

I. Introduction

The Faculty Handbook (Chapter 3.1) affirms the Board's subscription to the principles stated in the 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors; and to the derived Recommended Institutional Regulations on Academic Freedom and Tenure (1982; revised 1990, 1999, 2005, 2006). These standards do not permit the establishment of indefinitely renewable full-time appointments without the possibility of tenure. However, in its role as a comprehensive research and teaching institution, Auburn University has a need for highly qualified teachers in a non-tenure eligible (either through the tenure process or de facto tenure) full-time title series to meet its teaching responsibilities. To be more competitive in attracting and retaining highly trained teachers, a Lectureship title series for full-time appointments and promotions without tenure is hereafter defined. The Lecturer title series is not intended to supplant or to replace tenure-track or Instructor positions. Lecturer appointments are for one-year terms and are renewable according to the policies set forth in this document. Senior Lecturer appointments are for terms of one or more years, depending on department needs and resources, according to the policies set forth in this document. In recognition of this fact, Auburn endorses the AAUP guidelines stating that no more than 15% of the total instruction within an institution and no more than 25% of the total instruction within any department should be provided by faculty with non-tenure-track appointments. In Auburn University's efforts to adhere to these guidelines, any exceptions to these percentages must be approved in writing by the Provost on an annual basis.

II. Establishment of a Position

To establish a position in the Lecturer title series, the initiating unit shall (1) prepare a proposal demonstrating the need for such a position and indicate the source, amount, and term of funding for the Lecturer/Senior Lecturer position, (2) prepare a job description that is consistent with its Provost-approved College/School Workload Policy, and identify the office space and other resources needed; and (3) obtain approvals of the proposal from the professorial faculty of the department, the unit head/chair, the Dean of the college/school, and the Provost. The proposal shall be transmitted to the Dean of the college/school by the department head/chair or unit head with his/her indication of faculty approval for establishment of the position. The hiring of Lecturer/Senior Lecturers will follow normal University hiring procedures, except when to do so would be impractical because of the provisions of the contract, grant, generated income or other designated funds. Joint appointments require the approval of all Deans involved.

A. Initial Appointment

Initial appointments are made as the result of departmental or unit searches. Departments and units have some flexibility in establishing the search procedures most appropriate for their particular circumstances. Whatever the procedure, it should be established in advance of need by the department or unit as a whole. The department head or unit head, in consultation with his or her faculty, should decide upon the positions needed and the qualifications a successful candidate must have. Together they should develop a position description to be supplied to the candidates.

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The department head or unit head and the search committee shall be guided by the Affirmative Action Office in framing an advertisement for the position, in seeking permission to advertise, and in recommending an appointment. Guidelines from the Affirmative Action Office help ensure compliance with federal law and help ensure an open and fair search.

When making recommendations for appointments in the Lecturer title series, the department head or unit head shall confer with all available members of the department holding professorial ranks or, if the unit does not include professorial faculty, with those faculty holding continuing appointments. He or she shall then transmit a written summary of the reactions of these faculty members along with appointment forms through the appropriate Dean and/or director and then to the Provost. Where the faculty members do not concur in an initial appointment, the head may submit a recommendation for appointment with his or her justification and a report of non-concurrence of the faculty.

Each initial appointment must be confirmed by the appropriate department head/unit head or Dean in a written notice to the appointee after proper administrative approvals have been obtained.

B. Academic Ranks, Titles, and Criteria

The academic ranks and related titles in the Lecturer title series shall be: (1) Lecturer and (2) Senior Lecturer. In the Lecturer title series, the following statements are provided as guidelines for evaluative criteria:

1. Lecturer

Lecturer is the usual entry-level rank for a candidate who has completed at least the Master's degree or has the equivalent in training, ability, and experience. An appointee is not required to have a minimum number of years in service to be eligible for this rank.

Appointment to the rank of Lecturer shall be made when it has been determined that the individual (1) has a current independent capability of being a productive Lecturer supported through evidence of teaching effectiveness, (2) has a potential for significant professional growth as a Lecturer, and (3) holds the appropriate degree including licensure/certification appropriate to the field.

2. Senior Lecturer

Senior Lecturer is a rank of distinction which is attained through successful performance of assigned duties over a sustained period. A candidate should hold the appropriate degree or have the equivalent in training, ability, and experience. A candidate for Senior Lecturer should have demonstrated mastery of the subject matter in his/her field and the ability to apply it well in his/her instructional practice.

Appointment or promotion to the rank of Senior Lecturer shall be made only after documented indication of continuous excellent performance and contribution by the individual in his/her

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instruction at Auburn University or another institution. Evaluation of performance will be based on the allocation of time and effort as specified by the terms of his/her contracts. Generally, it takes five years of service as a Lecturer to qualify for promotion to Senior Lecturer.

C. Performance Evaluation

All department heads/chairs and unit heads, such as center and institute directors, shall conduct at least one yearly review with each Lecturer/Senior Lecturer to evaluate his/her performance and to discuss his/her future development. For the review, the Lecturer/Senior Lecturer will provide a current vita and any supporting material to the unit head or the Lecturer/Senior Lecturer deems appropriate.

In the case of Lecturers who have not achieved promotion to Senior Lecturer, particular care shall be taken by the department head/chair or unit head to relate the Lecturer's job performance to the promotion criteria set forth in this document. Significant achievements or deficiencies which might enhance or impede the candidate's progress toward the higher rank shall be noted.

The head/chair or unit head shall prepare a written report covering the major points of the conference. A copy of the report shall be provided to the Lecturer/Senior Lecturer within a month of the conference. The Lecturer/Senior Lecturer shall be asked to sign it as confirmation of having reviewed it. If the Lecturer/Senior Lecturer does not agree with material in the report, he/she may write a response to be appended to the report. One copy of the signed report and response, if there is one, is to be retained for the Lecturer/Senior Lecturer's departmental personnel file; another copy is to be given to the Lecturer/Senior Lecturer. To the extent permitted by law, this report is to remain confidential, available only for the use of the concerned Lecturer/Senior Lecturer and any University officials who have supervisory responsibility over the Lecturer/Senior Lecturer.

III. Promotion Criteria and Considerations for Lecturers

A Lecturer is focused on instruction and has the obligation to contribute to his/her discipline through teaching. In appraising the candidate's performance, faculty members should consider the quality and significance of the work as well as collegiality (For an explanation of the criterion of collegiality, see Faculty Handbook, Chapter 3.9.). Effective instruction ordinarily can be documented by a candidate's teaching evaluations, peer evaluations, or scholarship as reflected in the instructional portfolio.

A. Eligibility for Promotion to Senior Lecturer

There is no fixed requirement for years of service at the Lecturer rank before a Lecturer can be promoted. However, the qualifications for promotion for Senior Lecturer rank generally cannot be demonstrated fully in less than five complete years of service.

B. Procedure for Promotion

1. Initiation of the Process

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The promotion process can be initiated by the candidate's department head/chair or unit head or by the candidate. In the case of promotion to Senior Lecturer, it is the joint responsibility of the department head and the Lecturer to see that the promotion process begins at the appropriate time. The steps delineated below are the procedures to follow for promoting a Lecturer to Senior Lecturer.

Candidates and department heads/chairs or unit heads should supply information necessary for evaluation in the format outlined. This information should be made available first to eligible Lecturers, a college/school committee (if appropriate), then to the Dean. The information requested is sufficiently detailed so that a candidate can be evaluated in terms of both potential and achievement. Department heads/chairs and candidates who have questions about material to be submitted should feel free to contact the Provost's Office.

2. Information on the Candidate

The following outline indicates the kind of information each candidate and his/her department head/chair or unit head should supply and describes the format to be followed in presenting that information. This outline is subject to periodic revision.

a. General Instructions

All lists (courses taught, positions held, scholarly contributions, etc.) should be in reverse chronological order with dates clearly indicated.

b. Information to Be Supplied by the Candidate

1. A Standard Biographical Data sheet (see Faculty Handbook for form).
2. A percent breakdown of the allocation of time and effort as specified by the terms of his/her contract for the past three years.
3. A list of honors and awards.
4. Other professional contributions (see below).

C. Professional Contributions by the Candidate

Professional contributions by the candidate may include teaching, scholarship, service and outreach contributions; the nature and extent of these contributions will be dependent upon the nature of the candidate's duties and needs of the employing department.

1. Teaching contributions may include actual courses taught, courses and curricula developed, grant activity related to teaching and the implementation of pedagogy, and

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publications related to teaching. The candidate should provide a one-page statement of his or her teaching philosophy and self-evaluation in terms of his or her stated values and goals.

2. Scholarly/Creative contributions may include, but are not limited to, publications in the discipline, pedagogy, and in applications of research to other professional or educational aspects of the discipline. Scholarly activity includes the presentations of scholarly work at professional meetings or workshops.
3. Service contributions may include contributions to the department, college, University and professional organizations.
4. Outreach contributions may include educational outreach to the broader educational community including K-12 endeavors, service to the community, and professional activity.

D. Information to be Supplied by the Department Head/Chair or Unit Head

Information should be supplied in each of the following areas:

1. Teaching:

- a. Student evaluations: Include a minimum of one class per semester for each of the three preceding years. For each class include a copy of the questions asked, a summary indicating the spread of numerical responses to all questions, and all student comments in unedited form. If the University form is submitted, submit information on the required questions only and all student comments in unedited form. Indicate the grade distribution in each of these classes. The evaluations should reflect the candidate's teaching effectiveness in the different kinds of courses he or she is assigned to teach. The evaluation results should be condensed into as few pages as possible.
- b. Peer evaluations: Include peer evaluations for one class for each of the three preceding years. These should include assessment of syllabi, handouts, and exams, as well as assessment of the candidate's conduct of the class. Reports based on team teaching are an acceptable form of peer review.

2. Service

- a. Confidential letters invited by the candidate addressing his or her work on college and University committees.
- b. Letters addressing service external to the University.

E. Consideration of the Candidate and the Department/Unit's and Dean's Recommendation

1. Consideration of the Candidate

The candidate's dossier (consisting of the information supplied by the candidate and the information supplied by the department or unit head) and supporting material shall be available for review exclusively by faculty eligible to vote on the candidate. After the faculty has had time to review the dossier and supporting material, the department head shall convene a meeting of all eligible faculty to discuss the nomination of the candidate.

Confidentiality and the right of faculty members to express their viewpoints openly without fear of retaliation shall be the hallmarks of the discussion. Department or unit deliberations shall be confidential to the extent permitted by law, as shall all documents and testimonies involved at the various levels of the promotion process. If a recommendation is forwarded, all copies of a candidate's dossier shall be destroyed after the committee's deliberations are completed except for a copy filed permanently in the Office of the Provost. This copy is subject to legal review only under certain conditions.

2. The Department/Unit Recommendation

After the candidate has made a presentation of his or her credentials (if he or she so wishes), and after the faculty eligible to vote have had time to discuss the candidate's qualifications in a closed meeting, a secret ballot shall be taken at the meeting of eligible faculty to determine the final recommendation of the faculty. Eligible faculty include all Senior Lecturers and all tenured faculty at the assistant professor rank and above. Eligible faculty members may participate in the promotion recommendation in one of the following ways:

- a. present and voting,
- b. present and abstaining,
- c. absent but submitting a written vote prior to the meeting, or
- d. absent and not voting (this response does not count as part of the total vote).

If of appropriate academic rank and status, the department/unit head shall vote by secret ballot with the faculty. Any other faculty member who has an official vote on the candidate at a higher administrative level shall excuse himself or herself at the department/unit level. Faculty members who serve in an advisory capacity at the school/college level may vote at the department/unit level but shall excuse themselves from decisions on candidates from their departments at higher levels. Immediate family members shall excuse themselves from discussion and voting.

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The department/unit head shall announce the vote at the meeting. The vote shall be transmitted itemized as a, b, c, and d as listed above in writing, to the Dean of the candidate's college or school and the College Committee, along with the other information requested in this document.

The department/unit head shall communicate the department/unit's committee's recommendation to the candidate so that the candidate can make an informed decision about whether or not to continue with the process of seeking promotion. If the candidate wishes to continue the process despite a negative recommendation, the department head shall honor the candidate's request.

The department head shall provide a written evaluation of the candidate and a recommendation for or against promotion. Faculty members may write letters explaining why they do or do not favor promotion. Letters should address collegiality, the quality of work and the candidate's potential for continued work, teaching effectiveness, and service contributions.

Faculty should bear in mind that letters are an important source of information for the College/School Committee. Letters can also help the Committee, whose members may not come from the candidate's department/field, understand the significance of the candidate's work and make a fair appraisal of it.

Normally, evaluative letters should be addressed to the department/unit head; however, such letters may be submitted directly to the Dean/College Committee. Department heads shall submit all letters of evaluation that are submitted to them.

F. Submission of the Candidate's Dossier to the College/School Dean/Committee

The dossier should present the information clearly and legibly. A 12-point font and one-inch margins are required. Tabs should be placed to mark the sections.

The appropriate number of copies of each dossier and evaluative letters shall be submitted for each candidate. Copies must be of good quality. These copies shall be sent to the candidate's Dean to be evaluated. These copies are to be collated into complete packets with each section arranged with tabs as follows:

1. Standard biographical data sheet.
2. Information supplied by the candidate.
3. Information supplied by the department head/chair or unit head.
4. Evaluations and recommendations from:
 - a. the department head/chair or unit head,
 - b. faculty members and students.

G. Schedule

Nominations for promotion shall be transmitted to College/School Committee or Dean by the deadline. The specific date shall be announced in the annual call for nominations from the Provost.

H. Notification of the Candidate

The College/School Committee or Dean shall review each candidate's dossier. Should additional material be needed, the committee shall contact the candidate's department head/chair. The committee shall vote by secret ballot whether or not to recommend the candidate for promotion. Deliberations of the Committee and the Committee's vote shall remain confidential. The Committee shall send its recommendation, along with the candidate's dossier, to the Provost for final action.

When the Provost approves a recommendation for promotion, the candidate shall be notified in writing by the Provost, with copies of the notification to the department head/chair or unit head, Dean, and President. The notification will include any information concerning salary increases related to the promotion. When the Provost does not approve a candidate's recommendation for promotion, the candidate shall be notified in writing by the Provost. Copies of the notification shall also go to the department head/chair or unit head and Dean. If the candidate so requests, he/she may be informed of the numerical vote and provided with a written statement of reasons why the recommendation was not approved. If the Provost overrules a recommendation, he/she shall inform the Dean in writing within a month's time of the overruling and the reasons for it.

Candidates considered for promotion on the schedule noted above shall be notified of the decision no later than the end of spring semester. A list of newly promoted faculty shall be made public by the end of summer term.

IV. Appeal of Promotion Decisions

A. Grounds for appeal exist when, in the opinion of the candidate, one or more of the following occurred:

1. The denial of promotion resulted from the fact that all evidence in support of the candidate was not presented at the time of the original consideration.
2. The denial resulted from procedural irregularities concerning advisement and periodic review, or a failure to follow promotion procedures of the department, college, school, or Provost.
3. The denial was based significantly on considerations violative of academic freedom.

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4. The denial was based significantly on discrimination with respect to race, sex, religion, national origin, age, physical handicap, marital status, or sexual orientation.

A faculty member who contends unjust denial of promotion may choose to discuss the reasons for denial and the appeals process with the Provost. Appeals should be made in writing to the Provost through the department head/chair or unit head and Dean within 14 calendar days of the date of the faculty member's receipt of written notification of denial.

If the faculty member bases his/her appeal on alleged violation of academic freedom or discrimination, the appeal must include a statement of the grounds on which the allegation is based and evidence to support his/her case. If the faculty member succeeds in establishing a prima facie case, it is incumbent upon those who made the decision against continuation to come forward with evidence in support of their decision. Statistical evidence of discrimination may be used by the candidate in establishing a prima facie case.

The Provost shall respond promptly to the faculty member's appeal by forming an Appeals Committee and setting the date, time, and place for the hearing of the appeal.

B. The Appeals Committee

The Appeals Committee shall be comprised of the following:

1. Current members of the University Promotion and Tenure Committee.
2. At least one member of the Appeals Committee, when the appellant is a non-tenure-track faculty, shall be a Senior Lecturer when that rank is represented on the faculty.

After the merit of the appeal has been judged, the recommendations of the Appeals Committee and all supporting documents shall be submitted to the Provost who will submit the body of the material to the President for a final decision.

In the appellate process, appeals must be taken and decisions rendered so as to prevent postponing a promotion decision to the next year.

V. Terms and Continuation of Appointment

Although it has been the custom of the University for appointments to be continued by mutual commitment and understanding rather than by formal contracts, Lecturers will be appointed with yearly written contracts; Senior Lecturers will be appointed with written contracts for terms of one or more years, depending on departmental needs and resources. The following principles outline the policy on continuation of the contract for Lecturer/Senior Lecturers.

A Lecturer shall be appointed with a nine (9) month contract that may be renewed annually. All department heads and unit heads shall conduct at least one yearly review with each Lecturer to

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evaluate his or her performance and to discuss his or her future development. In order to review the Lecturer fairly, the head shall request a current vita and any supporting material the head deems appropriate prior to the review. More frequent reviews may be conducted at the discretion of the Lecturer or the department head.

Senior Lecturers shall be appointed with a nine (9) month or multi-year contract that may be renewed. All department heads and unit heads shall conduct at least one yearly review with each Senior Lecturer to evaluate his or her performance and to discuss his or her future development. In order to review the Senior Lecturer fairly, the head shall request a current vita and any supporting material the head deems appropriate prior to the review. More frequent reviews may be conducted at the discretion of the Senior Lecturer or the department head.

The initial letter of appointment should clearly define the length of the appointment, benefits, duties/responsibilities and the fact that the position is not tenure-track and that years of service do not count towards de facto tenure. The person appointed must acknowledge in writing that they waive any claim to tenure. Letters containing promises not consistent with the Lecturer title series are not enforceable unless authorized in writing by the President of Auburn University.

A. Dismissal

In order to preserve the academic freedom of the Lecturer title series, full-time Lecturers/Senior Lecturers in their first seven years of service shall be afforded the same due-process protections as their tenure-eligible colleagues. Full-time Lecturers/Senior Lecturers who have completed seven years of service shall be afforded the same due-process protections as their tenured colleagues, as hereafter defined and described.

Termination of a Lecturer/Senior Lecturer during the contract term may be effected by the University for just cause, according to due process as explained in Chapter 3.16 of the Faculty Handbook, or because of financial exigency. The Faculty Handbook (Chapter 3.16) provides that "Rights of due process shall also apply to a non-tenured faculty member dismissed before completion of his or her contractual term." Dismissal shall not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens and residents.

B. Noncontinuation of Appointment

Noncontinuation may occur at the completion of the fixed-term appointment for unsatisfactory performance, enrollment and/or curricular changes that eliminate the need for the position, lack of funding, financial exigency, or just cause (according to due process as explained in Chapter 3.16 of the Faculty Handbook).

If the University terminates appointments because of financial exigency, it shall not make new appointments at the same time except in extraordinary circumstances where a serious distortion in the University's teaching, research, or outreach program would otherwise result. In the event such needs may occur, priority will be established by departmental needs, performance evaluations, and seniority.

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The unit head will provide a written statement explaining the reasons for noncontinuance to a Lecturer/Senior Lecturer whose contract is not to be renewed. To ensure that noncontinuation is not used to restrain Lecturer/Senior Lecturers in their exercise of academic freedom and to protect them from discrimination, Lecturer/Senior Lecturers are afforded the opportunity to appeal noncontinuation to the Faculty Dismissal Committee.

The following schedule applies to notice of noncontinuation:

For nine (9) month appointments:

1. By February 15 of the first academic year of service.
2. By December 31 of the second academic year of service.
3. At least 12 months before the expiration of an appointment (May 15) for faculty members with two or more years of service.

These provisions are not applicable to terminations for cause or where a termination is specified in the appointment letter.

If shorter notice is necessary because of financial exigency, the affected faculty member shall be informed as soon as possible and every effort shall be made to find another appropriate position in the University.

C. Graduate Faculty

Qualified candidates may apply for graduate faculty status according to the department, college, and University policies.

D. Conditions of Employment

A Lecturer/Senior Lecturer is eligible for benefits as provided in the Faculty Handbook or other applicable University policies except tenure. Lecturer/Senior Lecturers are eligible for salary merit increases when funds are available. University contributions toward retirement, social security, sick leave, and insurance benefits for the Lecturer/Senior Lecturer shall be covered through the contract, grant, generated income, or other designated funds which provide support for the individual's position.

E. University Membership

A Lecturer/Senior Lecturer may be eligible to vote on faculty matters according to department and/or school/college governance rules. Lecturer/Senior Lecturers may participate in departmental governance. A Lecturer/Senior Lecturer may vote on and/or be elected as the department's representative in the University Senate.

F. Change from Non Tenure-track to Tenure-track Faculty

Lecturer/Senior Lecturers may apply for tenure-track faculty positions through the normal faculty-approved tenure-track hiring process. In such cases, a fuller current period of probation may be agreed in writing by the Provost as described in the Faculty Handbook (Chapter 3.4 under "Prior Service," paragraph two.)

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