to disclose the nature of the conflict to the Dean or the Vice Chancellor prior to deliberations and, if deemed appropriate, will be recused from deliberations and voting.
120. The membership of all committees should be available to all candidates before the Chair or dean forwards the dossier to the respective committees. If a candidate believes there is a potential conflict of interest or asserts an improper bias involving a member of a committee, the candidate must raise it prior to deliberations on the case so that Chair or dean can evaluate the claim and act appropriately.

6.7.1 Updates and Late Submissions to the Dossier

121. It is likely that over the course of the review, candidates’ submitted information may change. Examples could include notification of a decision to publish a book manuscript, the receipt of an award, or the achievement of a government research grant. Late materials such as these may be included in the candidate's dossier by forwarding them through the Chair and dean to the appropriate promotion & tenure committee. The various promotion & tenure committees may decide at its discretion when to cut off the inclusion of late materials.

6.8 Substantive Guidelines for Evaluation

122. The departmental evaluation of the candidate’s dossier should base its recommendation on the following issues, as appropriate.

1. What is the quality and impact of the candidate’s scholarship or creative work? Is the work original and innovative? Are the questions addressed in the research important and has the candidate made substantive contributions to answering them?

2. How has the candidate influenced the understanding or practice of his or her discipline(s)? How has the work of the candidate been recognized in the profession? Has the candidate established a national or an international reputation in his or her chosen field(s) of research or creative work?

3. Has the individual been involved in leadership activities and service in professional organizations in his or her field(s)? What has been the candidate’s impact within the external professional communities, nationally and internationally?

4. How does the candidate compare with others in the field, both at LUMS and at other institutions, at a similar stage in their careers?

5. What has been the individual’s teaching performance, and what is their potential for improvement? This evaluation should, among others, be based on the following: student teaching evaluations, departmental evaluations, letters from students, prizes and awards for teaching, record in mentoring graduate and undergraduate students, implementation of new courses, novel deployment of information technology for teaching, and curriculum development.

6. Has the candidate made useful contributions to service in the LUMS Community and in the external professional community?

7. Does the candidate strengthen the department, the school, and the university and if so, how?
8. What is the reason for believing that if promoted, the candidate will continue to be a creative scholar, a proficient teacher, and an interactive member of the LUMS community? It is useful to remember that tenure and promotion are not granted as a reward for past achievements. They are given with the anticipation that the promise suggested by the record of scholarship, teaching, and service to date will be fulfilled many times over in the future.

9. The increasing prevalence of multi-authored publications and scholarly works presents a special challenge in assessing candidates for tenure and/or promotion. In preparing a dossier, the department should pay particular attention to ascertaining and documenting the specific quantitative and qualitative contributions of the candidate to multi-authored works. Documentation of the individual’s contributions can (and probably should) include several approaches, including a specific statement from the candidate addressed to this question. In soliciting outside letters of reference, specific question should be raised about identifying the candidate’s creative and conceptual contributions to joint work. In the interest of obtaining a penetrating assessment of the candidate’s contributions to collaborative work, it may be appropriate to target some number of reference requests to collaborators and co-authors, with the context of a sufficiently rich list of outside references.

10. Has the candidate exhibited good citizenship and role modeling? Is he/she a good team player willing to take on additional responsibilities when the need arises? Does he/she possess a positive attitude? How would you describe his/her behavior towards his/her colleagues?

123. Documentation of the individual's contributions can (and probably should) include several approaches, including a specific statement from the candidate addressed to this question. In soliciting outside letters of reference, specific question should be raised about identifying the candidate's creative and conceptual contributions to joint work. In the interest of obtaining a penetrating assessment of the candidate's contributions to collaborative work, it may be appropriate to target some number of reference requests to collaborators and co-authors, with the context of a sufficiently rich list of outside references.

6.8.1 Meeting Minutes

124. Minutes of all DPTC and SAPTC meetings will be recorded and included in the candidate’s dossier. All committee minutes should remain confidential and will be retained by the Chair of respective committees and housed within the office of the VC or the respective Dean, as is most appropriate.
6.9 Standard Tenure & Promotion Process

For greater detail on the individual roles and responsibilities of various parties at different points along the appointment timeline, see Section 4.

The standard promotion and/or tenure review process is described in detail below:
1. The candidate compiles his/her dossier and submits it to the Chair. The Chair adds the candidate’s external reviews to the dossier, confirms the dossier’s completed status and compiles the dossier in electronic form.

2. The Chair forwards the dossier to the Department Promotion and Tenure Committee (DPTC) which evaluates the strength of the candidate’s case for promotion and/or tenure. After a thorough discussion, the DSC will vote whether to approve the candidate’s promotion. One committee member will be selected to write a report outlining the committee’s recommendation, and any committee member who objects to the recommendation may submit a minority report. The report of the DPTC is forwarded with the candidate’s dossier to the Chair.

3. The Chair conducts a thorough review of the case and if either the Chair or the DPTC has recommended the candidate for promotion, the Chair will forward the candidate’s dossier to the Dean for processing by the SAPTC. In case both the Chair and the DPTC have recommended to reject the case, the candidate is informed of the decision by the Chair and further processing of the case is stopped.

4. The SAPTC evaluates the strength of the candidate’s case for promotion and/or tenure. After a thorough discussion, the committee will vote whether to recommend the candidate’s promotion and/or tenure. One committee member will be selected to write a report outlining the committee’s recommendation, and any committee member who objects to the recommendation may submit a minority report. The report of the SAPTC is forwarded with the candidate’s dossier to the Dean.

5. The Dean conducts a thorough review of the case and if either the Dean or the SAPTC has recommended the candidate for promotion, the Dean will forward the candidate’s dossier to the VC for further processing. In case both the Dean and the SAPTC have recommended to reject the case, the candidate is informed of the decision by the Chair and further processing of the case is stopped.

6. In case of promotion only to the level of Associate Professor (teaching track only), the final decision on the case is made by the VC and communicated to the school.

7. For all cases of award of tenure or appointment to full Professor, final approval of a candidate’s appointment lies with the MC as ratified by the Board of Trustees. The VC conducts a thorough review of the case and if either the VC or the dean has recommended the candidate for promotion/award of tenure, the VC will forward his/her recommendation, together with the completed dossier and all recommendations to the MC for consideration. In case both the VC and the dean have recommended to reject the case, the candidate is informed of the decision by the Chair and further processing of the case is stopped.

6.10 Effective date of Tenure

127. Tenure for a faculty member becomes effective only after the MC has approved the Vice Chancellor’s recommendation for tenure
6.11 Appeals

128. Candidates for promotion may appeal a negative committee decision at any time in process not later than six weeks after the candidate has been notified. The appeal is with the dean if the application is rejected at the department level, and with the VC if it is rejected at school or university level.

129. If the candidate feels that the process has not been followed, he may appeal decisions by writing to the Faculty Council not later than six weeks after the candidate has been officially notified that promotion has not been awarded. This review, which is conducted by the Appeals and Grievances Committee of the Faculty Council, examines procedural issues only and does not assess the substantive issues having to do with the candidate’s qualifications for promotion. Once the review is complete, the Appeals and Grievances Committee files a written report of its findings to the Vice Chancellor, who subsequently decides what action to take.

6.12 Timelines for Dossier Submission and Processing

6.12.1 Tenure Review

130. Timelines for dossier submission and further processing for tenure and/or promotion to Associate or full Professorship are as follows:

<table>
<thead>
<tr>
<th>Submission From</th>
<th>Submission To</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate</td>
<td>Chair</td>
<td>June 30th</td>
</tr>
<tr>
<td>Chair</td>
<td>DPTC</td>
<td>August 31st</td>
</tr>
<tr>
<td>DPTC</td>
<td>Chair</td>
<td>October 15th</td>
</tr>
<tr>
<td>Chair</td>
<td>Dean</td>
<td>October 31st</td>
</tr>
<tr>
<td>Dean</td>
<td>SAPTC</td>
<td>November 30th</td>
</tr>
<tr>
<td>SAPTC</td>
<td>Dean</td>
<td>January 31st</td>
</tr>
<tr>
<td>Dean</td>
<td>Vice Chancellor</td>
<td>February 15th</td>
</tr>
<tr>
<td>Vice Chancellor</td>
<td>Management Committee</td>
<td>April 30th</td>
</tr>
<tr>
<td>Management Committee/BoT</td>
<td>Vice Chancellor</td>
<td>June 30th</td>
</tr>
</tbody>
</table>
### 6.12.2 Mid-Term Review

#### Spring semester prior to the review:

<table>
<thead>
<tr>
<th>Action</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate begins to compile dossier</td>
<td>March 1</td>
</tr>
<tr>
<td>Dossier completed and forwarded to the Chair</td>
<td>March 25</td>
</tr>
<tr>
<td>Department decides whether to alert the dean and candidate of a weak case.</td>
<td>April 5</td>
</tr>
<tr>
<td>If Department proceeds with review, the Chair solicits names for external reviewers from candidate.</td>
<td>April 15</td>
</tr>
<tr>
<td>Chair sends out preliminary requests to external reviewers.</td>
<td>May 1 - May 15</td>
</tr>
<tr>
<td>Departments send letter and materials to external reviewers.</td>
<td>June 15</td>
</tr>
</tbody>
</table>

#### Fall semester of the review

<table>
<thead>
<tr>
<th>Action</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deadline for external reviewers’ responses.</td>
<td>October 1</td>
</tr>
<tr>
<td>Dossier with external reviews complete.</td>
<td>October 15</td>
</tr>
<tr>
<td>DPTC votes, if outcome is positive, Chair forwards full dossier to dean accompanied by a written recommendation and a summary of the DPTC's deliberations.</td>
<td>November 1</td>
</tr>
<tr>
<td>Dean asks SAPTC to review dossier.</td>
<td>November 15</td>
</tr>
<tr>
<td>Dean, after reviewing full dossier including the DPTC and SAPTC's recommendation, forwards it to Office of the Vice Chancellor</td>
<td><strong>December 1</strong></td>
</tr>
</tbody>
</table>
7 Contract Renewal & Promotion Processes for Faculty on Teaching Track

7.1 Eligibility for Promotion

131. All faculty members on teaching track at the Assistant Professor level who meet the eligibility conditions for appointment as Associate Professor as outlined in section 3.4.1.2 may prepare their dossier and submit it to the Chair of the Department or Associate Dean, as the case may be, for consideration. Faculty members at the Associate Professor level are required to meet the eligibility conditions for appointment as Professor as outlined in section 3.4.1.3.

132. It may be noted that each case will be considered on merit, following the process outlined in this document. Meeting the eligibility criteria for appointment at the next level does not confer any right of promotion.

7.2 Deviations from Standard Eligibility Requirements

7.2.1 Prior Professorial Experience

133. When an individual who has served at other institutions at a professorial rank is employed at LUMS, prior service at other institutions will not be counted for meeting the eligibility conditions.

7.3 Performance Review of faculty

7.3.1 Annual Review

134. All faculty members participate in annual review of their performance by completing the electronic self-evaluation forms following which their performance is reviewed by the respective Chairs/Deans.

7.3.2 Review for Extension of Contract

135. Faculty on teaching track are provided 4-year contracts, which are to be reviewed in the final year of the contract. The review process should be completed six months prior to the completion of the contract.

136. Faculty members in their fourth year of contract will be required to complete the electronic self-evaluation form for contract renewal, following which their performance will be reviewed by the respective Chairs and Dean.

7.3.3 Preparation of the Promotion Dossier:

137. Faculty members on teaching track who wish to be considered for promotion would prepare their dossier in accordance with the guidelines provided in Section 6.5, providing all information that is applicable.

7.4 Committee Recusal

138. Policy noted in Section 6.7 is applicable to teaching-track cases as well.
7.4.1 Updates and Late Submissions to the Dossier

139. Policy noted in Section 6.7.1 is applicable to teaching-track cases as well.

7.5 Substantive Guidelines for Evaluation of Promotion Cases

140. The departmental evaluation of the candidate’s dossier should base its recommendation on the following issues, as appropriate.

1. How has the candidate influenced the understanding or practice of his or her discipline(s)? How has the work of the candidate been recognized in the profession? Has the candidate established a national or an international reputation in his or her chosen field?

2. Has the individual been involved in leadership activities and service in professional organizations in his or her field(s)? What has been the candidate’s impact within the external professional communities, nationally and internationally?

3. How does the candidate compare with others in the field, both at LUMS and at other institutions, at a similar stage in their careers?

4. What has been the individual’s teaching performance, and what is their potential for improvement? This evaluation should, among others, be based on the following: student teaching evaluations, departmental evaluations, letters from students, prizes and awards for teaching, record in mentoring graduate and undergraduate students, implementation of new courses, novel deployment of information technology for teaching, and curriculum development.

5. Has the candidate made useful contributions to service in the LUMS Community and in the external professional community?

6. Does the candidate strengthen the department, the school, and the university and if so, how?

7. What is the reason for believing that if promoted, the candidate will continue to be a proficient teacher, and an interactive member of the LUMS community? It is useful to remember that promotion is not just granted as a reward for past achievements. It is given with the anticipation that the promise suggested by the record of teaching, and service to date will be fulfilled many times over in the future.

8. Has the candidate exhibited good citizenship and role modeling? Is he/she a good team player willing to take on additional responsibilities when the need arises? Does he/she possess a positive attitude? How would you describe his/her behavior towards his/her colleagues?

7.5.1 Meeting Minutes

141. Minutes of all DPTC and SAPTC meetings will be recorded and included in the candidate’s dossier. All committee minutes should remain confidential and will be retained by
the Chair of respective committees and housed within the office of the VC or the respective Dean, as is most appropriate.

7.6 **Standard Promotion Process**
For greater detail on the individual roles and responsibilities of various parties at different points along the appointment timeline, see Section 4.

The standard promotion process is described in detail below:

1. The candidate compiles his/her dossier and submits it to the Chair. The Chair adds the candidate’s external reviews to the dossier, confirms the dossier’s completed status and compiles the dossier in electronic form.

2. The Chair forwards the dossier to the Department Promotion and Tenure Committee (DPTC) which evaluates the strength of the candidate’s case for promotion. After a thorough discussion, the DSC will vote whether to approve the candidate’s promotion. One committee member will be selected to write a report outlining the committee’s recommendation, and any committee member who objects to the recommendation may submit a minority report. The report of the DPTC is forwarded with the candidate’s dossier to the Chair.

3. The Chair conducts a thorough review of the case and if either the Chair or the DPTC has recommended the candidate for promotion, the Chair will forward the candidate’s dossier to the Dean for processing by the SAPTC. In case both the Chair and the DPTC have recommended to reject the case, the candidate is informed of the decision by the Chair and further processing of the case is stopped.

4. The SAPTC evaluates the strength of the candidate’s case for promotion. After a thorough discussion, the committee will vote whether to recommend the candidate’s promotion. One committee member will be selected to write a report outlining the committee’s recommendation, and any committee member who objects to the recommendation may submit a minority report. The report of the SAPTC is forwarded with the candidate’s dossier to the Dean.

5. The Dean conducts a thorough review of the case and if either the Dean or the SAPTC has recommended the candidate for promotion, the Dean will forward the candidate’s dossier to the VC for further processing. In case both the Dean and the SAPTC have recommended to reject the case, the candidate is informed of the decision by the Chair and further processing of the case is stopped.

6. In case of promotion only to the level of Associate Professor on teaching track, the final decision on the case is made by the VC and communicated to the school.

7. For all cases of teaching track candidate’s promotion to full Professor, final approval of a candidate’s appointment lies with the MC as ratified by the Board of Trustees. The VC conducts a thorough review of the case and if either the VC or the dean has recommended the candidate for promotion/award of tenure, the VC will forward his/her recommendation, together with the completed dossier and all recommendations to the MC for consideration. In case both the VC and the dean have recommended to reject the case, the candidate is informed of the decision by the Chair and further processing of the case is stopped.
7.7 Effective date of Promotion

144. Promotion of a faculty member becomes effective only after grant of approval by the relevant office or forum, and its subsequent communication by the Vice Chancellor.

7.8 Appeals

145. Candidates for promotion may appeal a negative committee decision at any time in process not later than twenty calendar days after the candidate has been notified. The appeal is with the dean if the application is rejected at the department level, and with the VC if it is rejected at school or university level.

146. Candidates may also appeal decisions by writing to the Faculty Council not later than twenty calendar days after the candidate has been officially notified that promotion has not been awarded. This review, which is conducted by the Appeals and Grievances Committee of the Faculty Council, examines procedural issues only and does not assess the substantive issues having to do with the candidate's qualifications for promotion. Once the review is complete, the Appeals and Grievances Committee files a written report of its findings to the Vice Chancellor, who subsequently decides what action to take.

7.9 Timelines for Dossier Submission and Processing

7.9.1 Tenure Review

147. Timelines for dossier submission and further processing for promotion to Associate or full Professorship are as follows:

<table>
<thead>
<tr>
<th>Submission From</th>
<th>Submission To</th>
<th>Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate</td>
<td>Chair</td>
<td>June 30&lt;sup&gt;th&lt;/sup&gt;</td>
</tr>
<tr>
<td>Chair</td>
<td>DPTC</td>
<td>August 31&lt;sup&gt;st&lt;/sup&gt;</td>
</tr>
<tr>
<td>DPTC</td>
<td>Chair</td>
<td>October 15&lt;sup&gt;th&lt;/sup&gt;</td>
</tr>
<tr>
<td>Chair</td>
<td>Dean</td>
<td>October 31&lt;sup&gt;st&lt;/sup&gt;</td>
</tr>
<tr>
<td>Dean</td>
<td>SAPTC</td>
<td>November 30&lt;sup&gt;th&lt;/sup&gt;</td>
</tr>
<tr>
<td>SAPTC</td>
<td>Dean</td>
<td>January 31&lt;sup&gt;st&lt;/sup&gt;</td>
</tr>
<tr>
<td>Dean</td>
<td>Vice Chancellor</td>
<td>February 15&lt;sup&gt;th&lt;/sup&gt;</td>
</tr>
<tr>
<td>Vice Chancellor</td>
<td>Management Committee</td>
<td>April 30&lt;sup&gt;th&lt;/sup&gt;</td>
</tr>
<tr>
<td>Management Committee / BoT</td>
<td>Vice Chancellor</td>
<td>June 30&lt;sup&gt;th&lt;/sup&gt;</td>
</tr>
</tbody>
</table>
### 7.9.2 Renewal of Contract

For contracts expiring on Dec. 31<sup>st</sup>. Spring semester prior to the review:

<table>
<thead>
<tr>
<th>Action</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate initiates self-evaluation</td>
<td>February</td>
</tr>
<tr>
<td>Self-evaluation completed and forwarded to the Chair</td>
<td>February</td>
</tr>
<tr>
<td>Department decides whether to alert the dean and candidate of a weak case.</td>
<td>March</td>
</tr>
<tr>
<td>If Department proceeds with review, the DPTC convenes and conveys its recommendations to the Chair</td>
<td>April</td>
</tr>
<tr>
<td>Chair forwards recommendations of the DPTC, along with his observations to that SAPTC</td>
<td>April</td>
</tr>
<tr>
<td>Dean, after reviewing the case, including the DPTC and SAPTC's recommendation, makes the final decision with respect to renewal of contract</td>
<td>June</td>
</tr>
</tbody>
</table>

Fall semester of the review

<table>
<thead>
<tr>
<th>Action</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate initiates self-evaluation</td>
<td>August</td>
</tr>
<tr>
<td>Self-evaluation completed and forwarded to the Chair</td>
<td>August</td>
</tr>
<tr>
<td>Department decides whether to alert the dean and candidate of a weak case.</td>
<td>September</td>
</tr>
<tr>
<td>If Department proceeds with review, the DPTC convenes and conveys its recommendations to the Chair</td>
<td>October</td>
</tr>
<tr>
<td>Chair forwards recommendations of the DPTC, along with his observations to that SAPTC</td>
<td>October</td>
</tr>
<tr>
<td>Dean, after reviewing the case, including the DPTC and SAPTC's recommendation, makes the final decision with respect to renewal of contract</td>
<td>December</td>
</tr>
</tbody>
</table>
8 Dismissal / Termination of Appointments, Sanctions and Suspension

8.1 Resignation

148. Faculty members who intend to resign at the end of the academic year should submit a written notification to the Vice Chancellor of the university with a copy to the dean and Chair of their intention no later than April 15 of the year of resignation, or thirty days after receiving written notice of the terms of reappointment, whichever comes later.

8.2 Dismissal

8.2.1 Legitimate Causes for Dismissal

149. Dismissal of faculty members may only occur for cause. Adequate cause for dismissal must be related, directly and substantially, to the fitness of faculty members in their professional capacities as teachers or scholars. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights under Pakistani law.

150. Examples of behavior that in their most serious form may directly and substantially detract from the professional capacities of faculty members in their roles as teachers and scholars are fiscal malfeasance, unauthorized absence from the university, plagiarism, dishonest research, and sexual harassment of the students, faculty, or staff of LUMS.

8.2.2 Hearing Process

151. A faculty member will be dismissed for cause only after he or she has had an opportunity for a formal hearing by a faculty panel convened for the express purpose of considering dismissal for cause. The VC or his/her delegate will initiate consideration of dismissal by presenting to the speaker of the elected Faculty Council a written statement of the allegations, framed with reasonable particularity that, if established, would justify dismissal.

152. The University Faculty Council, in consultation with the Vice Chancellor, will establish the procedure to be followed during dismissal hearing, and any subsequent changes in that procedure affecting the authority of the Vice Chancellor or Board of Trustees must be approved by the Vice Chancellor or the Board. The speaker will ensure an opportunity for a dignified, careful, and fair hearing in which:

1. Written notice will be given to the faculty member of the administration’s allegations against him or her.

2. The faculty member will be considered fit in his or her capacity as a teacher or scholar until proven otherwise.

3. The confidentiality of the proceedings will be guaranteed and the privacy of the faculty member will be respected.

4. An unbiased panel composed solely of faculty members will be chosen.
5. An opportunity will be given the faculty member to be present throughout the hearing, to confront and question witnesses, and to give information in his or her favor. The hearing panel will reserve the right, at any time before, during, or after the formal hearing, to meet in closed session outside the presence of the parties of their representatives.

153. Following the hearing, the panel will weigh the evidence and give to the Vice Chancellor a written report, containing both its findings and its recommendations. The Vice Chancellor, after reaching a decision, will inform the MC/Board of Trustees.

154. Other university policies may be established from time to time, such as the currently existing policies on sexual harassment and scientific misconduct that provide for a range of potential sanctions and a committee to review allegations against a faculty member. A hearing held in accordance with the sexual harassment policy will substitute for the dismissal hearing required in this policy as described in this section.

8.2.3 Suspension Pending Final Decision

155. Pending a final report by the hearing panel, the administration may suspend the accused faculty member, for example, by placing the accused on administrative leave or assigning him or her to other duties in lieu of leave-only if continuance threatens harm to other persons, to the accused, or to university property. A faculty member who has been suspended pending a hearing will continue to receive full salary throughout the period of suspension. A suspension that is not followed either by reinstatement or by the opportunity for a hearing is in effect a summary dismissal in violation of academic due process.

8.3 Sanctions Other than Dismissal

156. If the behavior of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify imposition of a sanction, then the matter would be dealt with as specified in the Faculty Disciplinary Policy.

8.4 Termination

157. All faculty members on teaching or tenure track appointments or with a special or contractual appointment can be terminated as per the provisions of their appointment agreement/contract or under circumstances related to the fitness in their professional capacities as teachers following a due evaluation process.

8.4.1 Termination because of a Reduced or Discontinued Program or Academic Unit

158. The university may terminate the employment of a faculty member because it has in good faith decided to discontinue or reduce a program, department, or other academic unit of the university. Such decisions are the final purview of the Board of Trustees and will be communicated by the Vice Chancellor first to the unit involved and then to the University Faculty Council or all faculty in the absence of a Faculty Council.
8.5 Financial Exigency

159. Tenure may be terminated in a situation of university-wide financial exigency. Financial exigency is declared only under conditions set forth by the Board of Trustees and communicated through the Vice Chancellor to the University Faculty Council or all faculty in the absence of a Faculty Council. If there is need to terminate a faculty member's tenure for reasons of financial exigency, the university will provide letters of recommendation to the tenured faculty member.

8.6 Exemptions and Revisions

160. The University, its officers, or any other person or entity associated with them shall have no liability whatsoever for any losses, damages, claims, legal costs, or other expenses that a person may suffer or incur, whether directly or indirectly (including any loss of profit or damage to reputation) by reason of any proceedings instituted or measures taken pursuant to these procedures.

161. These procedures may be revised by the University from time to time in its absolute discretion provided that any revision or amendment in the procedures shall not apply to any proceedings that have commenced or affect the validity of any decision or anything done prior to the revision.