

# **Tenure Track Process Statutes 2004**

**For UET, Lahore.**

**Approved by the Chancellor vide  
Governor's Secretariat letter  
No.GS(B)11-7/2003-29, dated  
09.01.2004**

**UET Notification  
No.Regu-III/6(86)/87/04/167, dated  
23.01.2004**

## ***Introduction***

This document contains the Tenure Track Process Statutes that specify implementation and execution of the tenure track process at the University of Engineering and Technology, Lahore, Pakistan.

Tenure Track System shall be based purely on merit, performance and demonstration of excellence in teaching and research.

Tenure Track System will be applicable to faculty members in science/ engineering disciplines as already specified by the Finance Division, Govt. of Pakistan for Special Science & Technology Allowance, vide Finance Division O. M. F.I(9)Imp/2000 dated 8<sup>th</sup> May, 2002. However, additional disciplines in Social Sciences which matter in economic development and poverty alleviation may be included in this package.

Regular review of the performance of faculty member shall be carried out by the Peer Review Committee/Selection Board including a representative of Higher Education Commission for continuing their services under Tenure Track System.

The Tenure Track System would be availed by about 10% of the faculty including the existing and the likely new induction in the first instance. This percentage may be enhanced if so notified by Higher Education Commission/Government.

## **1. APPOINTMENTS AND PROMOTIONS**

### **1.1 General**

- (a) The recommendations for appointment and promotion shall be initiated at the departmental level, and then forwarded to the Vice-Chancellor, through the Dean of the Faculty. The Vice-Chancellor shall transmit the final recommendations to the Syndicate for ultimate decision. Alternatively the case may be processed by the Selection Board and put up to the Syndicate for approval.
- (b) Recommendations for appointment also involve decisions regarding temporary or probationary status. The precise terms and conditions of every new appointment to the faculty shall be stated in writing and given to the faculty member before the appointment is made. In cases of reduction of the length of the probationary period, the matter should be clearly stated in writing and agreed to at the time of appointment. In the case of promotions of faculty members not already having tenure, tenure expectations may need to be considered, although the tenure decision is a separate matter. A copy of this statement of policy shall also be given to the faculty member before his appointment.
- (c) The University may make the following types of appointments of new faculty members under the system:
  - (a) Tenure Track Appointments

- i) First term Appointments.
  - ii) Second term (Probationary) Appointments.
  - iii) Tenured Appointments
- (b) Temporary Appointments.

## **1.2 Basis for Appointment and Promotion**

For appointment, or for promotion to a higher rank, a candidate is evaluated in terms of effectiveness in four principal areas:

- a) Teaching
  - b) Scholarship, research or other creative work
  - c) Service
  - d) Personal characteristics
- } Syndicate may suitably quantify these areas.

Not all faculty members excel in each of these areas, but distinction or promise, especially in either of the first two, constitute the main basis for appointment and promotion. Even though teaching may be more difficult to evaluate than scholarship, research, or creative work, it should not therefore be given a place of secondary consideration in an overall rating.

The last two categories are important but normally round out and complement the qualities presented in the first two areas.

### **1.2.1 Teaching**

Teaching is admittedly difficult to define precisely or to assess accurately. It is commonly considered to include a person's knowledge of the major field of study, awareness of developments in it, skill in communicating to students and in arousing their interest, ability to stimulate them to think critically, to have them appreciate the interrelationship of fields of knowledge, and to be concerned with applications of knowledge to vital human problems.

### **1.2.2 Scholarship, Research, or Other Creative Work**

A faculty member's scholarship, research, and other creative work should make a contribution to the particular field of interest and serve as an indication of professional competence. The result of this kind of activity normally finds expression in publication, or other media appropriate to the field, and where appropriate, should be reflected in teaching. In no case, however, should a person's productive effort be measured by mere quantity.

### **1.2.3 Service**

This term refers specifically to service to the University community, as in committee assignments, and to public service. It also has reference to service to one's profession, usually identified by time and effort given to professional organizations, whether of state, regional, national, or international character. An outstanding service record should be a positive factor in making an evaluation, but the lack of such a record should not be regarded as sufficient cause for denying an appointment or promotion.

### **1.2.4 Personal Characteristics**

This category may be considered to include all traits which contribute to an individual's effectiveness as a teacher, as a leader in a professional area, and as a human being. Of primary concern here are intellectual breadth, emotional stability or maturity, and a sufficient vitality and forcefulness to constitute effectiveness. There must also be a sufficient degree of compassion and willingness to cooperate, so that an individual can work harmoniously with others while maintaining independence of thought and action. This category is so broad that flexibility is imperative in its appraisal.

## **1.3 Sources of Information**

It is not easy to come to clear and definite decisions about the criteria on which a candidate is judged, even when the information is at hand. The suggestions that follow have been found useful and appropriate in identifying sources of information.

### **1.3.1 Teaching**

- (a) Consult colleagues in the candidate's field and those in allied fields.
- (b) Seek out students opinion. In the absence of a reliable system for course/teaching evaluation, this method needs to be used with great care.
- (c) Gather reports on colloquia, seminars, etc. given in the department or elsewhere with a view to assess the quality of presentation with respect to subject content, organization and communication.
- (d) Consult course files.
- (e) Gather reports on guidance and leadership in student activities.
- (f) Gather reports on initiation and participation in curriculum
- (g) Development of new courses, new programs, etc.
- (h) Teaching load.

### **1.3.2 Scholarship, Research, or Other Creative Work**

- (a) Seek the judgments of professional colleagues both on and off campus.

- (b) Assess any published material in terms of its content and in terms of the journals, or other auspices, in which it appears; or assess any creative work in terms of its public presentation and reception.
- (c) Evaluate the work that the candidate may do as consultant.
- (d) Take into consideration the papers presented at professional meetings, whether of state, regional, national, or international scope.
- (e) Gather reports of specific projects undertaken and ascertain the success achieved in the past as well as the prospects of success for the future. Remember that important projects may require many years before they can be presented to the public.

### **1.3.3 Service**

- (a) An indication of service sometimes appears in biographical records that are to be submitted by each faculty member at the end of each year of service. This, however, may not be the case because degrees of modesty vary.
- (b) In the case of new appointments, one must depend primarily upon the information obtained from letters of recommendation or other such sources.
- (c) For promotions, the biographical record with its annual supplements collected in the office of the Registrar of the University should constitute a fairly complete record. However, one should also consult the candidate's colleagues for additional information.

### **1.3.4 Personal Characteristics**

- (a) Clues to traits of character may be found in the dossier of an appointee when the letters of recommendations are included.
- (b) For promotions, confidential reports from colleagues and others acquainted with the candidate will constitute the primary source of information regarding personal characteristics. Such reports must obviously be treated with great circumspection.

## **1.4 Specific Qualifications for Appointment and Promotion**

In general, possession of a Doctorate, or equivalent, degree from an HEC recognized University is required for a candidate to be appointed to the post of Assistant Professor, or above.

### **1.4.1 The Junior Ranks**

#### **1.4.1.1 Lecturer**

This rank is most appropriate for persons beginning their teaching careers. It should be used by any department or Faculty which finds it convenient and appropriate to

include lectureship within its faculty rankings. It can also be used for persons needed to fill temporary posts under emergency conditions. As with any appointment, the status should be made clear and put in writing at the time of employment.

- a) A person who is primarily a graduate student may not be given a faculty appointment. Such a person may be appointed as a teaching assistant or teaching associate, in accordance with University policies.
- b) Lecturers are appointed with the understanding that they will not be promoted to professorial rank unless they obtain a Ph.D. degree or an equivalent.

#### **1.4.1.2 Assistant Professor**

- (a) An assistant professor should be demonstrably competent in the subject matter area of courses taught and should have indicated a serious commitment 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 an effort to increase knowledge and improve teaching ability should be demonstrated, and professional presentation should be made through papers to professional organizations, through publications, or through other creative work.
- (b) As a general rule, the length of service in the rank of assistant professor before being considered for promotion to the rank of associate professor is six years.  
Recommendations for promotion in less time should be carefully weighed and justified by the administrative officer making such recommendation.

#### **1.4.2 The Senior Ranks**

Appointment or promotion to either senior rank should represent an implicit prediction on the part of the department, and the 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. By this statement is meant that serious attention must be given to the caliber of the candidate's intellectual and moral stature, for this will probably be the key factor in determining the extent to which past performance in teaching and in creative work may be expected to carry on through continuing contributions. Deans and departmental Chairmen normally will look to the senior ranks for advice and counsel regarding policy matters, including appointment and promotion. Also, services rendered to communities and agencies or organizations in the candidate's professional capacity should certainly be considered in assessing qualifications for advancement to senior ranks.

##### **1.4.2.1 Associate Professor**

- a) The criteria for appointment or promotion to an associate professorship differ from those for a professorship in degree rather than in kind. The candidate for

associate professor should offer evidence of knowledge of developments in the field of expertise and a conscientious interest in improving teaching methods. It is expected that an associate professor shall already have shown a basic general understanding with regard to a large part of the discipline. This condition implies postdoctoral research or creative work sufficient to indicate continuing interest and growth in the candidate's professional field.

- b) As a general rule, the length of service in the rank of associate professor before being considered for promotion to full professor is five years. Recommendations for promotion in less time should be carefully weighed and justified by the administrative officer making the recommendation.

#### **1.4.2.2 Professor**

- a) 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. 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.

#### **1.5 Temporary Appointments**

- (a) Temporary one-year appointments may be made for faculty members appointed as visiting professors, to fill positions, to replace faculty members on leave, whenever an appointment has to be made so late that normal search procedures cannot be followed. With the exception of appointments made without a normal search procedure, faculty members on such appointments may be reappointed for a second or third year if mutually agreeable to the faculty member and the department and Faculty involved, or they may be reappointed under a term appointment. Full-time, temporary appointments shall not normally lead to permanent tenure. They shall not exceed a total of three years except in the case of an explicit exception granted by the University **Syndicate**.
- (b) Temporary appointments may also be made for the positions of Research Associates working towards their Ph.D. degree, as well as for Post Doctoral Fellows working with a research group for a limited period.

## 2. TENURE TRACK APPOINTMENTS

### 2.1 *The Tenure Track Process*

The tenure track process normally involves an initial term contract appointment of a faculty member for a period of three years by the Department concerned or the Selection Board. For a faculty member appointed at a junior rank (not higher than Assistant Professor), this will be followed by a second term contract appointment for an additional period of three years. A tenure decision must be made for such a faculty member in the third year of the second term contract appointment. Faculty members initially appointed at a junior rank will thus normally serve six years, before a final tenured decision is made. For a faculty member appointed at a senior rank (Associate and Full Professor) the probationary period shall normally be three years for associate professor and two years for a full professor. The services of a faculty member having tenure shall be terminated only for adequate cause, except at the normal retirement age or under extraordinary circumstances discussed in these statutes.

### 2.2 *First Term Review:*

- a) During the later part of the third year of the first term appointment, evaluation of the faculty member shall be conducted. The first term review shall also take into consideration the needs of the department, and the University for flexibility.
- b) The department concerned shall not later than six weeks prior to the end of the third year make a decision-'favorable' or 'not favorable'-with respect to the performance of the faculty member during the time served.
- c) A recommendation upon this decision shall be sent immediately by the Chairman of the **Department through the** Dean of the Faculty to the Vice Chancellor who in turn shall make the final decision with respect only to the faculty member's performance, and shall so notify the faculty member not later than two weeks prior to the end of the third year. If this decision by the Vice Chancellor about performance is favorable, the faculty member shall be notified that he or she will receive a second three-year appointment if the University's need for flexibility permits. If the decision about performance is negative, the faculty member shall be issued a terminal contract for the year following the decision.
- d) If the University's need for flexibility requires that a faculty member judged worthy of retention not be retained, the Vice Chancellor must explain to the Syndicate why there is a need for flexibility regarding this particular position, and show that the administration's plans for the academic and fiscal nature of that position are reasonable.
- e) If the Syndicate decides that the University's need for flexibility requires that the faculty position in question must be eliminated, shifted within the

department, or shifted to another department or Faculty, and/or if the Syndicate determines that because the percentage of tenured positions (or a combination of tenured and probationary positions) in the department is so high as to make it unwise to authorize an additional probationary appointment, the Dean of the concerned Faculty, respective Department Chairman and faculty member concerned shall be notified as early in the third year as possible. A faculty member whose performance shows excellence or promise of excellence but whose employment will not be continued because a position is being eliminated, shifted within a department or to another department or Faculty will be offered a notice contract for one additional year of employment beyond the initial three-year appointment.

### ***2.2.1 Level of First Term Appointment***

No faculty member on first term appointment may be appointed at a rank higher than that of assistant professor. It is, however, possible to promote a faculty member during the initial three-year term appointment, whereupon the faculty member will automatically enter into probationary status. Promotion of such a faculty member, as well as any faculty member granted a second, three-year, probationary appointment, shall be decided according to the requirements and procedures given in the Appointment and Promotion Policy.

### ***2.2.2 Second three-year Appointment***

A faculty member offered a second three-year appointment shall, from the beginning of the fourth year of service, become a faculty member in probationary status. The first term review shall be considered the mid-probationary review, and the faculty member shall come under the appropriate provisions and procedures of Section 2.3 of this policy. Accordingly, a tenure review, as provided for in Section 2.3.4, shall be conducted during the third year of the second, three-year, probationary appointment.

## ***2.3 Probationary Period***

- a) The probationary period shall constitute the time during which a person's fitness for permanent tenure is under scrutiny. For faculty members appointed at a senior rank, their entire period of appointment shall be considered as a probationary period. Probationary appointments shall normally lead to permanent tenure. Initial probationary appointments are normally made only at the associate and full professor level. The maximum probationary period shall be four years for associate professors and three years for full professors. These maximum periods will be increased by one-half year for appointments commencing during the second half of the academic year.

Once established, the duration of the probationary period shall not normally be extended, except that the running of the probationary period will normally be suspended when the faculty member goes on a leave of absence without pay.

- (b) By written agreement with the appointee and with the consent of the Chairman, the Dean, and the Vice-Chancellor, the probationary period may be reduced below the maximum periods given if the faculty member's qualifications warrant such reduction. In exceptional cases and with the consent of the Chairman, the Dean, and the Vice-Chancellor, the tenure may be recommended on appointment.
- (c) A faculty member may achieve tenure only through full-time service, and part-time service shall not be considered as probationary service leading to possible tenure. A full-time faculty member with tenure, however, may at his or her request change to part-time service, either permanently or temporarily for a specified time, and retain tenure, provided that the department Chairman, the Dean of the Faculty, and the Vice-Chancellor approve the terms in advance.
- (d) Faculty members already in-service at UET can get a probationary appointment in two different manners:
  - (i) A faculty member, after having been selected for probationary appointment, may take retirement from the University service, and join the Tenure Track system.
  - (ii) Or, the faculty member may accept the probationary appointment, while remaining on the regular strength of the University, and drawing the existing pay and allowances. On the completion of the probationary period if he is offered the tenure appointment, he may seek retirement from the University service.

**Note:** A Faculty member already in service of UET shall lose his seniority vis a vis non tenured faculty members of his cadre on resigning or seeking premature retirement for joining the Tenure Track System.

- (e) A faculty member with tenure who retires from the University and is rehired within three years as a full-time member of the same department shall have tenure upon return. A faculty member with tenure who retires from the University and is rehired by the same department after more than three years' absence may be required to serve a probationary period of not more than one year at the discretion of the department. A faculty member with tenure who retires from the University and is rehired as a full-time member of another academic department may be required to serve a probationary period of not more than one year at the discretion of the department. Decision dates and dates of notice shall be according to the provisions of Section 2.4 of this Policy.
- (f) A faculty member with tenure who leaves an academic department to accept full-time employment by the University in an administrative capacity shall retain tenured status in the academic department.

### **2.3.1 Probationary Reviews:**

Tenured faculty members, especially department Chairmen, are reminded that their participation in all tenure review procedures, particularly in the two full, formal reviews (outlined in sections 2.2, 2.3.3, and 2.3.4), is one of the most serious of their duties and responsibilities. They are also reminded that tenure should be granted only to faculty members who have demonstrated excellence in the performance of their professional duties; mere adequacy or inoffensiveness do not constitute sufficient grounds for the award of tenure. All reviews should include evaluation of teaching by students and the Chairman.

### **2.3.2 Annual Review**

- (a) The progress toward permanent tenure of each faculty member on probationary status shall be reviewed annually by the department Chairman, in consultation with at least those department members best acquainted with the probationary member's work. Such reviews shall evaluate the probationary member's progress in light of the section 1.2 "Basis for Appointment and Promotion," and of standards of excellence prevailing in that discipline, department, and the University. The outcome of each review shall be discussed with the probationary member.
- (b) In addition to annual reviews, more thorough and formal written evaluations shall be conducted as outlined below.

### **2.3.3 Mid-probationary Review:**

- (a) For faculty members completing their first term appointment the first term review described in section 2.2.1 shall be considered to be the mid-probationary review.
- (b) For faculty members directly appointed with probationary status, midway through the probationary period, it is mandatory that a full review report be made for all probationary faculty members.
- (c) The Chairman of the concerned department shall form a review committee of at least three people, a majority of whom are from outside the department. The review committee shall seek the opinion of a minimum of two renowned experts in the field of specialization of the faculty member being reviewed. These experts must be employed as full time faculty members preferably at a recognized foreign university in an advanced industrialized country, or as full time researchers at a leading research institution of the world. The review committee shall conduct a thorough review of the probationary member's progress along lines similar to those outlined for annual reviews. This review shall identify, in reasonable detail, the areas of strength and weakness of the probationary member. The review committee shall subsequently present a written review report to the Chairman of the department.

- (d) After discussion (written comments may or may not be employed) with at least the senior/tenured members of the department the Chairman shall send a full written report on this review, including a summary of all the evaluations of the faculty members consulted, to the Dean of the Faculty.
- (e) The dean shall, in the light of standards of excellence necessary for the award of tenure, but bearing in mind the need for flexibility of standards of judgment both within and between disciplines, add an assessment of the probationary member's progress to the report of the Chairman and forward it to the Vice Chancellor. A full mid-probationary review report shall, therefore, consist of the evaluations of the review committee, the Chairman, and the Dean of the Faculty. The review process shall be considered complete only when copies of the full report have been received by the probationary member and the department Chairman. It is not anticipated that probationary members will necessarily have attained the standards required for the award of tenure by the time of their mid-probationary review. The aim of the required identification of the strengths and weaknesses of the probationary member is to give that member a clear picture of the performance levels by which she or he is to be judged and to offer the opportunity to correct deficiencies in the second half of the probationary period. The existence of some identified deficiencies in this review shall be considered normal, and this alone shall not be the basis for action against the probationary member.

#### **2.3.4 Tenure Review:**

- (a) In the final year of the faculty member's probationary period, it is mandatory that a full review report be made.
- (b) The Chairman of the concerned department shall conduct a thorough review of the member's fitness for tenure following the same procedure as outlined for the mid-probationary review.
- (c) The full mid-probationary report shall be taken into consideration by the senior/tenured faculty of the department in this process.
- (d) The Chairman, after discussion with at least the senior/tenured faculty of the department shall recommend to the Dean that the probationary member be given tenure or not. The Chairman's recommendation to the Dean shall be accompanied by a full, written evaluation report including at least a summary of the evaluations of all faculty members consulted.
- (e) The Dean shall normally abide by the Chairman's recommendation. If the Dean decides not to follow this recommendation, the Dean shall immediately and in writing inform both the probationary member and the Chairman, including a written statement of reasons, so that both may have ten working days in which to present their cases to the Vice Chancellor.
- (f) Similarly, if the Vice Chancellor decides not to follow the recommendation of the Chairman or the Dean, the Vice Chancellor shall provide a written statement of reasons to the faculty member, the department Chairman and the Dean.

- (g) The Syndicate shall make the final decision on the award of tenure. The Syndicate shall normally abide by the recommendations of the Chairman forwarded by the Dean and finally by the Vice Chancellor. If the Syndicate considers not following the recommendation in which the Vice Chancellor, the Dean and the Chairman have concurred, or if there is a conflict in the recommendations made by these officers, the Syndicate shall immediately and in writing inform the probationary member and the officers involved in the decision and shall include a written statement of reasons. The probationary member and the officers involved shall have ten working days to present their cases to the Syndicate before the final decision is made.
- (h) The probationary member and/or the Chairman may use the statement of reasons, should either wish to appeal the final decision. The probationary member and/or department shall have ten working days from the receipt of any written reversal in which to initiate any appeal.
- (i) As an alternate to procedure at serial (b) to (h) above, the Selection Board may carry out a Tenure Review with the assistance of the Chairman, Dean and the Peers. Recommendations of the Selection Board shall be put up to the Syndicate for a final decision on the award of tenure.
- (j) The tenure review process shall be considered complete only when the Vice-Chancellor, in writing, informs the probationary member and the Chairman of the final decision of the Syndicate. The final decision, or indeed any administrative action, may of course be appealed to the Vice Chancellor and/or Syndicate. The time of completion must conform to the provisions for notice in Section 2.4.
- (k) If awarded, tenure shall be effective immediately upon the faculty member's acceptance of the next contract.

#### **2.4 Decision Dates and Dates of Notice**

- (a) Written notice that a faculty member in probationary status is or is not to be continued in service will be given to the faculty member not later than June 30 of the final year of the predetermined probationary period. If the decision is positive, the faculty member shall have tenure effective July 1 of the fiscal year following the probationary period. If the decision is negative, the faculty member will be offered a terminal one-year appointment in the fiscal year immediately following the probationary period. If, for any reason, the decision date is not met in the case of a negative decision, the faculty member shall be offered an additional terminal one-year appointment beyond the one provided for above.
- (b) Written notice that a faculty member on a first three-year term appointment is not to be continued in service will be given to the faculty member a minimum of three months prior to the last day of service of the faculty member.
- (c) At any point during the first term appointment or during the probationary period, a department Chairman may recommend that a term appointee or probationary faculty member not be continued in service. If, after consulting with at least the

senior/tenured members of the department (and usually also after obtaining data from experts outside the university), the Chairman decides to recommend to the Dean that a faculty member in probationary or term status not be continued in service, the Chairman shall notify the faculty member in writing. If requested by the faculty member, the Chairman shall indicate in writing the reason for the decision. The faculty member shall have ten working days in which to request a reconsideration before the Chairman sends the recommendation to the Dean. If no such request is made, or if the Chairman, after reconsideration, decides to forward a negative recommendation to the Dean, the Chairman shall do so in writing, enclosing all materials relevant to the decision. Simultaneously, the Chairman shall notify the faculty member in writing that the negative recommendation has been sent to the Dean and shall provide the faculty member with a copy of the negative recommendation. The faculty member shall have ten working days in which to appeal to the Dean before the latter acts on the Chairman's recommendation. If no appeal is made to the Dean, or if, despite an appeal, the Dean concurs in the departmental recommendation, the Dean shall forward the negative recommendation in writing to the Vice Chancellor, enclosing all materials relevant to the decision. Simultaneously, the Dean shall notify the faculty member in writing that the negative recommendation has been forwarded and shall provide the faculty member with a copy of the negative recommendation. The faculty member shall have ten working days in which to appeal to the Vice Chancellor. If no appeal is made, or if, despite an appeal, the Vice Chancellor concurs with the Chairman's and Dean's recommendation, the faculty member should be sent final notification regarding non-renewal of contract, such notification being within the time limits set forth in Section 2.4

## **2.5 Resignations/Retirement**

- a. An instructor or assistant professor who wishes to resign or retire from the faculty shall normally give notice not less than three months before the expiration of his contract.
- b. An associate or full professor shall normally give not less than four months' notice.
- c. Any faculty member may properly request that this requirement be waived in case of hardship or if he feels that observance might deny him substantial professional advancement.
- d. A faculty member may properly give notice within ten days after receiving his contract (1) if it is not in his hands in time for him to meet the above requirements and (2) if he is not satisfied with the terms and conditions of the offered contract.

## **2.6 Termination of Services of Faculty Member with Tenure**

- a. The services of a faculty member having tenure shall be terminated only for adequate cause, except at the normal retirement age.

- b. Except in cases of admission or conviction of a serious violation of the criminal code, the services of a faculty member with tenure shall be terminated only in accordance with the procedures outlined in this statement of policy. If the faculty member claims his violation does not constitute adequate cause for dismissal, he shall be entitled to the full procedures outlined in this policy.
- c. The termination proceeding based on academic incompetence, and non-performance in Research, shall be instituted against a faculty member with tenure where the performance of a faculty member falls significantly short of expectations. In such cases he would be informed in writing and proceedings for termination may be initiated if the performance does not improve within the specified time frame.
- d. Except in the case of admission or conviction of a serious violation of the criminal code which is found to constitute adequate cause for dismissal, the faculty member shall be given a written notice of intention to terminate, with the reasons thereof, twelve months in advance of the proposed termination date.
- e. If a tenure appointment is terminated because of a demonstrably bona fide financial exigency of the University, the released faculty member's place will not be filled by a replacement for a period of five years, unless the released faculty member has declined an offered reappointment with at least his previous rank and salary.

### **2.6.1 Preliminary Proceedings.**

- a. When a question arises concerning the termination of the service of a faculty member who has tenure, the matter first shall be brought to the attention of that faculty member's Chairman and/or Dean. If the matter is not resolved at that level, the complaint may be directed to the next direct authority. If a resolution is still not effected, the issue shall proceed through the normal University channels up to, and including, the Vice Chancellor. At every stage the appropriate administrative officer shall discuss the matter with the faculty member involved in a personal conference and notify him or her of any proposed action. The matter may be concluded at any point in this process by mutual consent.
- b. If the matter is not concluded by agreement and the University administration still wants to terminate the faculty member's services, the issue shall be referred to the Syndicate who shall constitute a Dismissal Review Committee of at least 5 members consisting of tenured faculty members and senior administrators from within and/or outside the University

### **2.6.2 Statement of Charges**

A formal dismissal proceeding shall be commenced by a communication from the Vice Chancellor to the faculty member and to the Chairman of the Dismissal Review Committee containing:

- a) A statement giving, with reasonable particularity, the grounds for the dismissal;

- b) A statement that the Dismissal Review Committee will conduct a hearing on the charges;
- c) A statement of the time and place for the hearing, such time being set by the Dismissal Review Committee to permit the faculty member sufficient opportunity to prepare his defense;
- d) A copy of the pertinent University regulations and statutes governing his procedural and substantive rights as a faculty member.

### **2.6.3 Written Answer**

Not less than two weeks before the date set for the hearing, the faculty member shall submit to the Vice Chancellor and to the Chairman of the Dismissal Review Committee his written answer to the charges.

### **2.6.4 Proceedings before the Dismissal Review Committee**

- a) If the faculty member does not answer the Vice Chancellor's statement of grounds, the Committee shall consider whether the stated grounds constitute adequate cause for dismissal. If the Committee finds that the stated grounds do constitute adequate cause, it may conclude, without further inquiry, that the dismissal would be proper.
- b) In its discretion, the Committee may investigate the truth of the charges and request that the Vice Chancellor present proof thereof.
- c) The Committee shall forward its decision, with reasons stated, to the Vice-Chancellor and to the faculty member.

#### **2.6.4.1 Dismissal Review Procedure**

If the faculty member submits an answer as contemplated in Section 2.6.3, the following procedures shall be followed:

- a) The Dismissal Review Committee, in consultation with the Vice Chancellor and the faculty member, shall exercise its independent judgment concerning the public or private nature of the hearing. The faculty member's request that the hearings be private, however, shall be binding on the Committee.
- b) If any facts are in dispute, testimony of witnesses and other evidence shall be received.
- c) The Vice Chancellor shall have the option of attending the hearing. The faculty member and the Vice Chancellor shall have the option of being represented by counsel or an adviser, or both.
- d) The hearing shall normally proceed as follows: (a) presentation of the evidence in support of the statement of grounds; (b) the faculty member's evidence in answer; (c) the rebuttal evidence; (d) the faculty member's rebuttal evidence;

- (e) closing arguments. If the circumstances warrant, the Committee may vary the normal order of proceeding.
- e) The faculty member and the Vice Chancellor, their representatives, and committee members shall have the right, within reasonable limits, to question all witnesses who testify orally.
  - f) The Committee, if it deems it desirable, may proceed independently to secure the presentation of evidence at the hearing.
  - g) A verbatim record of the proceeding shall be kept and made available to the parties concerned. The cost of such record shall be borne by the University.
  - h) If the faculty member's academic competence is questioned, the proof before the Committee shall be insufficient unless it includes testimony of teachers and other scholars, either from the University or from other institutions, and it shows that:(1) the faculty member's academic performance has deteriorated since he received tenure; and (2) his academic performance is now typically unsatisfactory.
  - i) The faculty member shall have the aid of the University Administration and the Committee, when needed, in securing the attendance of witnesses and in obtaining information necessary to his defense.
  - j) Except as provided in this paragraph, the parties shall have the opportunity to be confronted at the hearing by all witnesses adverse to them. When it is impossible for either party to secure the attendance of a witness at the hearing, his statement which is to be introduced at the hearing shall be reduced to writing and signed by him, and shall be disclosed to the other party sufficiently in advance to permit such other party to interrogate the witness before the hearing. If the other party fails to interrogate the witness within a reasonable time or if he does interrogate the witness and the replies of the witness are reduced to writing and signed by him, the original statement together with the replies, if any, shall be admissible in the hearing.
  - k) The Committee shall not be required to follow formal court procedures or judicial rules of evidence.

### ***2.6.5 Consideration of Matter by Dismissal Review Committee***

- a) In the usual case, the Committee shall await the availability of a verbatim record of the hearing before proceeding to a decision. It may request or accept written briefs from the parties. Where the Committee feels that a just decision can be reached in the absence of a verbatim record, it may, in its discretion, render a decision without waiting for it. In all cases, the Committee shall render its decision with full consideration of the fact that the University Administration has the burden of proving its case. The Committee shall reach its conclusions in executive session.
- b) The Committee shall make specific findings of fact supporting its conclusions on each of the grounds for removal presented. A reasoned opinion normally shall accompany the findings and conclusions.

- c) The Vice Chancellor and the faculty member shall be notified of the Committee's decision in writing and shall be given copies of the findings, conclusions, and opinion.
- d) In the discretion of the Committee, publicity concerning the Committee's decision may properly be withheld until due consideration has been given to the case by the Syndicate.

### **2.6.6 Consideration of Matter by the Syndicate**

- a) At the request of either the faculty member or the Vice Chancellor, the Syndicate shall review the case. A request for review by the Syndicate must be filed with the Registrar of the University within 120 calendar days of the date that the Committee's decision is sent to the faculty member and the Vice Chancellor. The Syndicate's review shall be based on the record of the hearing before the Dismissal Review Committee, accompanied by opportunity for oral and written argument by the principals or their representatives.
- b) The Syndicate will normally abide by the Committee's decision. If the Syndicate disagrees with the Committee, the proceedings shall be returned to the Committee with objections specified. The Committee shall reconsider the case, following procedures hereinbefore specified for the original hearing, taking account of the stated objections and receiving new evidence if necessary. After reconsideration, the Committee shall frame its decision and communicate it in the same manner as before. After study of the Committee's reconsideration, accompanied by opportunity for oral and written argument by the principals or their representatives, the Syndicate shall make a final decision.

## **2.7 Faculty Remuneration**

A faculty member appointed on tenure track shall be entitled, in accordance with the rules, to the pay sanctioned for such post.

### **2.7.1 Initial Pay**

- a) The initial pay of a faculty member appointed to a post shall be determined as a sum of the
  - a. Base pay in that post, plus
  - b. One increment for each year of post Ph.D. teaching experience
  - c. A faculty member may be awarded advanced increments that may be based on the following factors
    - i. Total years of experience of working in industry
    - ii. Quality and number of International refereed journal publications, conference presentations and publications and reports.
    - iii. Quality and number of Ph.D. and MS thesis supervised
    - iv. Funding record: proposals written and funded work supervised.

- v. Professional and Community service record.
  - vi. Market factors
- b) Total number of advanced increments awarded can be a fractional number.
  - c) A faculty member serving under Tenure Track System may be extended medical facilities by the University for self and family.

### **2.7.2 Annual Increase**

#### **2.7.2.1 Authority for Grant of Annual Increase**

- a) The Syndicate is authorized to sanction honorarium as well as annual increase in basic pay of all faculty members, except members of the Syndicate.
- b) The Vice Chancellor is authorized to sanction honorarium as well as annual increase in basic pay of all other members of the Syndicate.
- c) The Senate/Syndicate shall determine the honorarium as well as increase in basic pay of the Vice Chancellor.

#### **2.7.2.2 Determining the Date of Annual Increase for New Entrants**

- a) Those who are employed between January and June may be considered for annual increase with effect from 1st July of the same service year.
- b) Those who are employed between July and December may be considered for annual increase with effect from 1st July of the following service year.

#### **2.7.2.3 Self Assessment Report**

A self assessment report shall be completed by every faculty member on tenure track. In this form the faculty member will document the teaching, research, advisory, consultative and administrative service rendered by him during the previous year. Where appropriate the self-assessment will be backed by documented evidence, that may include (i) course files, (ii) publications (published, submitted, in preparation), (iii) research project in progress and completed, (iv) report on industrial project undertaken (v) details of new courses developed or innovation introduced in course or laboratory work, (vi) requisite information about MSc, MPhil and PhD students supervised, and (vii) advisory and administrative services rendered.

#### **2.7.3 Procedure for Grant of Annual Increase**

- (a) By 15th February each year every faculty member will complete and submit to the respective Department Chairman a self-assessment report.
- (b) Completed report will be reviewed and verified by the respective Department Chairman and forwarded with comments to the Dean of the respective Faculty. The Dean shall look at the reports from the various

departments to ensure parity of assessment methodology, and shall forward the reports to the Vice Chancellor after noting his observations. The Vice Chancellor will present the reports in a meeting of the Syndicate of the University and any observations and note of dissent in case of his disagreement with the views / assessment of Department Head and/or Dean of Faculty shall be recorded.

- (c) The Vice Chancellor shall make the final decision on assessment of the faculty members and shall forward the reports for record purposes to the Syndicate.
- (d) Following allocation of budget to the University, the Vice-Chancellor shall recommend to the Syndicate the pay raise, if any, to be granted to the faculty members. The faculty member shall be entitled to a pay raise that may consist of three components.
  - a. One annual increment determined by the pay scale of the post to which the faculty member is appointed.
  - b. Performance based pay increment determined by an evaluation of the performance report of the faculty member for the previous service year. The performance based pay increments may be based on the factors listed in the annual assessment report.
  - c. Honorarium to be given that may be based on factors listed in the annual assessment report. An honorarium is applicable only for a particular service year.

#### **2.7.4 Pay Scales**

Pay Scales for faculty members appointed on Tenure Track are given at Annex-A. These scales may be revised whenever so notified by the Government/Higher Education Commission.

#### **2.7.5 Note**

Faculty members who do not join the Tenure Track System shall be eligible to contest for Better Incentives as given at Annex-B.

**Annexure - A****TENURE TRACK PAY SCALES**

Category of Faculty Member	Pay Package			Minimum Monthly Salary	Maximum Monthly Salary
	Pay Scale	House Rent Allowance	Utility Allowance		
Professor	50,000-7500 -80,000	30,000-50,000	5% of Pay	82,500	134,000
Associate Professor	35,000-5000 -50,000	15,000-20,000	5% of Pay	51,750	72,500
Assistant Professor	25,000-3000 -37,000	10,000-12,000	5% of Pay	36,250	50,850

**Annexure-“B”****BETTER INCENTIVES FOR FACULTY MEMBERS  
WHO DO NOT JOIN THE TENURE TRACK SYSTEM**

1. Faculty members who do not join the Tenure Track may compete for Better Incentives according to the following criteria:-
  - (a) The award of incentives should be performance based and it must be ensured that the faculty member has an excellent and unblemished record at his credit.
  - (c) Faculty members must have excellent academic profile which includes the following parameters along with the proposed weightage.

(c) Research	30.00%
(d) Number of M.Sc.(Engineering)/M.Phil(Science)/ Ph.Ds produced.	20.00%
(e) Number of undergraduate thesis supervised...	10.00%
(f) Grants won at national and international level.	10.00%
(g) Honours/ Awards received.	10.00%
(h) Evaluation by Departmental Committee	20.00%
2. The incentive may be 3 - 4 salaries in a year.
3. The assessment of eligible faculty members for grant of incentives should be carried out through Peer Review Committee of experts and eminent scholars or the Selection Board.
4. Proper system of monitoring of incentives to faculty members be adopted to ensure that the really deserving faculty members get the incentive.
5. The incentives would be extended purely on merit but in no case the number of recipients would exceed 45% of the faculty strength in each Department unless otherwise notified by Higher Education Commission/Government.