

UNIVERSITY OF REDLANDS

Faculty Handbook

December 16, 2020

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Appendix I-A: Memorandum of Understanding Between Administration and Faculty

1. *Identification*

This Memorandum of Understanding is made and entered into this 2nd day of June, 1992, by and between the University of Redlands Administration ("Administration") and the appropriate University of Redlands Faculty governance bodies ("Faculty") and is based upon the following recitals:

2. *Recitals*

- 2.1 It is recognized that all activities and affairs for the University shall be conducted, and all corporate power of the University shall be exercised by or under the direction of the Board of Trustees.
- 2.2 It is acknowledged that the Board of Trustees is empowered to establish all general University policies.
- 2.3 In establishing policies, the Board of Trustees may rely upon recommendations from its constituent parts, including the Faculty and Administration.
- 2.4 It is also recognized that all recommendations from Faculty and Administration normally come through the President of the University to the Board of Trustees.
- 2.5 The parties subscribe to the view that participation and cooperation of both Faculty and Administration is required for the orderly conduct of the University affairs. The parties further endorse the need for a governance community built upon mutual trust and a respect for the options of faculty and Administration.
- 2.6 Prior attempts have been made by Faculty and Administration to articulate the processes and procedures by which Faculty and Administration participate and cooperate in the establishment of policies by the Board of Trustees.
- 2.7 The parties have acknowledged that, despite their prior attempts, questions have arisen regarding the scope and extent of the Faculty's and the Administration's authority.
- 2.8 The parties now desire to set forth in this Memorandum their agreement on procedures to be followed in the event of any unusual circumstances or dispute regarding the nature and extent of delegated authority or in the discharge of any responsibility delegated to the Faculty or Administration by the Board of Trustees.

3. *Agreements*

The Faculty and Administration agree as follows:

- 3.1 Faculty shall have the central responsibility for the academic affairs of the University. This includes consultation with the Administration, as appropriate, in the exercise of this responsibility. Administration shall have the central responsibility for the fiscal and administrative affairs of the University. This includes consultation with the Faculty, as appropriate, in the exercise of this responsibility.
- 3.2 In any instance where Faculty action pursuant to its central responsibility may involve or affect matters of a fiscal or administrative nature, the Administration shall be provided an opportunity to meet and consult with the Faculty prior to the taking of any action by the faculty. In any instance where Administrative action pursuant to its central responsibility may involve or affect matters of academic affairs, the Faculty shall be provided an opportunity to meet and consult with the Administration prior to the taking of any action by the Administration or presentation to the Board of Trustees.
- 3.3 If, following such opportunity to meet and consult, the faculty takes an action that the administration believes has ramifications and implications beyond the area of the Faculty's central responsibility for academic affairs, the Administration may overrule the action of the Faculty, provided that, within a reasonable time of its decision, the administration submits to the Academic Assembly of the Faculty a statement of its findings and determinations which set forth both the reasons which compelled the Administration to overrule the Faculty action and the nature and extent of the impacts of the Faculty action upon fiscal and administrative affairs.

3.4, If the Administration should take any action that the Faculty views as contrary to its academic policies, and discussion with the Administration has failed to resolve the conflict, the Faculty can bring the issues of the Academic Affairs Committee of the Board of Trustees for mediation and if necessary resolution.

3.5. To assist in maintaining maximum communication between Faculty and Administration it is agreed that:

3.5.1 The President and Vice President of the Academic Assembly or designate will serve as ex-officio non-voting members of the Academic Affairs Committee of the Board of Trustees.

3.5.2 The Academic Assembly shall have the opportunity to report to the Board of Trustees on matters of interest to the Faculty at two meetings of the Board of Trustees each year.

The intent of the Board of Trustees regarding the above Memorandum is specified in a letter from H. Jess Senecal, Chairman, Articulation Committee, to President James R. Appleton, dated 19 May 1992:

The action by the Board was predicated upon the following understandings:

1. The Memorandum of Understanding supersedes all prior agreements between Administration and Faculty relating to the matters encompassed within the Memorandum.
2. The Memorandum is only intended to provide guidance. Procedures for implementation shall be established by the Administration on a case-by-case basis.
3. By authorizing the execution of the Memorandum the Board is not intending to limit the prerogatives of the President to "non-academic" areas, but expects the President and appointed academic officers to take the initiative to lead in all matters involving the University, while providing appropriate delegation to the faculty.
4. Absent appropriate dispute resolution by the Administration and Faculty, any unresolved issue arising under the Memorandum may be brought to the Academic Affairs Committee of the Board of Trustees.

In addition, the Board of Trustees intends that all recommendations regarding University policy shall come through the President to the Board of Trustees, absent abnormal, unique or unusual circumstances.

With the understanding that the foregoing clarifications of the intent of the Board are deemed to be part of the foundation for the Memorandum, you are authorized to execute the Memorandum on behalf of the Administration.

Approved by the Board of Trustees 16 May 1992; executed 2 June 1992.

Appendix 1-B
The University of Redlands Faculty Constitution
and By-Laws

The Faculty Constitution

I. The University Academic Assembly

A. Membership of the University Academic Assembly

1. All tenured, tenure-track, regular term (term teaching; library; physical education and athletics; artist; and clinical) faculty, as well as full-time visiting faculty are voting members of the Academic Assembly.
2. All academic administrators holding faculty appointments (i.e. carrying less than a half-time teaching load), senior administrators, and the President of the University are non-voting members of Academic Assembly.

B. The Chair of the Academic Assembly

1. The Academic Assembly shall be convened and its deliberations moderated by a Chair elected by and from its voting members. The Academic Assembly Chair shall be elected in even-numbered years for a two-year term beginning July 1 following the election and may not be re-elected for a successive term. The Chair of the Academic Assembly shall receive the equivalent of one course release per year.
2. The Chair shall serve as the President of the Faculty Senate, as per II. B.
3. The Chair must call a meeting of the Academic Assembly within fourteen (14) calendar days after receiving a duly constituted written petition from twenty (20) voting members of the Assembly. If the Chair is unable to moderate a meeting of the Academic Assembly, he/she shall designate an alternate drawn from the members of the Steering Committee.
4. Whenever the faculty is to be represented on administrative committees, committees of the Board of Trustees, or other University-wide or ad hoc committees, the Chair of the Academic Assembly shall make recommendations that reflect the diversity of the faculty and academic programs.
5. The Academic Assembly Chair shall be responsible for maintaining communication with the Provost, the President of the University, and the Board of Trustees.
6. In the event of an unresolved question of interpretation of the *Faculty Handbook*, the Academic Assembly Chair shall serve on the Interpretation Committee as described in Section 1.3. of the *Faculty Handbook*.
7. Should the Academic Assembly Chair become vacant before the end of the designated two-year term, the position shall be filled by recommendation of the Nominating Committee and approved by the Academic Assembly via electronic ballot. The Academic Assembly Chair filling a vacancy will serve only the remainder of the term of the original Academic Assembly Chair whom they are replacing.

C. Responsibilities of the Academic Assembly

1. The Academic Assembly shall meet at the call of its Chair.
2. The Academic Assembly also shall meet at the written petition to its Chair of twenty (20) voting members. If such a meeting is called to discuss matters of particular concern with or to vote on a decision or recommendation of a College or School Assembly (including the Graduate School of Theology, the School Business, and the School of Education), the petition must be filed with the Chair of the Academic Assembly not more than fourteen (14) calendar days after the action of a College or School Faculty Assembly has been publicized.
3. The Academic Assembly shall create standing committees that have a continued existence to address specific and recurrent matters pertaining to faculty governance.

4. The Academic Assembly shall revise as needed the *Faculty Constitution* according to the provisions of Section VII. The Academic Assembly shall revise as needed the *By-laws of the Academic Assembly* according to the provisions of Section 10 of the *By-laws*.
5. The Academic Assembly may override decisions of the Faculty Senate only as follows:
 - a. As outlined in I.C.2, the Assembly shall meet to consider decisions of the Faculty Senate on presentation of a signed petition from at least twenty (20) members of the Academic Assembly.
 - b. The petition must be presented to the President of the Academic Assembly no more than fourteen (14) days after the minutes pertaining to the Faculty Senate decision question(s) have been made available to the Academic Assembly.
 - c. At the meeting of the Academic Assembly prompted by the petition, the Assembly may call for a faculty-wide vote on overriding the decision(s) of the Faculty Senate.
 - d. If the motion passes with at least sixty percent (60%) of voting members of the Academic Assembly present, the President of the Faculty Senate shall arrange an electronic ballot to be presented to all voting members of the Academic Assembly.
 - e. Overturning the decision(s) in question of Faculty Senate requires an affirmative vote from the majority of the voting members of the Academic Assembly, as well as a majority vote from voting members of the Academic Assembly in each of the College of Arts and Sciences, the Graduate School of Theology, the School of Business, and the School of Education individually.
6. When it is necessary to resolve questions of procedure, maintain order, or expedite deliberations, the Academic Assembly shall follow the procedures defined in the most recent edition of *Robert's Rules of Order Newly Revised*.

D. A Quorum of the Academic Assembly

A quorum of the Academic Assembly shall consist of those members of the University faculty who attend an Academic Assembly meeting that has been announced by written or electronic notice to the membership of the University Academic Assembly (described under Section I.A.) at least fourteen (14) calendar days prior to the Academic Assembly meeting. A binding vote of the Academic Assembly will be cast by a majority of those voting members who are present.

E. Record Keeping of the Academic Assembly

The Registrar or designee serves as the secretary to the University Academic Assembly. Minutes of all Academic Assembly meetings shall be distributed to the members within one week of the Academic Assembly meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the Academic Assembly's actions shall be deposited with the Chair of the Academic Assembly and the Office of Academic Affairs.

II. The Faculty Senate

A. Definition

1. The Faculty Senate shall be the representative body that serves the interests and executes the responsibilities described under Section II.E on behalf of the voting members of the Academic Assembly.
2. The term "senator" or "senators" shall be defined as an elected member(s) of the Faculty Senate.

B. The President of the Faculty Senate

1. The Faculty Senate shall be convened and presided over by the President of the Faculty Senate, who also serves as the Chair of the Academic Assembly, as per Section I.B. In the event that the President of the Faculty Senate is not in attendance, a member of the Faculty Senate may be designated by the President of the Faculty Senate to convene and preside over the Faculty Senate.
2. The President of the Faculty Senate shall be a non-voting member of the Faculty Senate, unless her or his vote would break a tie under the Faculty Senate voting procedures provided in II.F.

3. The President of the Faculty Senate shall be responsible for maintaining clear, continuous, and meaningful channels of communication with members of the Academic Assembly, the standing committees and committees of the Faculty Senate, the Provost, the President of the University, and the Board of Trustees.
4. The President of the Faculty Senate may invite as a guest to a particular meeting of the Faculty Senate any faculty member, administrator, student, or staff member who might serve as a resource person for that meeting or any portion thereof.

C. Membership of the Faculty Senate

1. The Faculty Senate shall be comprised of four (4) faculty members from the College of Arts and Sciences, one (1) faculty member from the School of Business, one (1) faculty member from the School of Education, one (1) regular Term Contract faculty, one (1) faculty member from the Untenured Faculty Caucus, one (1) faculty member of a caucus recognized in the By-laws by the Academic Assembly, and three (3) faculty members elected from the School of Business, the School of Education, or the Graduate School of Theology.
2. The President of the Faculty Senate is a non-voting member of the Faculty Senate, except as noted under Section II.B.2.

D. Terms of Membership

1. Unless otherwise specified in Section II of the Faculty Constitution, senators shall serve one (1) two-year term and shall be eligible for re-election to the Senate for up to two (2) additional consecutive terms, provided that she or he serves on a different Faculty Senate committee in each of the three consecutive terms. After one year has elapsed following three consecutive terms, she or he would be eligible to stand for election to the Faculty Senate again.
2. To promote institutional memory, the terms of senators are staggered.
3. Term faculty elected to the Faculty Senate who do not have a contractual obligation for University service will be granted one course release per year of service on the Faculty Senate.

E. Responsibilities of the Faculty Senate

1. The Faculty Senate shall serve as a forum to address matters pertaining to the welfare of the University and general topics of interest to Faculty. The Faculty Senate shall include reports from administrators, chairs of standing committees, and chairs of Faculty Senate committees when these individuals have information of significance to the Faculty.
2. The Faculty Senate shall act on policy matters and recommendations prepared by the Steering Committee, standing committees, Faculty Senate committees, and ad hoc or special committees. It shall have the responsibility to enact appropriate recommendations, including those prepared by a College or School Faculty Assembly, for governing University academic programs.
3. The Faculty Senate shall have the authority to suspend decisions of a College or School Faculty Assembly. No matter suspended by the Faculty Senate can be enacted without the consent of the Faculty Senate upon resubmission.
4. Normally, Faculty Senate meetings are open for observation by all members of the Academic Assembly. Following a majority vote of the Faculty Senate members present, the President of the Faculty Senate may convene an executive session of the Faculty Senate excluding all persons except members of the Faculty Senate and voting members of the Academic Assembly, or all persons except members of the Faculty Senate.
5. The Faculty Senate shall create ad hoc or special committees for unique projects or to address particular issues not falling within the jurisdiction of any standing committee or Faculty Senate committee. Ad hoc and special committees shall have terms of sufficient length to conduct their business but shall not become standing committees or Faculty Senate committees, unless so established by constitutional revision.
6. The Faculty Senate shall conduct open hearings on issues of interest to the faculty.

7. The Faculty Senate shall review annual reports from all standing committees and Faculty Senate committees.
8. The Faculty Senate shall vote on recommendations of candidates for honorary degrees.
9. The Faculty Senate shall review reports on the status of University budget, enrollment, and finances on a periodic and timely basis.
10. The Faculty Senate shall consult with and advise the Provost and the President of the University on matters of general concern to the Faculty, such as, but not limited to, faculty rights and responsibilities, long-range planning for the University, and procedures for selecting senior academic administrators.
11. When it is necessary to resolve questions of procedure, maintain order, or expedite deliberations, the Faculty Senate shall follow the procedures defined in the most recent edition of *Robert's Rules of Order Newly Revised*.

F. Voting Procedures of the Faculty Senate

1. The Faculty Senate shall employ a qualified majority voting system.
 - a. A *qualified simple majority* is defined as seven (7) senators when their representation meets the following qualification: senators from each of three of the four constituent Assemblies are among the seven senators. The constituent assemblies are the College of Arts and Sciences, the School of Business, the School of Education, and the Graduate School of Theology.
 - b. A *qualified super majority* is defined as nine (9) senators. In the event that senators from designated constituent assemblies cannot be seated and their seats must be filled by members from the Faculty at large, a qualified super majority must include senators from each of two of the four constituent Assemblies among the nine senators.
 - c. A *qualified majority* shall be understood to mean that the necessary qualified simple majority is present for a meeting of the Faculty Senate or, in the absence of a qualified simple majority, a qualified super majority is present.
2. A motion passes under the qualified majority voting system when a qualified majority has voted in favor of a motion.
3. If a tie vote occurs, the President of the Faculty Senate will cast the deciding vote if and only if the vote already meets the vote distribution requirements described in II.F.1 and II.F.2. The constituency from which the President of the Faculty Senate was elected is not considered in the vote distribution calculation.

G. Senate Vacancies

Should a Faculty Senate position (except the President of the Faculty Senate) become vacant before the end of the designated term, the position shall be filled by recommendation of the Nominating Committee and approved by the Faculty Senate. In the event that a vacancy cannot be filled from a designated constituency any voting member of the Academic Assembly can be chosen to fill the position (See *By-Law 2*, "Nominations").

H. A Quorum of the Faculty Senate

A quorum of the Faculty Senate shall consist of a qualified majority of its voting membership.

I. Record Keeping of the Faculty Senate

The Registrar or designee serves as the secretary to the Faculty Senate. Minutes of all Faculty Senate meetings shall be distributed to all members of the Faculty Senate by the next regularly called meeting. Approved minutes shall be distributed to all members of the Academic Assembly and posted electronically for review within one week of approval. Minutes of Faculty Senate meetings must include a record of attendance of all Faculty Senate members and a full record of each senator's votes. Records of the Faculty Senate's actions shall be deposited with President of the Faculty Senate and the Office of Academic Affairs.

III. Committees of the Faculty Senate

A. Definition

Committees of the Faculty Senate consist of committees that have a continued existence, are not related to the accomplishment of a unique, once-only task, and are populated by elected members of the Faculty Senate. Committees of the Faculty Senate shall include the following:

Committee on Academic Planning and Standards (CAPS),
Personnel Policies Committee (PPC),
Budget and Planning Committee

B. Terms of Membership

The standing committees are populated by elected members of the Faculty Senate. Committee members shall serve a term concurrent with their Faculty Senate term.

C. Procedures of the Faculty Senate Committees

1. The Office of Academic Affairs shall designate staff support for Faculty Senate committees where appropriate and feasible.
2. The Chair of any Faculty Senate committee or the President of the Faculty Senate may invite as a guest to a particular meeting of that body any faculty member, administrator, student, or staff member who might serve as a resource person for that meeting or any portion thereof.
3. Each Faculty Senate committee shall have access to the data, information, and other resources needed to perform its functions.
4. Each Committee shall maintain records of its activities and actions as well as all correspondence and other documents received by the Committee. Records of the Committee's actions shall be deposited with the President of the Faculty Senate and the Office of Academic Affairs.

D. The Committee on Academic Planning and Standards

1. Membership of the Committee on Academic Planning and Standards

The Committee on Academic Planning and Standards shall be comprised of two (2) faculty members elected to the Faculty Senate from the College of Arts and Sciences, and two (2) faculty members elected to the Faculty Senate from the School of Business, School of Education or the Graduate School of Theology as voting members. No one department in CAS nor one School shall occupy more than one apportioned seat on CAPS at the same time. Director of the Library (or designee), the Registrar (or designee), and the Provost (or designee) are ex-officio and non-voting members.

2. Chair of the Committee on Academic Planning and Standards

The Chair shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for a second one-year term.

3. Responsibilities of the Committee on Academic Planning and Standards

The responsibilities of the Committee on Academic Planning and Standards include, but are not limited to, the following:

- a. The Committee on Academic Planning and Standards shall report its recommendations to the Faculty Senate.
- b. The Committee on Academic Planning and Standards shall prepare the methodology, coordinate the efforts, and compile the contributions related to University-wide accreditation and related matters in coordination with the Office of Academic Affairs.
- c. The Committee on Academic Planning and Standards shall evaluate and recommend priorities for the allocation of full-time faculty positions. Annually, the Committee shall evaluate proposals initiated by academic departments/programs as forwarded by their respective Curriculum Committees for replacement positions, new positions, and eliminated positions of the faculty. To make these recommendations, the Committee on Academic Planning and Standards will have access to relevant institutional data including, but not limited to, program reviews and the Educational Assessment Committee's annual comprehensive planning reviews.
- d. The Committee on Academic Planning and Standards shall evaluate and make recommendations on the sufficiency of Library resources, educational facilities/equipment, and Instructional Technology to meet the objectives across the University of Redlands' academic programs. To make these recommendations, the Committee on Academic Planning and Standards will have access to relevant institutional data including, but not limited to, program reviews and the Educational Assessment Committee's annual comprehensive planning reviews.
- e. The Committee on Academic Planning and Standards shall review for Faculty Senate approval proposals concerning admissions standards and criteria, including those submitted by the Curriculum Committees of the College of Arts and Sciences, Graduate School of Theology, School of Business, School of Continuing Studies, or School of Education on behalf of their respective Assemblies, and otherwise ensure that the University of Redlands admissions standards and criteria are maintained.

- f. The Committee on Academic Planning and Standards shall review for Faculty Senate approval proposals concerning graduation requirements, including those submitted by the Curriculum Committees of the College of Arts and Sciences, Graduate School of Theology, School of Business, School of Continuing Studies, or School of Education on behalf of their respective Assemblies, and otherwise ensure that the University of Redlands graduation requirements are maintained.
 - g. The Committee on Academic Planning and Standards shall review, update and otherwise maintain the University of Redlands Academic standards and policies in coordination with the Office of Academic Affairs, which include, but are not limited to, registration and records; the grading system; degree candidacy; individualized study; honors; academic warning, probations, and disqualification; and eligibility standards for participation in intercollegiate athletics.
 - h. The Committee on Academic Planning and Standards shall consult with the administration concerning proposals for external funding that would create new academic programs, significantly alter existing academic programs, or require new faculty positions.
 - i. The Committee on Academic Planning and Standards shall review for Faculty Senate approval proposals concerning new and significantly revised academic programs and degrees submitted by the Curriculum Committees of the College of Arts and Sciences, Graduate School of Theology, School of Business, School of Education, or School of Continuing Studies on behalf of their respective Assemblies
4. **A Quorum of the Committee on Academic Planning and Standards**
A quorum of the Committee on Academic Planning and Standards shall consist of more than fifty percent (50%) of the voting membership of the Committee.
5. **Record Keeping and Reporting by the Committee on Academic Planning and Standards**
The Registrar (or designee) serves as the secretary to the Committee on Academic Planning and Standards. Minutes of all the Committee on Academic Planning and Standards meetings shall be distributed to committee members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the Committee's actions shall be deposited with President of the Faculty Senate and the Office of Academic Affairs. The Committee on Academic Planning and Standards shall submit and present an Annual Report to the Faculty Senate at the conclusion of the academic year.

E. The Personnel Policies Committee

1. **Membership of the Personnel Policies Committee**
The Personnel Policies Committee shall be comprised of one (1) faculty member elected to the Faculty Senate from the College of Arts and Sciences, one (1) faculty member elected to the Faculty Senate from the School of Business, School of Education, or Graduate School of Theology, one (1) faculty member elected to the Faculty Senate from a caucus recognized in the By-laws by the Academic Assembly, and one (1) Term or regular contract faculty elected to the Faculty Senate. Contract faculty and caucus faculty on the PPC may come from any College department or School. The Provost is an ex officio and non-voting member.
2. **Chair of the Personnel Policies Committee**
The Chair of the Personnel Policies Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for a second one-year term. In the event of an unresolved question of interpretation of the *Faculty Handbook*, the Chair of the Personnel Policies Committee shall serve on the Interpretation Committee as described in Section 1.3. of the *Faculty Handbook*.
3. **Responsibilities of the Personnel Policies Committee**
Responsibilities of the Personnel Policies Committee include, but are not limited to, the following:
- a. The Personnel Policies Committee shall report its recommendations to the Faculty Senate.
 - b. The Personnel Policies Committee shall review, update and otherwise maintain the *University of Redlands Faculty Constitution* and *By-Laws* in consultation with the Office of Academic Affairs.
 - c. The Personnel Policies Committee shall review, update and otherwise maintain the *University of Redlands Faculty Handbook* in consultation with the Office of Academic Affairs.

- d. The Personnel Policies Committee shall recommend to the Faculty Senate new or revised policies and procedures related to the welfare, benefits, and contractual status of all faculty members that would be included in the *University of Redlands Faculty Handbook*.
 - e. The Personnel Policies Committee shall discuss and make recommendations on other issues relating to faculty personnel policies, as assigned by the Faculty Senate.
- 4. **A Quorum of the Personnel Policies Committee**
A quorum of the Personnel Policies Committee shall consist of more than fifty percent (50%) of the voting membership of the Committee.
 - 5. **Record Keeping and Reporting by the Personnel Policies Committee**
The Personnel Policies Committee shall designate from its membership a recording secretary to the Committee. Minutes of all Personnel Policies Committee meetings shall be distributed to Committee members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the Committee's actions shall be deposited with President of the Faculty Senate and the Office of Academic Affairs. The Personnel Policies Committee shall submit and present an Annual Report to the Faculty Senate at the conclusion of the academic year.

F. The Budget and Planning Committee

- 1. **Membership of the Budget and Planning Committee**
The Budget and Planning Committee shall be comprised of one (1) faculty member elected to the Faculty Senate from the College of Arts and Sciences, one (1) faculty member elected to the Faculty Senate from the School of Business, one (1) faculty member elected to the Faculty Senate from the School of Education, and one (1) faculty member elected to the Faculty Senate from the Untenured Faculty Caucus as voting members. The Provost (or designee) and the Vice President for Finance (or designee) are *ex officio* and non-voting members.
- 2. **The Chair of the Budget and Planning Committee**
The Chair of the Budget and Planning Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for a second one-year term.
- 3. **Responsibilities of the Budget and Planning Committee**
Responsibilities of the Budget Committee include, but are not limited to, the following:
 - a. The Budget and Planning Committee shall report its recommendations to the Faculty Senate.
 - b. The Budget and Planning Committee shall be recognized as the representatives of the Faculty Senate to the administration on budgetary, financial, and planning issues.
 - c. The Budget and Planning Committee shall serve as the consultative body for the administration on budgetary, financial, and planning issues.
 - d. The Budget and Planning Committee shall, in consultation with the Faculty Senate, advocate and articulate faculty views on budgetary, financial and planning issues to the administration.
 - e. The Budget and Planning Committee shall, in consultation with the Faculty Senate, develop means for communicating information on budget, financial, and planning issues to and from the Academic Assembly and the individual College and School Assemblies.
- 4. **A Quorum of the Budget and Planning Committee**
A quorum of the Budget and Planning Committee shall consist of more than fifty percent (50%) of the voting membership of the Committee.
- 5. **Record Keeping and Reporting by the Budget and Planning Committee**
The Budget and Planning Committee shall designate from its membership a recording secretary to the committee. Due to the confidential nature of some issues discussed, administration must make clear distinctions about what materials and discussions may be reported to the Faculty Senate. Minutes of all Budget and Planning Committee meetings shall be distributed to Committee members by the next regularly called meeting and approved minutes shall be posted electronically for review

by interested faculty members. Records of the Committee's actions shall be deposited with President of the Faculty Senate and the Office of Academic Affairs. The Budget and Planning Committee shall submit and present an Annual Report to the Faculty Senate at the conclusion of the academic year.

IV. Standing Committees of the University Academic Assembly

A. Definition

Standing committees of the Academic Assembly consist of committees that have a continued existence and are not related to the accomplishment of a unique, once-only task. Standing committees shall include the following:

Faculty Review Committee (FRC),
Academic Review Board (ARB),
Educational Assessment Committee (EAC),
School of Continuing Studies Curriculum Committee (SCS),
Grievance Committee,
Mentoring Committee,
Steering Committee,
Nominating Committee.

B. Terms of Membership

Unless otherwise specified in Section II of the Faculty Constitution, committee members shall serve one (1) two-year term and shall be eligible for re-election to that Committee after one year has elapsed following a previous term. To promote institutional memory, the terms of Committee members are staggered. Under exceptional circumstances to ensure continuity of membership, the Nominating Committee may nominate sitting members to serve an additional year with approval by the Faculty Senate. Efforts shall be made by the Deans or Provost to adjust a Committee member's or chairperson's teaching load to reflect the added responsibilities and time commitments of his or her position.

C. Concurrent Membership

No person may serve as an elected member of more than one standing committee at a given time, except for concurrent membership on the Steering and Nominating Committees. No person may serve as an elected member of one standing committee and the Faculty Senate at a given time.

D. Committee Vacancies

Except for vacancies to the Faculty Review Committee, should a standing committee position become vacant before the end of the designated term, the position shall be filled by recommendation of the Nominating Committee and approved by the Faculty Senate. In the event that a vacancy cannot be filled from a designated constituency any voting member of the Academic Assembly can be chosen to fill the position (See *By-Law 2*, "Nominations"). Vacancies to the Faculty Review Committee will be filled by a University-wide election as defined in *By-Law 4*, "Voting." Committee members filling a vacancy either by election or appointment will serve only the remainder of the term of the original committee member whom they are replacing.

E. Procedures of the Academic Assembly Standing Committees

1. The Office of Academic Affairs shall designate staff support for standing committees where appropriate and feasible.
2. The Chair of any standing committee or of the Assembly may invite as a guest to a particular meeting of that body any faculty member, administrator, student, or staff member who might serve as a resource person for that meeting or any portion thereof.
3. Each standing committee shall have access to the data, information, and other resources needed to perform its functions.
4. Each Committee shall maintain records of its activities and actions as well as all correspondence and other documents received by the Committee. Records of the Committee's actions shall be deposited with the President of the Faculty Senate and the Office of Academic Affairs.

F. Faculty Review Committee

1. Membership of the Faculty Review Committee

The Faculty Review Committee shall be comprised of two (2) faculty members from the College of Arts and Sciences, two (2) faculty members from either the School of Business, the School of Education or the Graduate School of Theology, one (1) faculty member from the regular Term Contract faculty one (1) faculty member of a caucus recognized in the By-laws by the Academic Assembly and one(1) at-large faculty member as voting members. No one department in CAS nor one School shall occupy more than one apportioned seat on the FRC at the same time. Caucus and at-large faculty on the FRC may come from any College department or School. All members of the Faculty Review Committee must have a minimum term of full-time service to the University of seven years or tenure. All faculty members serving on the Faculty Review Committee are eligible for at least one course release each academic year.

2. Chair of the Faculty Review Committee

The Chair of the Faculty Review Committee shall be elected by and from the membership of the Committee for a one-year term and may be re-elected for a second one-year term. When the full committee is unable to meet, usually during the summer months, the incoming Chair shall act on behalf of the Committee for matters pertaining to the upcoming review cycle. The outgoing Chair shall act on behalf of the Committee for matters unresolved during the previous review cycle. Consequently, a Chair's duties might extend past the official term of election.

3. Responsibilities of the Faculty Review Committee

The responsibilities of the Faculty Review Committee include, but are not limited to, the following:

- a. The Faculty Review Committee shall work with the academic Deans and the Provost in evaluating full time faculty members for contract renewal, promotion, tenure, and senior review.
- b. The Faculty Review Committee shall work with the academic Deans and the Provost to review the letter of notification to faculty under review as well as the request for confidential letters of evaluation from faculty colleagues.
- c. Prior to the annual review cycle, the Faculty Review Committee shall meet with appropriate Human Resource representatives to discuss procedures for avoiding potential conflicts of interest, bias, or advocacy.
- d. The Faculty Review Committee may augment a dossier as required by soliciting additional information from the faculty member under review or from persons either on or off campus.
- e. The recommendations of the Faculty Review Committee shall be determined independently from the administration and subsequently submitted to the appropriate academic Dean and to the Provost.
- f. After the Board of Trustees renders its decision on the evaluation report of the Provost, the Faculty Review Committee shall write a letter of comment to each faculty member under review indicating whether the Committee concurs with the approved evaluation report of the Provost and providing any additional comments or advice.
- g. The Faculty Review Committee shall make recommendations to the Personnel Policies Committee and the Faculty Senate regarding criteria, standards, policies, and procedures relating to contract renewal, promotion, tenure, and senior review.
- h. The Faculty Review Committee shall evaluate and recommend applications for sabbatical leaves.
- i. The Faculty Review Committee shall make awards of faculty research grants.
- j. The Faculty Review Committee shall select the annual recipients of the faculty awards for Outstanding Teaching, Outstanding Research/Creative Activity, Outstanding Service, and, in consultation with the Hunsaker Distinguished Teaching Chair, Innovative Teaching.
- k. Former FRC members may be appointed by the Senate president to serve as members of the Mentoring Committee for a term of one year to act informally as mentors on review-related matters and be available to work with the Untenured Faculty Caucus. This term can be renewed upon request of the Senate president. Roles and responsibilities can be found at *Faculty Constitution Section IV.K.3.*

4. A Quorum of the Faculty Review Committee

A quorum of the Faculty Review Committee shall consist of more than fifty percent (50%) of the voting membership of the Committee.

5. **Record Keeping and Reporting by the Faculty Review Committee**

The Chair of the Faculty Review Committee shall act as recording secretary to the Committee and shall maintain a log of the Committee's actions. Copies of the Committee's final recommendations, including the final vote, shall be forwarded to the appropriate Dean and the Provost. Due to the confidential nature of the Committee's work, no minutes of Committee's deliberations are maintained nor deposited with the President of the Faculty Senate or the Office of Academic Affairs. The log of the Committee's actions shall be deposited annually with the Office of Academic Affairs. The Faculty Review Committee shall submit and present an Annual Report on its non-confidential actions to the Faculty Senate at the conclusion of the academic year.

G. The Academic Review Board

1. **Membership of the Academic Review Board**

The Academic Review Board shall be comprised of two (2) faculty members from the College of Arts and Sciences, one (1) faculty member from the School of Business, one (1) faculty member from the School of Education, and two (2) students (one (1) from the College of Arts and Sciences and one (1) from either the School of Business or the School of Education) as voting members. Should a case from the Graduate School of Theology arise, the Registrar will contact the GST Faculty Assembly chair to involve a GST faculty member. The Registrar (or designee) and the Vice President for Student Life (or designee) will function as consultants to the Board.

2. **Chair of the Academic Review Board**

The Academic Review Board does not elect a Chair. The Academic Review Board is convened by the Registrar.

3. **Responsibilities of the Academic Review Board**

Responsibilities of the Academic Review Board include, but are not limited to, the following. The Academic Review Board may delegate some of these responsibilities to the appropriate academic Dean's Office with any such actions reported back to the Academic Review Board.

- a. The Academic Review Board shall implement procedures for addressing petitions appealing disputed grades as contained in the Disputed Grades Policy.
- b. The Academic Review Board shall implement procedures for addressing student academic dishonesty as contained in the Policy on Academic Honesty.
- c. The Academic Review Board shall rule, upon receiving a valid appeal from any student, on any decision to disqualify the student for academic reasons.
- d. The Academic Review Board shall rule, in consultation with the department or individual involved, on any request by a student for a variance or exemption from any of the general graduation requirements.
- e. The Academic Review Board shall act on appeals by students who have failed to comply with University deadlines in cases where exceptional circumstances made compliance impossible.
- f. The Academic Review Board shall rule on student petitions regarding the University's athletic eligibility policies.

4. **A Quorum of the Academic Review Board**

A quorum of the Academic Review Board shall consist of more than fifty percent (50%) of the faculty membership of the Committee. When needed in case of a conflict of interest, a faculty member may be asked during the year following his or her term to serve as a substitute member of the Academic Review Board.

5. **Record Keeping and Reporting by the Academic Review Board**

The Registrar (or designee) serves as the secretary to the Academic Review Board. A log of all Academic Review Board actions shall be distributed to committee members by the next regularly called meeting. Due to the confidential nature of the Board's work, the log is maintained for the Registrar's records, but is not deposited with the President of the Faculty Senate or the Office of Academic Affairs. The Academic Review Board shall submit and present an Annual Summary of its actions to the Faculty Senate at the conclusion of the academic year.

H. The Educational Assessment Committee

1. Membership of the Educational Assessment Committee

The Educational Assessment Committee shall be comprised of two (2) faculty members from the College of Arts and Sciences, one (1) faculty member from a Department or School that has external accreditation with an associated assessment structure, one (1) faculty member of a caucus recognized in the By-laws by the Academic Assembly, and one (1) faculty member elected at-large from the voting members of the Academic Assembly as voting members. The Provost (or designee), the Vice President for Student Life (or designee), and the Director of Institutional Research (or designee) shall participate as ex-officio and non-voting members when invited by the chair.

2. Chair of the Educational Assessment Committee

The Chair of the Educational Assessment Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for additional terms.

3. Responsibilities of the Educational Assessment Committee

The responsibilities of the Educational Assessment Committee include, but are not limited to, the following:

- a. The Educational Assessment Committee shall report its recommendations to the Faculty Senate.
- b. The Educational Assessment Committee shall oversee all assessment of educational effectiveness at the University.
- c. The Educational Assessment Committee shall coordinate the development of learning outcomes for the entire University, the College and the Schools, and all programs within.
- d. The Educational Assessment Committee shall generate and distribute guidelines for assessment and data reporting at the University.
- e. The Educational Assessment Committee shall approve assessment plans for all programs.
- f. The Educational Assessment Committee shall coordinate the program review process, including working with the Curriculum Committees, to develop and revise program review guidelines, create the schedule of reviews, and secure funding for external evaluators.
- g. The Educational Assessment Committee shall consult with the Office of Academic Affairs regarding the allocation of resources for the assessment of educational effectiveness across the University.
- h. The Educational Assessment Committee shall support programs' assessment work and the uses of these findings for program improvement.
- i. The Educational Assessment Committee shall collect and aggregate assessment findings across the University.
- j. The Educational Assessment Committee's comprehensive Program Review Action Plan reviews shall be available to the Curriculum Committees and the Committee on Academic Planning and Standards to assist in prioritizing resource requests.
- k. The Educational Assessment Committee shall determine the assessment activities that will be required in the School of Continuing Studies and work with the Curriculum Committee and the Dean of the School of Continuing Studies to implement and oversee them.

4. A Quorum of the Educational Assessment Committee

A quorum of the Educational Assessment Committee shall consist of more than fifty percent (50%) of the voting membership of the Committee.

5. **Record Keeping and Reporting by the Educational Assessment Committee**
The Educational Assessment Committee shall designate from its membership a recording secretary to the Committee. Minutes of all Educational Assessment Committee meetings shall be distributed to Committee members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the Committee's actions shall be deposited with the President of the Faculty Senate and the Office of Academic Affairs. The Educational Assessment Committee shall submit and present an Annual Report to the Faculty Senate at the conclusion of the academic year.

I. The School of Continuing Studies Curriculum Committee

1. **Membership of the School of Continuing Studies Curriculum Committee**
The School of Continuing Studies Curriculum Committee shall be composed of one (1) faculty member from the College of Arts and Sciences, one (1) faculty member from the School of Business, and one (1) faculty member from the School of Education, and one (1) faculty member elected at-large from the voting members of the Academic Assembly as voting members. Should the Graduate School of Theology become involved in offering courses through the SCS, a member of its faculty would be eligible for membership through the at-large position. The Registrar (or designee) and the Dean of the School of Continuing Studies Education (or designee) are ex-officio and non-voting members.
2. **Chair of the School of Continuing Studies Curriculum Committee**
The Chair of the School of Continuing Studies Curriculum Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for a second one-year term.
3. **Responsibilities of the School of Continuing Studies Curriculum Committee**
The responsibilities of the School of Continuing Studies Curriculum Committee include, but are not limited to, the following:
 - a. The School of Continuing Studies Curriculum Committee shall report its recommendations to the Faculty Senate, to the other Assemblies as appropriate, and, when necessary, to the Committee on Academic Planning and Standards.
 - b. The School of Continuing Studies Curriculum Committee shall review School of Continuing Studies courses and curricula.
 - c. The School of Continuing Studies Curriculum Committee shall review for faculty approval proposals concerning new and significantly revised courses, credential and certificate programs, and their delivery modes within the School of Continuing Studies. If required, the recommendations of the School of Continuing Studies Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
 - d. The School of Continuing Studies Curriculum Committee shall consult with the administration concerning academic planning within the School of Continuing Studies including the establishment of the academic calendar (yearly schedules) for the School of Continuing Studies.
 - e. The School of Continuing Studies Curriculum Committee shall review and prioritize proposals for full-time replacement positions, new positions, and eliminated positions submitted by the School of Continuing Studies. The recommendations of the School of Continuing Studies Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
 - f. The School of Continuing Studies Curriculum Committee shall annually monitor and evaluate the pool of adjunct faculty teaching in the School of Continuing Studies.
 - g. The School of Continuing Studies Curriculum Committee shall consult with the administration concerning proposals for external funding that would create new academic programs, significantly alter existing academic programs, or require new faculty positions within the School of Continuing Studies.
 - h. The School of Continuing Studies Curriculum Committee shall conduct, in coordination with the Educational Assessment Committee, all necessary assessment of courses, credential, and certificate programs within the School of Continuing Studies.

- i. The School of Continuing Studies Curriculum Committee shall schedule and implement reviews of courses, credential, and certificate programs within the School of Continuing Studies.
 - j. The School of Continuing Studies Curriculum Committee shall coordinate with the Committee on Academic Policies and Standards the efforts associated with accreditation and related matters pertaining to School of Continuing Studies.
 - k. The School of Continuing Studies Curriculum Committee shall monitor and evaluate student academic support services within the School of Continuing Studies.
 - l. The School of Continuing Studies Curriculum Committee shall consult with relevant chairs, program directors, and Curriculum Committees in the College and Schools concerning related programs and adjunct faculty.
4. **A Quorum of the School of Continuing Studies Curriculum Committee**
A quorum of the School of Continuing Studies Curriculum Committee shall consist of more than fifty percent (50%) of the voting membership of the Committee.
5. **Record Keeping and Reporting by the School of Continuing Studies Curriculum Committee**
The Registrar (or designee) serves as the secretary to the School of Continuing Studies Curriculum Committee. Minutes of all School of Continuing Studies Curriculum Committee meetings shall be distributed to Committee members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the Committee's actions shall be deposited with the President of the Faculty Senate and the Office of Academic Affairs. The School of Continuing Studies Curriculum Committee shall submit and present an Annual Report to the Faculty Senate at the conclusion of the academic year.

J. The Grievance Committee

1. **Membership of the Grievance Committee**
The Grievance Committee shall be comprised of five (5) members and two (2) alternates appointed annually by the Senate president as an ad hoc committee from senior faculty members who have been elected to a past or current University-wide standing committee. Membership will be for one (1) year, but does not preclude being re-appointed for a second one (1) year term. Appointment to this committee shall not preclude concurrent service on a standing committee.
2. **Chair of the Grievance Committee**
The Chair and a Vice-chair of the Grievance Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for a second one-year term.
3. **Responsibilities of the Grievance Committee**
The responsibilities of the Grievance Committee include:
- a. The Grievance Committee shall process faculty grievances in instances when a faculty member or an administrator may have reason to believe that a colleague has violated a contract; the rights of another member of the University community; standards of professional conduct; or a norm, expectation, or policy established by the University.
 - b. The Grievance Committee shall carry out the functions assigned to it in the Faculty Grievance Procedures. The Grievance Committee initially attempts to resolve the situation through mediation. If mediation fails, the Committee determines whether to hold a formal hearing and, if a hearing is to occur, constitutes the Hearing Subcommittee that hears the case.
 - c. The Grievance Committee shall constitute the hearing body in procedures leading to the imposition of a major administrative disciplinary sanction; in procedures leading to termination of tenured faculty appointments or six-year term contract appointments for reasons of financial exigency or the discontinuance of an academic program; and in dismissal proceedings.
 - d. The Grievance Committee shall assure due process by enabling all sides to a dispute to receive a full hearing of their positions, determine findings of fact, and recommend a course of action to the President on the basis of those findings.
4. **A Quorum of the Grievance Committee**

In matters referred to the Grievance Committee as a whole, a minimum of three (3) members of the Committee or alternates will constitute the Hearing Subcommittee. The ombudsperson will be excused from the hearing. Other members of the Grievance Committee will recuse themselves for

the grievance if they deem themselves disqualified by bias or interest. Their places will be filled by alternates. Each party to the grievance may excuse one (1) Grievance Committee member from the hearing without stating cause. To ensure the required minimum number of members, a faculty member may be asked during the year following his or her term to serve as a member of a Hearing Subcommittee.

5. Record Keeping and Reporting by the Grievance Committee

All grievance proceedings will be closed and confidential, subject only to the need of the grievant, the accused, or the administration to comply with restrictions of confidentiality and privacy. All notes taken by the Hearing Subcommittee members will be destroyed at the conclusion of the Subcommittee's deliberations. No transcript of the hearing will be made, but minutes will be taken and appended to the report and recommendations that the Hearing Subcommittee makes to the President.

K. The Mentoring Committee

1. Membership of the Mentoring Committee

The Mentoring Committee shall be appointed annually by the Senate president and be comprised of three (3) previous FRC members who will serve informally as mentors on review-related matters and are available to work with the Untenured Faculty Caucus. Appointment to the Mentoring Committee does not preclude concurrent service on a standing committee. However, no member can serve concurrently on both the Mentoring Committee and the Appeals Board.

2. Chair of the Mentoring Committee

The Chair of the Mentoring Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for additional terms.

3. Responsibilities of the Mentoring Committee

The responsibilities of the Mentoring Committee include, but are not limited to, the following:

- a. In the spring, the Mentoring Committee shall contact every faculty member scheduled for pre-tenure, tenure, and promotion review in the upcoming academic year to invite them to meet with a Mentoring Committee member of their choice to discuss their review.
- b. The Mentoring Committee shall contact the same faculty members when review letters are distributed and invite the faculty members to discuss informally the content of the letters.
- c. The Mentoring Committee shall make its members available to consult with faculty members as they move through the review process.
- d. The Mentoring Committee shall work with the Provost to ensure that opportunities exist for faculty members to learn about the review process.
- e. The Mentoring Committee shall meet as needed with the Chair of the Faculty Review Committee, the Chair of the Personnel Policies Committee, the Provost, or Deans to discuss the effectiveness of the mentoring process in preparation for review. The Mentoring Committee shall not discuss individual cases.

4. A Quorum of the Mentoring Committee

Due to its advisory and consultative role with individual faculty members, no quorum of the Mentoring Committee is required.

5. Record Keeping and Reporting by the Mentoring Committee

All mentoring conversations will be closed and confidential between the faculty member under review and his/her selected Mentor(s).

L. The Steering Committee

1. Membership of the Steering Committee

The Steering Committee shall be comprised of the President of the Faculty Senate, the Chairs of the Assemblies of the College of Arts and Sciences, the Graduate School of Theology, the School of Business, and the School of Education, the Chairs of the standing committees of all Assemblies, the Chairs of the Faculty Senate committees, and the Provost.

2. **Chair of the Steering Committee**

The President of the Faculty Senate shall serve as Chair of the Steering Committee.

3. **Responsibilities of the Steering Committee**

The responsibilities of the Steering Committee include, but are not limited to, the following:

- a. The Steering Committee shall report its recommendations to the Faculty Senate, and when appropriate, the University Academic Assembly.
- b. The Steering Committee shall meet monthly during the academic year or as convened by the Chair.
- c. The Steering Committee shall set the agenda of the Faculty Senate. Should a meeting of the Academic Assembly be called, the Steering Committee shall set the agenda for a meeting of the Academic Assembly.
- d. The Steering Committee shall monitor all Faculty Senate and all Academic Assembly decisions and recommendations as they proceed through administrative and Board of Trustees channels until they are finalized.
- e. The Steering Committee shall ensure that the Chair convenes the Academic Assembly within two weeks of the receipt of a petition signed by twenty (20) members of the Academic Assembly.
- f. The Steering Committee shall name faculty representatives to appropriate non-elected Committees of the University and the Board of Trustees.
- g. The Steering Committee shall approve the appointment and give the charge to University-wide ad hoc committees related to University-wide faculty concerns.

4. **A Quorum of the Steering Committee**

Due to its advisory and consultative role, no quorum of the Steering Committee is required.

5. **Record Keeping and Reporting by the Steering Committee**

The Steering Committee shall ensure that agendas and minutes of the Faculty Senate, Academic Assembly, the Schools and College Assemblies, and all standing committees and ad hoc committees are made available to the membership of the University Academic Assembly on a regular and timely basis.

M. The Nominating Committee

1. **Membership of the Nominating Committee**

The Nominating Committee of the Academic Assembly shall be comprised to members of the Steering Committee, the conveners of the recognized caucuses, and the President of the Redlands Chapter of the AAUP.

2. **Chair of the Nominating Committee**

The President of the Faculty Senate shall chair the Nominating Committee.

3. **Responsibilities of the Nominating Committee**

The responsibilities of the Nominating Committee are to seek to ensure that the ballot for governance positions represents the diversity of the faculty and of our curricula, provides for competitive elections, and provides for a balance as established and described in the *By-Laws*.

4. **A Quorum of the Nominating Committee**

Due to its advisory and consultative role, no quorum of the Nominating Committee is required.

5. **Record Keeping and Reporting by the Nominating Committee**

Due to its advisory and consultative role, no record keeping of the Nominating Committee is required.

V. The College of Arts and Sciences Assembly

A. Membership of the College of Arts and Sciences Assembly

1. All tenured, tenure-track, regular term (term teaching; library; physical education and athletics; artist; and clinical) faculty, as well as full-time visiting faculty of the College of Arts and Sciences are voting members of the College of Arts and Sciences Assembly.
2. The Dean of the College of Arts and Sciences, the Associate Dean, and all other academic administrators holding faculty rank (i.e. carrying less than a half-time teaching load) in the College are non-voting members of the College Assembly.

B. The Chair of the College Assembly

1. The College Assembly shall be convened and its deliberations moderated by a Chair elected by and from its voting members. The College Assembly Chair shall be elected in odd-numbered years for a two-year term beginning July 1 following the election and may not be re-elected for a successive term.
2. The Chair shall call meetings of the College Assembly usually on a monthly basis during the academic year. If the Chair is unable to moderate a meeting of the College Assembly, he/she shall designate an alternate drawn from the members of the College Assembly.
3. The Chair must call a meeting of the College Assembly within fourteen (14) calendar days after receiving a duly constituted written petition from the requisite number of voting members of the College Assembly.
4. The College Assembly Chair shall be responsible for maintaining communication with the Dean of the College of Arts and Sciences.
5. Should the College Assembly Chair become vacant before the end of the designated two-year term, the position shall be filled by recommendation of the Nominating Committee and approved by the College Assembly. The College Assembly Chair filling a vacancy will serve only the remainder of the term of the original College Assembly Chair whom they are replacing.

C. Responsibilities of the College Assembly

1. The College Assembly will meet at the call of its Chair.
2. The College Assembly shall serve as a forum to discuss matters of concern related to the programs, academic life, and student life of the College of Arts and Sciences. The College Assembly shall include reports from administrators and chairs of standing committees when these individuals have information of significance to the College Faculty.
3. The College Assembly shall act on policy matters and recommendations prepared by its Curriculum Committee, General Education Committee, and ad hoc or special committees.
4. Policy matters and recommendations from standing, ad hoc, and special committees requiring College Assembly approval shall be presented for discussion during at least two (2) College Assembly meetings prior to final approval. Final approval may be voted at the conclusion of discussion during the second College Assembly meeting.
5. Normally, College Assembly meetings are open to all its members. In extraordinary circumstances, following a majority vote of the College Assembly's voting members who are present, the Chair may convene an executive session of the College Assembly excluding all persons except voting members.
6. The College Assembly will elect from among its voting members the members of the College Curriculum Committee and members of the College General Education Committee to serve for one (1) two-year term and shall be eligible for re-election to that Committee after one year has elapsed following a previous term.
7. The College Assembly shall create ad hoc or special committees for unique projects or to address particular issues related to the business of the College Assembly not falling within the jurisdiction of any standing committee. Ad hoc and special committees shall have terms of sufficient length to conduct their business but shall not become standing committees, unless so established by constitutional revision.

8. The College Assembly shall conduct open hearings on issues of interest to the College Faculty.
9. The College Assembly shall review the annual reports from its Curriculum Committee and General Education Committee.
10. When it is necessary to resolve questions of procedure, maintain order, or expedite deliberations, the College Assembly shall follow the procedures defined in the most recent edition of *Robert's Rules of Order Newly Revised*.

D. A Quorum of the College Assembly

A quorum of the College Assembly shall consist of those members of the College faculty who attend a College Assembly meeting that has been announced by written or electronic notice to the membership of the College Assembly (described under Section III.A.) at least fourteen (14) calendar days prior to the College Assembly meeting. A binding vote of the College Assembly will be cast by a majority of those voting members who are present.

E. Record Keeping of the College Assembly

The Registrar (or designee) serves as the secretary to the College Assembly. Minutes of all College Assembly meetings shall be distributed to the members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the College Assembly's actions shall be deposited with the President of the Faculty Senate and the Office of Academic Affairs. The College Assembly Chair shall submit and present an Annual Report to the Faculty Senate at the conclusion of the academic year.

F. The College of Arts and Sciences Curriculum Committee

1. Membership of the College of Arts and Sciences Curriculum Committee

Membership of the College of Arts and Sciences Curriculum Committee shall be comprised of three (3) members elected from the voting members of the College of Arts and Sciences, and one (1) College of Arts and Sciences student as voting members. The Registrar (or designee) and the Dean of the College of Arts and Sciences (or designee) are ex-officio and non-voting members.

2. Chair of the College of Arts and Sciences Curriculum Committee

The Chair of the College of Arts and Sciences Curriculum Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for a second one-year term. When the full committee is unable to meet, usually during the summer months, the Chair shall act on behalf of the Committee.

3. Responsibilities of the College of Arts and Sciences Curriculum Committee

The responsibilities of the College of Arts and Sciences Curriculum Committee include, but are not limited to, the following:

- a. The College of Arts and Sciences Curriculum Committee shall report its recommendations to the College Assembly and, when necessary, to the Committee on Academic Planning and Standards and the Educational Assessment Committee.
- b. The College Curriculum Committee shall review for faculty approval proposals concerning admissions standards and criteria submitted by departments and programs within the College of Arts and Sciences.
- c. The College Curriculum Committee shall review for faculty approval proposals concerning graduation requirements and criteria submitted by departments and programs within the College of Arts and Sciences.
- d. The College Curriculum Committee shall review for faculty approval College curricula including, but not limited to, course and program delivery within the College. If required, the recommendations of the College Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
- e. The College Curriculum Committee shall review for faculty approval proposals concerning new and significantly revised academic programs, undergraduate and graduate degrees, courses, and credential and certificate programs within the College of Arts and Sciences. If the proposal

would impact the General Education program, the College Curriculum Committee shall solicit the input of the College General Education Committee. If required, the recommendations of the College Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.

- f. The College Curriculum Committee shall consult with the administration concerning academic planning within the College including the establishment of the academic calendar (yearly schedules) for the College of Arts and Sciences.
 - g. The College Curriculum Committee shall review and prioritize proposals for replacement positions, new positions, and eliminated positions submitted by departments and programs within the College of Arts and Sciences. The College Curriculum Committee shall solicit the input of the College General Education Committee regarding the impact of those proposals on the General Education Program. The recommendations of the College Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
 - h. The College Curriculum Committee shall consult with the administration concerning proposals for external funding that would create new academic programs, significantly alter existing academic programs, or require new faculty positions within the College of Arts and Sciences.
 - i. The College Curriculum Committee shall develop and revise, in coordination with the Educational Assessment Committee, the program review guidelines applicable to departments and programs within the College of Arts and Sciences.
 - j. The College Curriculum Committee shall schedule and implement reviews of academic departments and programs within the College of Arts and Sciences in consultation with the Educational Assessment Committee and the office of the Provost. The College Curriculum Committee shall solicit the input of the College General Education Committee regarding the departments' and programs' support of the General Education program.
 - k. The College Curriculum Committee shall coordinate with the Committee on Academic Policies and Standards the efforts associated with accreditation and related matters within the College of Arts and Sciences.
 - l. The College Curriculum Committee shall monitor and evaluate international and credential programs within the College of Arts and Sciences.
 - m. The College Curriculum Committee shall monitor and evaluate student academic support services within the College of Arts and Sciences.
4. **A Quorum of the College of Arts and Sciences Curriculum Committee**
A quorum of the College of Arts and Sciences Curriculum Committee shall consist of more than fifty percent (50%) of the voting membership of the Committee.
5. **Record Keeping and Reporting by the College of Arts and Sciences Curriculum Committee**
The Registrar (or designee) serves as the secretary to the College of Arts and Sciences Curriculum Committee. Minutes of all College of Arts and Sciences Curriculum Committee meetings shall be distributed to Committee members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the Committee's actions shall be deposited with the Chair of the College Assembly and the Office of Academic Affairs. The College of Arts and Sciences Curriculum Committee shall submit and present an Annual Report to the College Assembly at the conclusion of the academic year.

G. The College General Education Committee

1. **Membership of the College General Education Committee**
Voting membership of the College of Arts and Sciences General Education Committee shall be comprised of five (5) members elected from the voting members of the College of Arts and Sciences, representing the four LAI practices and one at-large, for a two-year term and (1) College of Arts and Sciences student appointed annually by ASUR. The Dean of the College of Arts and Sciences (or designee) is an ex-officio and non-voting member.

2. **Chair of the College General Education Committee**

The Chair of the College of Arts and Sciences General Education Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for a second one-year term. When a quorum of the committee is unable to meet, the Chair shall act on behalf of the Committee.

3. **Responsibilities of the College General Education Committee**

The responsibilities of the College of Arts and Sciences General Education Committee include, but are not limited to, the following:

- a. The College General Education Committee, on the behalf of the faculty, shall review for approval any requests to certify courses to serve categories in the General Education program. This authority extends to individual courses, but not whole categories of courses (see 3.b), offered by other Schools in the University.
- b. The College General Education Committee shall review and recommend for the College Assembly's approval any relationships between the College's General Education program and programs offered by other institutions such as the Intersegmental General Education Transfer Curriculum (IGETC), Advanced Placement (AP), and International Baccalaureate (IB) courses.
- c. The College General Education Committee shall work with the Registrar's office to monitor the volume and type of requests for General Education requirements to be served by courses – offered by other Schools of the University or other institutions – that are not already certified and to maintain guidelines for deciding requests.
- d. The College General Education Committee shall work with the Dean's office to monitor the volume and type of petitions for waiving or substituting courses fulfilling General Education requirements and to maintain guidelines for deciding the petitions.
- e. The College General Education Committee shall be advisory to the College Curriculum Committee when the latter reviews and prioritizes any proposals for replacement positions, new positions, and eliminated positions which impact General Education offerings.
- f. The College General Education Committee shall be advisory to the College Curriculum Committee when considering a program's participation in the General Education curriculum as part of a program Review.
- g. The College General Education Committee shall manage the annual assessment of General Education, reporting to the Education Assessment Committee, as would any degree program.
- h. The College General Education Committee shall manage the General Education's Program Review on a schedule determined by the Educational Assessment Committee and College Curriculum Committee.
- i. The College General Education Committee, on the behalf of the faculty, shall review and bring to the College Assembly proposals concerning new and significantly revised components of the General Education program, involving the Educational Assessment Committee as in 3.g.
- j. The General Education Committee shall report its recommendations to the College Assembly and, when necessary, include the relevant recommendation of the Educational Assessment Committee.

4. **A Quorum of the College General Education Committee**

A quorum of the College General Education Committee shall consist of more than fifty percent (50%) of the voting membership of the Committee.

5. **Record Keeping, Reporting, and Administrative Support for the College General Education Committee**

The College of Arts and Sciences Dean (or designee) will provide administrative support for the College General Education Committee. Minutes of all College General Education Committee meetings shall be distributed to Committee members by the next regularly called meeting and

approved minutes shall be posted electronically for review by interested faculty members. Records of the Committee's actions shall be deposited with the Chair of the College Assembly and the Office of Academic Affairs. The College General Education Committee shall submit and present an Annual Report to the College Assembly at the conclusion of the academic year on subjects including the status of General Education offerings such as each category's supply, staffing, distribution across departments, volume of petitions to waive or otherwise satisfy General Education requirements, and any anticipated shortfalls of General Education offerings.

VI. The School of Business Assembly

A. Membership of the School of Business Assembly

1. All tenured, tenure-track, regular term (term teaching; library; physical education and athletics; artist; and clinical) faculty, as well as full-time visiting faculty of the School of Business are voting members of the School of Business Assembly.
2. The Dean of the School of Business, the Associate Dean, and all other academic administrators holding faculty rank (i.e. carrying less than a half-time teaching load) in the School of Business are non-voting members of the School of Business Assembly.

B. The Chair of the School of Business Assembly

1. The School of Business Assembly shall be convened and its deliberations moderated by a Chair elected by and from its voting members. The School of Business Assembly Chair shall be elected in even-numbered years for a two-year term beginning July 1 following the election and may not be re-elected for a successive term.
2. The Chair shall call meetings of the School of Business Assembly usually on a monthly basis during the academic year. If the Chair is unable to moderate a meeting of the School of Business Assembly, he/she shall designate an alternate drawn from the members of the School of Business Assembly.
3. The Chair must call a meeting of the School of Business Assembly within fourteen (14) calendar days after receiving a duly constituted written petition from the requisite number of voting members of the School of Business Assembly.
4. The School of Business Assembly Chair shall be responsible for maintaining communication with the Dean of the School of Business.
5. Should the School of Business Assembly Chair become vacant before the end of the designated two-year term, the position shall be filled by recommendation of the Nominating Committee and approved by the School of Business Assembly. The School of Business Assembly Chair filling a vacancy will serve only the remainder of the term of the original School of Business Assembly Chair whom they are replacing.

C. Responsibilities of the School of Business Assembly

1. The School of Business Assembly will meet at the call of its Chair.
2. The School of Business Assembly shall serve as a forum to discuss matters of concern related to the programs, academic life, and student life of the School of Business. The School of Business Assembly shall include reports from administrators and chairs of standing committees when these individuals have information of significance to the School of Business Faculty.
3. The School of Business Assembly shall act on policy matters and recommendations prepared by its Curriculum Committee and ad hoc or special committees.
4. Policy matters and recommendations from standing, ad hoc, and special committees requiring School of Business Assembly approval shall be presented for discussion during at least two (2) School of Business Assembly meetings prior to final approval. Final approval may be voted at the conclusion of discussion during the second School of Business Assembly meeting.
5. Normally, School of Business Assembly meetings are open to all its members. In extraordinary circumstances, following a majority vote of the School of Business Assembly's voting members who are present, the Chair may convene an executive session of the School of Business Assembly excluding

all persons except voting members.

6. The School of Business Assembly will elect from among its voting members the members of the School of Business Curriculum Committee to serve for one (1) two-year term and shall be eligible for re-election to that Committee after one year has elapsed following a previous term.
7. The School of Business Assembly shall create ad hoc or special committees for unique projects or to address particular issues related to the business of the School of Business Assembly not falling within the jurisdiction of any standing committee. Ad hoc and special committees shall have terms of sufficient length to conduct their business but shall not become standing committees, unless so established by constitutional revision.
8. The School of Business Assembly shall conduct open hearings on issues of interest to the School of Business Faculty.
9. The School of Business Assembly shall review the annual report from its Curriculum Committee.
10. When it is necessary to resolve questions of procedure, maintain order, or expedite deliberations, the School of Business Assembly shall follow the procedures defined in the most recent edition of *Robert's Rules of Order Newly Revised*.

D. A Quorum of the School of Business Assembly

A quorum of the School of Business Assembly shall consist of those members of the School of Business faculty who attend a School of Business Assembly meeting that has been announced by written or electronic notice to the membership of the School of Business Assembly (described under Section IV.A.) at least fourteen (14) calendar days prior to the School of Business Assembly meeting. A binding vote of the School of Business Assembly will be cast by a majority of those voting members who are present.

E. Record Keeping of the School of Business Assembly

The Registrar (or designee) serves as the secretary to the School of Business Assembly. Minutes of all School of Business Assembly meetings shall be distributed to the members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the School of Business Assembly's actions shall be deposited with the President of the Faculty Senate and the Office of Academic Affairs. The School of Business Assembly Chair shall submit and present an Annual Report to the Faculty Senate at the conclusion of the academic year.

F. The School of Business Curriculum Committee

1. Membership of the School of Business Curriculum Committee

Membership of the School of Business Curriculum Committee shall be comprised of three (3) members elected from the voting members of the School of Business, and one (1) School of Business student as voting members. The Registrar (or designee) and the Dean of the School of Business (or designee) are ex-officio and non-voting members.

2. Chair of the School of Business Curriculum Committee

The Chair of the School of Business Curriculum Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for a second one-year term. When the full committee is unable to meet, usually during the summer months, the Chair shall act on behalf of the Committee.

3. Responsibilities of the School of Business Curriculum Committee

The responsibilities of the School of Business Curriculum Committee include, but are not limited to, the following:

- a. The School of Business Curriculum Committee shall report its recommendations to the School of Business Assembly and, when necessary, to the Committee on Academic Planning and Standards and the Educational Assessment Committee.
- b. The School of Business Curriculum Committee shall review for faculty approval proposals concerning admissions standards and criteria submitted by departments and programs within the School of Business.

- c. The School of Business Curriculum Committee shall review for faculty approval proposals concerning graduation requirements and criteria submitted by departments and programs within the School of Business.
 - d. The School of Business Curriculum Committee shall review for faculty approval School of Business curricula including, but not limited to, course and program delivery and other programs within the School of Business. If required, the recommendations of the School of Business Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
 - e. The School of Business Curriculum Committee shall review for faculty approval proposals concerning new and significantly revised academic programs, undergraduate and graduate degrees, courses, and credential and certificate programs within the School of Business. If required, the recommendations of the School of Business Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
 - f. The School of Business Curriculum Committee shall consult with the administration concerning academic planning within the School of Business including the establishment of the academic calendar (yearly schedules) for the School of Business.
 - g. The School of Business Curriculum Committee shall review and prioritize proposals for replacement positions, new positions, and eliminated positions submitted by departments and programs within the School of Business. The recommendations of the School of Business Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
 - h. The School of Business Curriculum Committee shall consult with the administration concerning proposals for external funding that would create new academic programs, significantly alter existing academic programs, or require new faculty positions within the School of Business.
 - i. The School of Business Curriculum Committee shall develop and revise, in coordination with the Educational Assessment Committee, the program review guidelines applicable to departments and programs within the School of Business.
 - j. The School of Business Curriculum Committee shall schedule and implement reviews of academic departments and programs within the School of Business in consultation with the Educational Assessment Committee and the Office of Academic Affairs.
 - k. The School of Business Curriculum Committee shall coordinate with the Committee on Academic Policies and Standards the efforts associated with accreditation and related matters within the School of Business.
 - l. The School of Business Curriculum Committee shall monitor and evaluate international and credential programs within the School of Business.
 - m. The School of Business Curriculum Committee shall monitor and evaluate student academic support services within the School of Business.
4. **A Quorum of the School of Business Curriculum Committee**
A quorum of the School of Business Curriculum Committee shall consist of more than fifty percent (50%) of the voting membership of the Committee.
5. **Record Keeping and Reporting by the School of Business Curriculum Committee**
The Registrar (or designee) serves as the secretary to the School of Business Curriculum Committee. Minutes of all School of Business Curriculum Committee meetings shall be distributed to Committee members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the Committee's actions shall be deposited with the Chair of the School of Business Assembly and the Office of Academic Affairs. The School of Business Curriculum Committee shall submit and present an Annual Report to the School of Business Assembly at the conclusion of the academic year.

VII. The School of Education Assembly

A. Membership of the School of Education Assembly

1. All tenured, tenure-track, regular term (term teaching; library; physical education and athletics; artist; and clinical) faculty, as well as full-time visiting faculty of the School of Education are voting members of the School of Education Assembly.
2. The Dean of the School of Education, the Associate Dean, and all other academic administrators holding faculty rank (i.e. carrying less than a half-time teaching load) in the School of Education are non-voting members of the School of Education Assembly.

B. The Chair of the School of Education Assembly

1. The School of Education Assembly shall be convened and its deliberations moderated by a Chair elected by and from its voting members. The School of Education Assembly Chair shall be elected in odd-numbered years for a two-year term beginning July 1 following the election and may not be re-elected for a successive term.
2. The Chair shall call meetings of the School of Education Assembly usually on a monthly basis during the academic year. If the Chair is unable to moderate a meeting of the School of Education Assembly, he/she shall designate an alternate drawn from the members of the School of Education Assembly.
3. The Chair must call a meeting of the School of Education Assembly within fourteen (14) calendar days after receiving a duly constituted written petition from the requisite number of voting members of the School of Education Assembly.
4. The School of Education Assembly Chair shall be responsible for maintaining communication with the Dean of the School of Education.
5. Should the School of Education Assembly Chair become vacant before the end of the designated two-year term, the position shall be filled by recommendation of the Nominating Committee and approved by the School of Education Assembly. The School of Education Assembly Chair filling a vacancy will serve only the remainder of the term of the original School of Education Assembly Chair whom they are replacing.

C. Responsibilities of the School of Education Assembly

1. The School of Education Assembly will meet at the call of its Chair.
2. The School of Education Assembly shall serve as a forum to discuss matters of concern related to the programs, academic life, and student life of the School of Education. The School of Education Assembly shall include reports from administrators and chairs of standing committees when these individuals have information of significance to the School of Education Faculty.
3. The School of Education Assembly shall act on policy matters and recommendations prepared by its Curriculum Committee and ad hoc or special committees.
4. Policy matters and recommendations from standing, ad hoc, and special committees requiring School of Education Assembly approval shall be presented for discussion during at least two (2) School of Education Assembly meetings prior to final approval. Final approval may be voted at the conclusion of discussion during the second School of Education Assembly meeting.
5. Normally, School of Education Assembly meetings are open to all its members. In extraordinary circumstances, following a majority vote of the School of Education Assembly's voting members who are present, the Chair may convene an executive session of the School of Education Assembly excluding all persons except voting members.
6. The School of Education Assembly will elect from among its voting members the members of the School of Education Curriculum Committee to serve for one (1) two-year term and shall be eligible for re-election to that Committee after one year has elapsed following a previous term.
7. The School of Education Assembly shall create ad hoc or special committees for unique projects or to address particular issues related to the business of the School of Education Assembly not falling within the jurisdiction of any standing committee. Ad hoc and special committees shall have terms of

sufficient length to conduct their business but shall not become standing committees, unless so established by constitutional revision.

8. The School of Education Assembly shall conduct open hearings on issues of interest to the School of Education Faculty.
9. The School of Education Assembly shall review the annual report from its Curriculum Committee.
10. When it is necessary to resolve questions of procedure, maintain order, or expedite deliberations, the School of Education Assembly shall follow the procedures defined in the most recent edition of *Robert's Rules of Order Newly Revised*.

D. A Quorum of the School of Education Assembly

A quorum of the School of Education Assembly shall consist of those members of the School of Education faculty who attend a School of Education Assembly meeting that has been announced by written or electronic notice to the membership of the School of Education Assembly (described under Section V.A.) at least fourteen (14) calendar days prior to the School of Education Assembly meeting. A binding vote of the School of Education Assembly will be cast by a majority of those voting members who are present.

E. Record Keeping the School of Education Assembly

The Registrar (or designee) serves as the secretary to the School of Education Assembly. Minutes of all School of Education Assembly meetings shall be distributed to the members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the School of Education Assembly's actions shall be deposited with the President of the Faculty Senate and the Office of Academic Affairs. The School of Education Assembly Chair shall submit and present an Annual Report to the Faculty Senate at the conclusion of the academic year.

F. The School of Education Curriculum Committee

1. Membership of the School of Education Curriculum Committee

Membership of the School of Education Curriculum Committee shall be comprised of three (3) members elected from the voting members of the School of Education, and one (1) School of Education student as voting members. The Registrar (or designee) and the Dean of the School of Education (or designee) are ex-officio and non-voting members.

2. Chair of the School of Education Curriculum Committee

The Chair of the School of Education Curriculum Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for a second one-year term. When the full committee is unable to meet, usually during the summer months, the Chair shall act on behalf of the Committee.

3. Responsibilities of the School of Education Curriculum Committee

The responsibilities of the School of Education Curriculum Committee include, but are not limited to, the following:

- a. The School of Education Curriculum Committee shall report its recommendations to the School of Education Assembly and, when necessary, to the Committee on Academic Planning and Standards and the Educational Assessment Committee.
- b. The School of Education Curriculum Committee shall review for faculty approval proposals concerning admissions standards and criteria submitted by departments and programs within the School of Education.
- c. The School of Education Curriculum Committee shall review for faculty approval proposals concerning graduation requirements and criteria submitted by departments and programs within the School of Education.
- d. The School of Education Curriculum Committee shall review for faculty approval School of Education curricula including, but not limited to, course and program delivery and other programs within the School of Education. If required, the recommendations of the School of

Education Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.

- e. The School of Education Curriculum Committee shall review for faculty approval proposals concerning new and significantly revised academic programs, undergraduate and graduate degrees, courses, and credential and certificate programs within the School of Education. If required, the recommendations of the School of Education Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
 - f. The School of Education Curriculum Committee shall consult with the administration concerning academic planning within the School of Education including the establishment of the academic calendar (yearly schedules) for the School of Education.
 - g. The School of Education Curriculum Committee shall review and prioritize proposals for replacement positions, new positions, and eliminated positions submitted by departments and programs within the School of Education. The recommendations of the School of Education Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
 - h. The School of Education Curriculum Committee shall consult with the administration concerning proposals for external funding that would create new academic programs, significantly alter existing academic programs, or require new faculty positions within the School of Education.
 - i. The School of Education Curriculum Committee shall develop and revise, in coordination with the Educational Assessment Committee, the program review guidelines applicable to departments and programs within the School of Education.
 - j. The School of Education Curriculum Committee shall schedule and implement reviews of academic departments and programs within the School of Education in consultation with the Educational Assessment Committee and the Office of Academic Affairs.
 - k. The School of Education Curriculum Committee shall coordinate with the Committee on Academic Policies and Standards the efforts associated with accreditation and related matters within the School of Education.
 - l. The School of Education Curriculum Committee shall monitor and evaluate international and credential programs within the School of Education.
 - m. The School of Education Curriculum Committee shall monitor and evaluate student academic support services within the School of Education.
4. **A Quorum of the School of Education Curriculum Committee**
A quorum of the School of Education Curriculum Committee shall consist of more than fifty percent (50%) of the voting membership of the Committee.
 5. **Record Keeping and Reporting by the School of Education Curriculum Committee**
The Registrar (or designee) serves as the secretary to the School of Education Curriculum Committee. Minutes of all School of Education Curriculum Committee meetings shall be distributed to Committee members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the Committee's actions shall be deposited with the Chair of the School of Education Assembly and the Office of Academic Affairs. The School of Education Curriculum Committee shall submit and present an Annual Report to the School of Education Assembly at the conclusion of the academic year.

VIII. The Graduate School of Theology Assembly

A. Membership of the Graduate School of Theology Assembly

1. All tenured, tenure-track, regular term (term teaching; library and clinical) faculty, as well as full-time visiting faculty of the Graduate School of Theology (GST) are voting members of the GST Assembly.
2. The Dean of the GST, the Associate Dean, and all other academic administrators holding faculty rank (i.e. carrying less than a half-time teaching load) in the GST are non-voting members of the GST Assembly.

B. The Chair of the Graduate School of Theology Assembly

1. The GST Assembly shall be convened and its deliberations moderated by a Chair elected by and from its voting members. The GST Assembly Chair shall be elected in odd-numbered years for a two-year term beginning July 1 following the election and may not be re-elected for a successive term.
2. The Chair shall call meetings of the GST Assembly usually on a monthly basis during the academic year. If the Chair is unable to moderate a meeting of the GST Assembly, he/she shall designate an alternate drawn from the members of the GST Assembly.
3. The Chair must call a meeting of the GST Assembly within fourteen (14) calendar days after receiving a duly constituted written petition from the requisite number of voting members of the GST Assembly.
4. The GST Assembly Chair shall be responsible for maintaining communication with the Dean of the Graduate School of Theology.
5. Should the GST Assembly Chair become vacant before the end of the designated two-year term, the position shall be filled by recommendation of the Nominating Committee and approved by the GST Assembly. The GST Assembly Chair filling a vacancy will serve only the remainder of the term of the original GST Assembly Chair whom they are replacing.

C. Responsibilities of the GST Assembly

1. The GST Assembly will meet at the call of its Chair.
2. The GST Assembly shall serve as a forum to discuss matters of concern related to the programs, academic life, and student life of the Graduate School of Theology. The GST Assembly shall include reports from administrators and chairs of standing committees when these individuals have information of significance to the GST Faculty.
3. The GST Assembly shall act on policy matters and recommendations prepared by its Curriculum Committee and ad hoc or special committees.
4. Policy matters and recommendations from standing, ad hoc, and special committees requiring GST Assembly approval shall be presented for discussion during at least two (2) GST Assembly meetings prior to final approval. Final approval may be voted at the conclusion of discussion during the second GST Assembly meeting.
5. Normally, GST Assembly meetings are open to all its members. In extraordinary circumstances, following a majority vote of the GST Assembly's voting members who are present, the Chair may convene an executive session of the GST Assembly excluding all persons except voting members.
6. The GST Assembly will elect from among its voting members the members of the GST Curriculum Committee to serve for one (1) two-year term and shall be eligible for re-election to that Committee after one year has elapsed following a previous term.
7. The GST Assembly shall create ad hoc or special committees for unique projects or to address particular issues related to the business of the GST Assembly not falling within the jurisdiction of any standing committee. Ad hoc and special committees shall have terms of sufficient length to conduct their business but shall not become standing committees, unless so established by constitutional revision.
8. The GST Assembly shall conduct open hearings on issues of interest to the GST Faculty.
9. The GST Assembly shall review the annual report from its GST Curriculum Committee.
10. When it is necessary to resolve questions of procedure, maintain order, or expedite deliberations, the GST Assembly shall follow the procedures defined in the most recent edition of *Robert's Rules of Order Newly Revised*.

D. A Quorum of the GST Assembly

A quorum of the GST Assembly shall consist of those members of the GST faculty who attend a GST Assembly meeting that has been announced by written or electronic notice to the membership of the GST Assembly (described under Section III.A.) at least fourteen (14) calendar days prior to the GST Assembly meeting. A binding vote of the GST Assembly will be cast by a majority of those voting members who are present.

E. Record Keeping of the GST Assembly

The Registrar (or designee) serves as the secretary to the GST Assembly. Minutes of all GST Assembly meetings shall be distributed to the members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the GST Assembly's actions shall be deposited with the President of the Faculty Senate and the Office of Academic Affairs. The GST Assembly Chair shall submit and present an Annual Report to the Faculty Senate at the conclusion of the academic year.

F. The GST Curriculum Committee

1. Membership of the GST Curriculum Committee

Membership of the GST Curriculum Committee shall be comprised of three (3) members elected from the voting members of the GST, and one (1) GST student as voting members. The Registrar (or designee) and the Dean of the GST (or designee) are ex-officio and non-voting members.

2. Chair of the GST Curriculum Committee

The Chair of the GST Curriculum Committee shall be elected by and from the faculty membership of the Committee for a one-year term and may be re-elected for a second one-year term. When the full committee is unable to meet, usually during the summer months, the Chair shall act on behalf of the Committee.

3. Responsibilities of the GST Curriculum Committee

The responsibilities of the GST Curriculum Committee include, but are not limited to, the following:

- a. The GST Curriculum Committee shall report its recommendations to the GST Assembly and, when necessary, to the Committee on Academic Planning and Standards and the Educational Assessment Committee.
- b. The GST Curriculum Committee shall review for faculty approval proposals concerning admissions standards and criteria submitted by departments and programs within the GST.
- c. The GST Curriculum Committee shall review for faculty approval proposals concerning graduation requirements and criteria submitted by departments and programs within the GST.
- d. The GST Curriculum Committee shall review for faculty approval GST curricula including, but not limited to, course and program delivery within the GST. If required, the recommendations of the GST Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
- e. The GST Curriculum Committee shall review for faculty approval proposals concerning new and significantly revised academic programs, undergraduate and graduate degrees, courses, and credential and certificate programs within the GST. If the proposal would impact the General Education program, the GST Curriculum Committee shall solicit the input of the GST General Education Committee. If required, the recommendations of the GST Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.
- f. The GST Curriculum Committee shall consult with the administration concerning academic planning within the GST including the establishment of the academic calendar (yearly schedules) for the GST.
- g. The GST Curriculum Committee shall review and prioritize proposals for replacement positions, new positions, and eliminated positions submitted by departments and programs within the GST. The GST Curriculum Committee shall solicit the input of the GST General Education Committee regarding the impact of those proposals on the General Education Program. The recommendations of the GST Curriculum Committee shall be forwarded to the Committee on Academic Policies and Standards.

- h. The GST Curriculum Committee shall consult with the administration concerning proposals for external funding that would create new academic programs, significantly alter existing academic programs, or require new faculty positions within the GST.
 - i. The GST Curriculum Committee shall develop and revise, in coordination with the Educational Assessment Committee, the program review guidelines applicable to departments and programs within the GST.
 - j. The GST Curriculum Committee shall schedule and implement reviews of academic departments and programs within the GST in consultation with the Educational Assessment Committee and the office of the Provost. The GST Curriculum Committee shall solicit the input of the GST General Education Committee regarding the departments' and programs' support of the General Education program.
 - k. The GST Curriculum Committee shall coordinate with the Committee on Academic Policies and Standards the efforts associated with accreditation and related matters within the GST.
 - l. The GST Curriculum Committee shall monitor and evaluate international and credential programs within the GST.
 - m. The GST Curriculum Committee shall monitor and evaluate student academic support services within the GST.
4. **A Quorum of the GST Curriculum Committee**
A quorum of the GST Curriculum Committee shall consist of more than fifty percent (50%) of the voting membership of the Committee.
1. **Record Keeping and Reporting by the GST Curriculum Committee** The Registrar (or designee) serves as the secretary to the GST Curriculum Committee. Minutes of all GST Curriculum Committee meetings shall be distributed to Committee members by the next regularly called meeting and approved minutes shall be posted electronically for review by interested faculty members. Records of the Committee's actions shall be deposited with the Chair of the GST Assembly and the Office of Academic Affairs. The GST Curriculum Committee shall submit and present an Annual Report to the GST Assembly at the conclusion of the academic year.

IX. Amendments to the Faculty Constitution

The Faculty Constitution may be amended by a majority vote of the voting membership of the Academic Assembly (described under Section I.A.1). The vote to amend the Constitution may be taken only after the members have been informed in writing or electronically of the proposed amendment(s) and have been given the opportunity to discuss the proposed amendment(s) during at least two (2) Academic Assembly meetings. After the Academic Assembly calls for a vote, ballots will be sent to the voting members of the Academic Assembly in either written or electronic format. To count toward a binding vote, the ballot must be returned in either written or electronic format within fourteen (14) calendar days of its distribution. In January and September the Office of Academic Affairs shall compile a list of the voting members of the Academic Assembly.

Any proposed amendment to the Faculty Constitution is subject to the approval of the Board of Trustees.

X. Reservation of Final Authority by the Board of Trustees and Resolution of Conflicts with the Faculty Handbook

Nothing stated in this Faculty Constitution shall mean, or be interpreted to mean, that the Board of Trustees has delegated to the Faculty its final authority for the governance of the institution through the administrative structure set forth in the Articles of Incorporation and By-Laws of the University of Redlands, other than to the extent set forth in the Faculty Handbook, as presently in effect and as may be hereafter. In the event of any conflict between the Faculty Handbook and the Faculty Constitution and By-Laws, the Faculty Handbook shall control.

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I. FUNCTIONS AND POWERS IN FACULTY GOVERNANCE

- A. THE UNIVERSITY ACADEMIC ASSEMBLY:** The Academic Assembly is the ultimate authority on all matters of university-wide shared governance for which its voting members have been delegated authority by the Board of Trustees.
1. The Academic Assembly divides its functions and powers among its Senate and its Standing Committees as specified in *The Faculty Constitution*.
 2. Reserved powers, per below:
 - i. Committees accountable to the University Faculty Assembly as outlined in § IV.A
 - ii. Two reserved powers as per the Constitution § I.C.4 including revision of the Constitution and Bylaws.
 - iii. Override of Senate action, as per the Constitution § I.C.5.
- B. THE FACULTY SENATE:** The Senate is the main agent of the voting membership of the Academic Assembly in the shared governance process of the University.
1. The Senate exists to provide the President of the University, Provost, the various Vice Presidents, and Deans with a coherent, reliable, and representative body of Faculty leaders with whom to engage in matters of University-wide shared governance on a regular and timely basis.
 2. Responsibilities of the Senate are articulated in § II.E.2.
 3. Consistent with procedures described in *The Faculty Constitution* § I.C.5, The Academic Assembly may reverse an action of the Senate.

II. UNIVERSITY ACADEMIC ASSEMBLY

- A. MEMBERSHIP as per § I.A in the constitution.**
1. **Voting Members.** All tenured, tenure-track, regular term (term teaching; library; physical education and athletics; artist; and clinical) faculty, as well as full-time visiting faculty are voting members of the Academic Assembly.
 2. **Ex Officio, Non-Voting Members.** All academic administrators holding faculty appointments (i.e. carrying less than a half-time teaching load), senior administrators, and the President of the University are non-voting members of Academic Assembly.
- B. OFFICERS**
1. **Officers.** The University Academic Assembly has two officers:
 - a. Chair of the Academic Assembly, and
 - b. Secretary.
 2. **Selection.**
 - a. The Chair of the Academic Assembly is selected by and from the voting members of the Academic Assembly.
 - b. The Secretary is the Registrar, or is designated by the Registrar from the staff of the Office of the Registrar.
 3. **Duties and Privileges.**
 - a. **Chair of the Academic Assembly.**

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- i. The Academic Assembly shall be convened and its deliberations moderated by the Chair.
- ii. The Chair shall serve as the President of the Faculty Senate.
- iii. The Chair must call a meeting of the Academic Assembly within fourteen (14) calendar days after receiving a duly constituted written petition from twenty (20) voting members of the Assembly. If the Chair is unable to moderate a meeting of the Academic Assembly, the Chair shall designate an alternate drawn from the members of the Steering Committee. See Constitution § IV.L.1 regarding composition of the Steering Committee.
- iv. Whenever the faculty is to be represented on administrative committees, committees of the Board of Trustees, or other University-wide or ad hoc committees, the Chair shall make recommendations that reflect the diversity of the faculty and academic programs.
- v. The Chair shall be responsible for maintaining communication with the Provost, the President of the University, and the Board of Trustees.
- vi. In the event of an unresolved question of interpretation of the Faculty Handbook, the Chair shall serve on the Interpretation Committee as described in Section 1.3. of the Faculty Handbook.
- vii. The Chair shall receive the equivalent of one course release per year.

b. **Secretary.**

- i. Minutes of all Academic Assembly meetings are recorded by the Secretary.
- ii. Minutes shall be distributed by the Secretary to the members of the Academic Assembly within one week following the meeting. Approved minutes shall be posted electronically by the Secretary in a manner that makes them accessible for review by all members.
- iii. All records of the Academic Assembly shall be deposited with the Chair of the Academic Assembly and the Office of Academic Affairs by the thirtieth day of June, or more frequently upon request of the Chair of the Academic Assembly.

4. **Vacancies.**

- a. **Chair of the Academic Assembly.** Should the office of the Chair become vacant before the end of the designated two-year term, the position shall be filled by recommendation of the Nominating Committee and approved by the Academic Assembly via electronic ballot. The member elected to fill a vacancy will serve only the remainder of the term of the original Chair whom they are replacing.
- b. **Secretary.** Should the office of the Secretary be vacant for any meeting of the University Academic Assembly due to the Registrar being absent and unable to designate someone from the Office of the Registrar, the Academic Assembly shall nominate and then elect a member from among those present at the meeting to serve as Secretary Pro Tempore for that meeting. The Secretary Pro Tempore will fulfil the duties of the Secretary by providing the minutes to the Registrar within one week of the meeting for which minutes were recorded.

The Bylaws of University-Level Faculty Governance

- 5. Removal.** The University Academic Assembly has authority to remove its Chair, but not its Secretary.
- a. **Chair of the Academic Assembly.** The Chair of the Academic Assembly may be removed from office for failure to perform the duties of the office or for behavior incompatible with the status or duties of the office.
 - i. The removal of the Chair shall be initiated by a petition from
 - 1. A Senator in a regular meeting of the Senate, or special meeting petitioned specifically for this purpose, and must be endorsed by a majority of voting Senators at the same meeting.
 - a. Petition for removal of the Chair will take priority over any other business scheduled for the Senate meeting.
 - b. A voting member of the Senate, who is not the President, shall be elected President Pro Tempore for this meeting.
 - c. The vote on the petition for removal of the Chair, who would otherwise serve as President of the Senate, shall be conducted by secret ballot.
 - d. The Chair may exercise the right to be heard in an open Academic Assembly meeting following the Senate meeting at which a petition for removal is approved before the Academic Assembly conducts a vote on removal.
 - 2. Twenty (20) voting members of the Academic Assembly in a regular meeting, or special meeting called specifically for this purpose, and must be endorsed by a majority of voting members at the same meeting.
 - a. Petition for removal of the Chair will take priority over any other business scheduled for the Academic Assembly meeting.
 - b. A voting member of the Academic Assembly, who is not the Chair, shall be elected Chair Pro Tempore for this meeting.
 - c. The vote on the petition for removal of the Chair, who also serves as President of the Senate, shall be conducted by secret ballot.
 - d. The Chair may exercise the right to be heard in an open Academic Assembly meeting before the Academic Assembly conducts a vote on removal. If the meeting at which the petition is presented is:
 - i. A special meeting called specifically for this purpose, this meeting of the Academic Assembly is the open meeting at which the Chair may exercise the right to be heard;
 - ii. A regular meeting, then a subsequent meeting shall be called for a date no less than fourteen (14) and no more than twenty-eight (28) calendar days following approval of a petition for removal, so that the Chair may exercise the right to be heard.
 - ii. The Chair may then be removed from office by a two-thirds vote of the voting members of the Academic Assembly.
 - iii. Voting shall take place via an electronic ballot.
 - iv. All removal processes must be conducted within a 30-day time period.

C. MEETINGS

The Bylaws of University-Level Faculty Governance

1. The Academic Assembly shall meet at the call of its Chair, and establish standing meeting dates and times in consultation with the Chairs of the Assemblies of the College of Arts and Sciences, Graduate School of Theology, School of Business, and School of Education.
2. The Steering Committee shall determine the agenda.
3. The Chair of the Academic Assembly shall ensure timely distribution of any meeting agenda to the voting membership of the Assembly seven (7) days prior to the meeting.
4. The Academic Assembly also shall meet at the written petition to its Chair of twenty (20) voting members. See Constitution § I.C.2.
5. End-of-year meetings are to have a particular focus.
 - a. Definition: The end of the academic year is the date of Commencement.
 - b. No votes should occur at the end-of-year meetings of the Assemblies or any of their Committees, except by the approval of a majority of the Faculty membership of the Assemblies or applicable Committees.
6. Summer governance requires separate consideration.
 - a. Definition: The period of summer governance is from the date of Commencement to the beginning of the following academic year.
 - b. The University Academic Assembly typically does not meet, but may be called to meet as specified in Section I.B.3 of the Faculty Constitution.
 - c. The Committees of the University Academic Assembly typically do not meet, but may be called to do so by their respective Chairs.
 - d. Each College or School Assembly, as well as each of their Committees, may decide by a vote of its membership on a process to handle its business during the period of summer governance, if it is deemed necessary.

D. COMMITTEES AND CAUCUSES

1. Committees

- a. The Academic Assembly includes standing committees that have a continued existence to address specific and recurrent matters pertaining to faculty governance.
 - i. To facilitate its work and to take account of the interests and commitments of the voting members, the Nominating Committee periodically will circulate a questionnaire to the voting membership regarding past and potential governance work.
 - ii. Each standing committee of the Academic Assembly, on the authority of its duly elected chair or constitutionally designated convener, shall determine its standing meeting dates and times based on the schedules of all the members and in accordance with the relevant provisions of *The Faculty Constitution*.
 - iii. Standing committees shall share their agendas and proposed actions with their constituencies and the membership of the Academic Assembly
- b. The Academic Assembly may create ad hoc and special committees of limited duration, for specific purposes not already under the purview of standing committees, which shall have terms of sufficient length to conduct their business.

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- i. As specified in *The Faculty Constitution*, the Steering Committee shall approve the appointment and give the charge to University-wide ad hoc committees related to University-wide faculty concerns.
 - ii. Each ad hoc or special committee of the Academic Assembly shall determine whether it will set standing meeting dates and times; on the authority of its duly elected or appointed chair, meetings shall be set based on the schedules of all the members.
2. **Caucuses.** The Academic Assembly recognizes the following Faculty constituencies for the purpose of ensuring diverse representation of its voting membership on specified committees:
 - a. Women's Caucus;
 - b. Faculty of Color Caucus;
 - c. Untenured Faculty Caucus (defined as all voting members of the Academic Assembly who are not tenured); and
 - d. Queers and Friends.

E. TERMS OF OFFICE

1. The Chair of the Academic Assembly shall take and begin a two-year term of office on the first day of July following Commencement in an even-numbered year.
2. Newly elected members shall take and begin a two-year term of office on the first day of July following Commencement, which includes the standing committees of the Academic Assembly, as well as the curriculum committees of the College and Schools Assemblies, and the chairs of the College and Schools Assemblies.
3. Newly elected chairs of the standing committees shall begin their one-year term of service on the first day of July following Commencement, or upon election at the first meeting of their standing committee after the first day of July, and become members of the Steering Committee at that time.

F. ELECTIONS

1. Time and Method of Nomination.

- a. The nomination process is open to all voting members of the Academic Assembly.
 - i. Open nominations may include:
 1. Self-nominations; and
 2. Nominations by colleagues (voting members) submitted in writing bearing the signature of the nominator and consent of the nominee.
 - ii. All verified eligible nominees will be placed on the ballot.
- b. To ensure an orderly transition for the implementation of the provisions of the Faculty Constitution, the Chairs of the Standing Committees, in consultation with their members, will submit a list of the faculty membership, terms, and positions that need to be elected to the Chair of the University Academic Assembly by April 1 of each year.
- c. The Nominating Committee is charged with attempting to ensure that the ballot represents the diversity of the faculty, represents the diversity of our curricula, provides for competitive elections, and provides for a balance between those with experience and those with less experience in a given area of governance.

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- i. The Nominating Committee will consider those nominations received through open nominations and augment the ballot as required.
 - ii. If no eligible candidate for a constituency-based position can be identified, the Nominating Committee may identify one or more voting members of the Academic Assembly to run for the position.
 2. **Time and Method of Election.**
 - a. Election of the Chair of the Academic Assembly shall be completed before the end of December in odd-numbered years.
 - b. Elections concerning the College and Schools Assemblies and the standing committees of the Academic Assembly shall be completed in the Spring, prior to Commencement.
 - c. Elections shall be conducted by electronic ballot using the method of approval voting, wherein each voting member has the opportunity to vote for all candidates and may vote for as many candidates as the member wishes, regardless of how many positions are open in that particular election.
 3. **Vote Necessary to Elect.**
 - a. Candidates with the most votes tallied (as many as there are open offices or positions) will be declared the winner(s), provided that each receives at least 50% of the total votes cast for that position.
 - b. In the case of a tie between candidates who each receive at least 50% of the total vote, there will be a subsequent run-off election. This provision applies only if the tie makes it impossible to determine the election.
 - c. In the event that any office or position remains unfilled following an election, the Nominating Committee is charged with developing a new slate of nominees and preparing a new ballot to fill the open office or positions within 14 days following the last election.
- G. QUORUM:** A quorum for Academic Assembly meetings is defined per *The Faculty Constitution* § I.D.

III. FACULTY SENATE

- A. MEMBERSHIP:** Eligibility for Senate membership is limited to voting members of the Academic Assembly per *The Faculty Constitution* § I.A.
- B. OFFICERS: President of the Senate as per** *The Faculty Constitution* § II.B.
- C. COMPOSITION AND CONDUCT OF SENATE:** Members of the Senate are determined per the committee composition of its constituent committees (Committee on Academic Planning and Standards, Budget and Planning Committee, and Personnel Policies Committee) as articulated in *The Faculty Constitution* § III.
 1. Senators serve two concurrent roles:
 - a. committee member, and
 - b. Faculty Senator.

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2. While committee membership entails representation of particular constituencies among the Faculty, determined by School or College of appointment or contractual status, members of the Faculty Senate are called to University-level service.
3. Senators' professional conduct during and between Senate meetings should reflect their commitment to the broader institution and the effective representation of diverse perspectives across the University of Redlands Faculty.

D. Committees

1. The Faculty Senate includes standing committees that have a continued existence to address specific and recurrent matters pertaining to faculty governance.
 - a. Each standing committee of the Faculty Senate, on the authority of its duly elected chair, shall determine its standing meeting dates and times based on the schedules of all its members and in accordance with the relevant provisions of The Faculty Constitution.
 - b. Each year, the standing committees shall adopt a rule to ensure that all constituent assemblies receive regular and full communication of their decisions and deliberations.
 - c. Standing committees shall share their agendas and proposed actions with all constituent assemblies and the membership of the Faculty Senate.
2. The Faculty Senate may create ad hoc and special committees of limited duration, for specific purposes not already under the purview of standing committees, which shall have terms of sufficient length to conduct their business.

E. VACANCIES AND REMOVAL FROM OFFICE:

1. **Vacancies.** In the event that a Senate seat becomes vacant, elections for a new Senator will be completed within 30 days of the vacation of that seat.
 - a. The election procedure designated in *The Faculty Constitution* § II.G and further specified in these Bylaws shall be followed.
 - b. The new Senator will complete the remainder of the term for the seat vacated.
2. **Removal from Office.** Any Senator may be removed from office for failure to perform the duties of the office or for behavior incompatible with the status or duties of the office. The removal process requires:
 - a. Twenty (20) voting members of the Academic Assembly in a regular meeting, or special meeting called specifically for this purpose, which must be endorsed by a majority of voting members at the same meeting.
 - i. Such petitions will take priority over any other business scheduled for the Academic Assembly meeting.
 - ii. The vote to petition for removal of a Senator shall be conducted by secret ballot.
3. The Senator may exercise the right to be heard in an open Academic Assembly meeting before the Academic Assembly conducts a vote on removal.
4. A Senator may then be removed from office by a two-thirds vote of the voting members of the Academic Assembly.
5. Voting shall take place via an electronic ballot.
6. All removal processes must be conducted within a 30-day time period.
7. The election procedure designated in *The Faculty Constitution* § II.G and further specified in these Bylaws shall be followed.

F. MEETINGS

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1. The Senate shall meet at the call of its President.
2. The Steering Committee shall set the agenda of the Senate per *The Faculty Constitution* § IV.L.3.c. In addition to the Standing Committees of the Senate, items may also be placed on the agenda of the Senate from any Assembly standing committee.
3. The President of the Senate shall ensure distribution of any meeting agenda to the voting membership of the Assembly seven (7) days prior to the meeting.
4. The Senate also shall meet at the written petition to its President of six (6) Senators.
5. End-of-year meetings are to have a particular focus.
 - a. Definition: The end of the academic year is the date of Commencement.
 - b. No new business may be placed on the agenda of the Faculty Senate or any of its Committees later than a month prior to the end of the academic year, except by the

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approval of a majority of the Faculty membership of the Faculty Senate or the applicable Committees.

- c. The governance work of the Faculty Senate during the month before the end of the academic year is to be confined to the completion of old business and to the discharge of end-of-year responsibilities.
6. Summer governance may require separate consideration.
 - a. Definition: The period of summer governance is from the date of Commencement to the beginning of the following academic year.
 - b. The Faculty Senate shall act as needed, dependent on circumstances.
 - c. The Committees of the Faculty Senate typically do not meet, but may be called to do so by their respective Chairs.
 - d. The Faculty Senate shall distribute minutes of any summer meeting(s) to the membership of the University Academic Assembly prior to September 15 of that calendar year.

G. TERMS OF OFFICE

1. The President of Faculty Senate, as the duly elected Chair of the Academic Assembly, shall take and begin a two-year term of office on the first day of July following Commencement in an even-numbered year.
2. Newly elected members shall take and begin a two-year term of office on the first day of July following Commencement.
3. Newly elected chairs of the standing committees shall begin their one-year term of service on the first day of July following Commencement, or upon election at the first meeting of their standing committee after the first day of July, and become members of the Steering Committee at that time.

H. ELECTIONS

1. Time and Method of Nomination.

- a. The nomination process is open to all voting members of the Academic Assembly.
 - i. Open nominations may include:
 1. Self-nominations; and
 2. Nominations by colleagues (voting members) submitted in writing bearing the signature of the nominator and consent of the nominee.
 - ii. All verified eligible nominees will be placed on the ballot.
- b. To ensure an orderly transition for the implementation of the provisions of the Faculty Constitution, the Chairs of the Standing Committees, in consultation with their members, will submit a list of the faculty membership, terms, and positions that need to be elected to the President of the Faculty Senate by November 1 of each year.
- c. The Nominating Committee is charged with attempting to ensure that the ballot represents the diversity of the faculty, represents the diversity of our curricula, provides for competitive elections, and provides for a balance between those with experience and those with less experience in a given area of governance.
 - i. The Nominating Committee will consider those nominations received through open nominations and augment the ballot as required.

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- ii. If no eligible candidate for a constituency-based position can be identified, the Nominating Committee may identify one or more voting members of the Academic Assembly to run for the position.
- 2. **Time and Method of Election.**
 - a. Election of Senators shall be completed before the end of December of the calendar year prior to the year in which they are to take office.
 - b. Elections shall be conducted by electronic ballot using the method of approval voting, wherein each voting member has the opportunity to vote for all candidates and may vote for as many candidates as the member wishes, regardless of how many positions are open in that particular election.
- 3. **Vote Necessary to Elect.**
 - a. Candidates with the most votes tallied (as many as there are open offices or positions) will be declared the winner(s), provided that each receives at least 50% of the total votes cast for that position.
 - b. In the case of a tie between candidates who each receive at least 50% of the total vote, there will be a subsequent run-off election.
 - c. Should a Faculty Senate position become vacant before the end of the designated term, the position shall be filled per *The Faculty Constitution* § II.G.
- I. **QUORUM:** A quorum for Senate meetings shall be a majority of the Senators per *The Faculty Constitution* § II.H.
- J. **PARTICIPATION BY NON-MEMBERS:** All members of the Academic Assembly may attend and address the Senate for the purpose of comment or testimony pertaining to items under consideration prior to action being taken. It is the duty of the President of the Faculty Senate to ensure that non-senators from the Academic Assembly have the opportunity to register an intent to speak on agenda items.
- K. **REFERRAL:** The Senate shall have the discretion to refer any matter to the Academic Assembly.
 - 1. Any action by the Academic Assembly substitutes for and is binding on any subsequent actions of the Senate pertaining to that matter.
 - 2. The Academic Assembly, at any time and by simple majority of the voting members present, may delegate its authority to the Senate on matters not constitutionally reserved for its sole action, thereby no longer binding the Senate from acting upon such matters.
- IV. **AMENDMENTS:**
 - A. These Bylaws may be amended by a majority vote of the Academic Assembly per the quorum rule defined in in *The Faculty Constitution* § I.D.
 - B. Any proposed amendment to the By-Laws is subject to the approval of the Board of Trustees.

Chapter 1

THE MISSION, ORGANIZATION, AND GOVERNANCE OF THE UNIVERSITY

PREFACE

The *UNIVERSITY OF REDLANDS FACULTY HANDBOOK* is an official publication of the Office of Academic Affairs. It defines the basic conditions and expectations of professional life for members of the University faculty, as well as specifying policies and procedures and giving other useful information. Acceptance of a faculty appointment at the University of Redlands is an acceptance of applicable University policies and procedures cited in the *Handbook*, the University's *Personnel Policies and Procedures Manual*, and the *Constitution of the Academic Assembly*.

The purpose of this Handbook

The University of Redlands (the "University") seeks to affirm, preserve, and—where possible within the limits of our resources—improve the quality of instruction and mentoring we offer to our students, the level of professional expertise and accomplishment embodied in our faculty, and the distinctive character of our academic community. These values take concrete form in decisions creating and sustaining faculty positions, in faculty hiring, through institutional support for faculty development, in our standards for reappointment, promotion, and tenure, in the process of faculty review itself, and in a determination to provide competitive working conditions, faculty salaries, and benefits. In adopting this *Faculty Handbook*, the University reaffirms its commitment to maintaining as the core of our institution a strong, full-time faculty whose primary responsibility is to provide the best possible educational opportunities to our students. The policies and procedures set out in this *Handbook* describe faculty positions, define the duties and responsibilities of faculty, and identify the criteria, standards, and procedures for faculty advancement in accordance with this central tenet in the University's mission.

1.1 Mission Statement

The University of Redlands is a private, independent university committed to providing a personalized education that frees students to make enlightened choices.

Redlands emphasizes academic rigor, curricular diversity, and innovative teaching. Redlands fosters a community of scholars and encourages a pluralistic notion of values by challenging assumptions and stereotypes in both classes and activities. A Redlands education goes beyond training to embrace a reflective understanding of our world; it proceeds from information to insight, from knowledge to meaning.

Welcoming intellectually curious students of diverse religious, ethnic, national, and socio-economic backgrounds, the University seeks to develop responsible citizenship as part of a complete education.

Redlands encourages a community atmosphere with exceptional opportunity for student leadership and interaction. For working adults, the University offers innovative programs at convenient locations and times.

Redlands blends liberal arts and professional programs, applied and theoretical study, traditional majors and self-designed contracts for graduation. Small classes enable each student to participate in class discussion, to work closely with professors, and to receive extensive individual attention. Redlands remains sensitive to contemporary trends in society and challenges students to commit themselves to a lifetime of learning.

1.2 The Governance of the University

Articles of Incorporation and By-Laws

The fundamental governance documents of the University are the *Articles of Incorporation* and *By-Laws* as may be amended by the Board from time to time. Official copies of the *Articles of Incorporation* and *By-Laws* are maintained in the Office of the President of the University.

1.2.1 Board of Trustees

Final authority over the University of Redlands is vested in the Board of Trustees, the chief governing and policy-making body of the University. The Board retains the full legal and organizational authority to govern the functioning of the University through the administrative structure set forth in the *Articles of Incorporation* and *By-Laws*. In pursuance of its responsibilities, the Board may delegate authority and responsibility to the University Administration and Faculty as it deems appropriate.

1.2.2 Academic Administration

The Administration of the University (the “*Administration*”) consists of all persons holding administrative appointments within the University.

The members of the *Academic Administration* are the President of the University, the Provost, the Deans and Associate Deans of the College and Schools, and others so designated by reason of their reporting relationships and the principal focus of their work on the academic life of the University.

The President of the University

The President is the chief executive officer of the University and has, subject to the control of the Board, responsibility for the general supervision, direction, and control of the business of the University. The President has the general powers and duties of management usually vested in the office of president and general manager of a corporation and other such powers and duties as may be prescribed by the Board. The President is an officer of the corporation and serves at the pleasure of the Board.

The Provost

The Provost serves as the chief academic officer of the University with administrative responsibility for all academic programs and University faculty. The Provost is responsible for providing overall administrative leadership to the academic programs and seeing to the proper conduct of the University’s curriculum in accordance with the University’s primary mission of educating students. The Provost is responsible for developing and overseeing the academic budget, for overseeing the assessment of the University’s academic programs, for enhancing the support of academic programs (e.g., through the Armacost Library), and for making recommendations to the President on faculty appointments, reappointments, promotion, and tenure, for overseeing faculty development, and attending to the general welfare of the University students and faculty. Subject to the approval of the Board, the Provost is an officer of the corporation. The Provost reports to the President and serves at his or her pleasure, subject to the approval of the Board.

Academic Deans

The College and Schools are led by academic deans. The deans are responsible for academic planning, administrative oversight of the allocation of faculty positions (both full-time and part-time) within the colleges (as approved by the Provost), the development and oversight of college academic budgets, the oversight of faculty appointments within the colleges, and the mentoring and evaluation of faculty. Deans collaborate with faculty in the development and administration of the college curriculum, the determination of entrance and graduation requirements, and monitoring the academic progress of students. Deans are responsible for overseeing student advising, supporting and overseeing the functioning of academic departments, the appointment of faculty to positions of academic management (e.g., department chairpersons, program directors), and supporting and evaluating the academic management work of faculty. The Academic Deans report to the Provost and serve at his or her pleasure, subject to the approval of the President.

1.2.3 Faculty

The Faculty of the University (the “*Faculty*”) consists of all persons holding academic appointments within the University of the types described in §3.2¹ of this *Handbook*, with the rights and duties described in this *Handbook*.

1.2.4 Memorandum of Understanding between Administration and Faculty

Included by reference in this *Handbook* as Appendix 1-A² is a “Memorandum of Understanding” (“*Memorandum*”) that was approved by the Board of Trustees at its meeting on 16 May 1992 and executed on 2 June 1992 and Mr. H. Jess Senecal’s accompanying comments on behalf of the Board. As these documents indicate, the Memorandum provides “guidance” to the Administration by setting out “procedures to be followed in the event of any unusual circumstances or dispute regarding the nature and extent of delegated authority or in the discharge of any responsibility delegated to the Faculty or Administration by the Board of Trustees” (2.8). In this context, the Memorandum also characterizes the relationship among the Board, the Administration, and the Faculty of the University. This Memorandum does not

¹Cross-references in this *Handbook* refer to the indicated section and to all subsections falling within the scope of the indicated section.

² Materials provided in appendices to this *Handbook* are provided for informational purposes and are not incorporated by reference into the *Handbook* unless explicitly so characterized. Policies included as appendices may be subject to change by procedures other than those required to change this *Handbook*.

supersede any policies, procedures, responsibilities, or authority assigned to the Faculty or Administration in this *Handbook* (cf. §1.3).

1.2.5 Faculty Governance

In appreciation of the principles of participatory governance and in the interest of the general well-being of the University, the Faculty and the Administration acknowledge their responsibility to collaborate meaningfully in addressing matters of policy and practice, within the context established by the preceding sections of this *Handbook*. The formal structures through which members of the Faculty participate in the governance of the University are established in the "University of Redlands Faculty Constitution," a document subject to the approval of the Board of Trustees and included by reference in this *Handbook*. The Faculty Constitution is provided as Appendix 1-B.

1.3 The Authority of this Handbook

The *Faculty Handbook* of the University of Redlands derives its authority from the Board of Trustees. This *Handbook* supersedes all previous editions of the *Faculty Handbook* and any other previous statements of University policy regarding members of the faculty.

Effective date

This edition of the *Faculty Handbook* will take effect on the date it is approved by the Board of Trustees. It will remain continuously in effect until it is modified, in whole or in part, or replaced according to the procedures specified below (§1.4) by action of the Board.

Official text and copies of the Handbook

The official text of this *Handbook* is maintained in the Office of Academic Affairs. Copies are also on file in the Office of the President, the offices of the Deans, and in the University Library. The Provost will ensure that approved changes to the *Handbook* are incorporated in the official text and are distributed to faculty members, as required.

Each member of the Faculty will receive a personal copy at the time of hire and whenever the *Handbook* undergoes extensive revision. The loose-leaf construction allows for the inclusion of more limited changes that modify or clarify policy, procedure, or information.

Interpretation

If a question of interpretation of the *Handbook* is identified by a governance committee of the Academic Assembly (§1.2.5) or by the Administration, the President of the Academic Assembly and the Provost will confer to resolve it. If they are unable to do so, they may jointly refer the question to an *ad hoc* "Interpretation Committee" consisting of the President of the University (or his or her designee), the Provost, the President of the Academic Assembly, and the Chair of the Personnel Policies Committee of the Assembly. The interpretation agreed upon by a simple majority of this group will be binding until such time as the Board of Trustees either adopts the interpretation, gives its own final interpretation, or approves a change to the *Handbook* (§1.4). If a majority vote of the Interpretation Committee is not achieved, the President of the University shall determine an interpretation that will be binding until the Board of Trustees takes action. Any interpretation accepted by the President of the Assembly and the Provost, the Interpretation Committee, or the President will be reported by the Provost to the Personnel Policies Committee for consideration as part of its ongoing responsibility to review the *Handbook*.

1.4 Changes to this Handbook

Any change to the policies or procedures of this *Handbook* must be approved by the Board of Trustees. The Board reserves the authority to modify the *Handbook* at its discretion; however, as a general practice in keeping with principles of shared governance, the Board will consult with the Faculty and the Administration before doing so.

Changes to the Handbook will normally be initiated by the Faculty or the Academic Administration. A proposal from the Faculty or Administration to amend the Handbook will be referred to the Personnel Policies Committee of the Faculty Senate for consideration; after consideration the Committee may make recommendations to the Faculty Senate. The Senate will decide whether the proposed changes are significant enough to merit a decision by the Faculty at large. If by a 2/3 majority vote of those senators present, the Senate determines that no decision by the Faculty at large is merited, then the Senate will vote on those changes. Otherwise, the Personnel Policies Committee will consult with the Faculty at large and vote of the Faculty will be called. A proposed amendment to the Handbook will be submitted to the Board of Trustees by the President, through the Academic Affairs Committee of the Board.

Other University policies included in this *Handbook* by reference (e.g., the Policy Prohibiting Illegal Discrimination and Harassment), some of which are provided as Appendices, may be subject to change by procedures other than those required to change the policies and procedures of this *Handbook* proper.

Chapter 2

FACULTY RESOURCES AND OPPORTUNITIES

This Chapter of the *Faculty Handbook* contains a listing of resources, policies, and procedures to assist faculty members carry out their daily responsibilities. Policies unique to the College of Arts and Sciences, Graduate School of Theology, School of Business, or School of Education are indicated.

Academic Computing and Instructional Technology Services

This department falls under the direction of Information Technology Services (ITS). It manages the computer center on campus (Jones Computer Lab) and provides computer support for faculty, staff, and administrators.

If you would like to **reserve a room** at the Jones Computer Lab for one-time use for a class, contact the ITS-Academic Computing and Technology Services Administrative Assistant; for a semester-long class, contact the Registrar's Office.

For information regarding **software updates**, contact the HELP desk at x4357.

Computers are currently replaced with new equipment approximately every four years. To inquire about getting your **computer refreshed**, contact the Asset Manager.

The following links can be found at my.redlands.edu under the "Faculty" tab.

Learning Management System – This software program allows faculty and students from a given class to interact on the web at a password-protected site. For instruction on how to develop your own site, see the Faculty Technology Center or contact the ITS manager.

The Faculty Technology Center – This center coordinates a number of different programs to train faculty on software found on campus. This link will allow you to view currently available workshops or request future workshops. It also has guides for the media available in "smart" classrooms. Alternatively, you can call the ITS manager who runs the FTC.

Computer Trouble Request Form – This link directs requests regarding computer trouble to the help desk. Alternatively you can call the HELP desk at x4357.

Email accounts – This link allow you to request a new email account or forward your current account to another address. For more information contact the systems account manager.

Academic Honesty Policy

See *Catalog* Academic Honesty, for the University's policy and appropriate actions. Contact the Registrar for more information.

Academic Status Report (College of Arts and Sciences)

Academic status reports, which allow faculty to alert students to problems with their performance in class, are available from the Dean's office. See the *Catalog* or contact the Registrar's Office for information regarding Academic Standards.

Academic Support Services

The University is committed to full compliance with the Rehabilitation Act of 1973 (Section 504), the Americans with Disabilities Act of 1990 (ADA), and state and local regarding students and applicants with disabilities. In carrying out this policy, we are committed to the full participation of all students in the University's educational program. Accommodations are arranged through the Student Services Office.

Academic Support Services includes writing tutors, subject tutors, and academic counseling. Contact the office of Academic Support Services in the College; for similar services contact the Graduate School of Theology, School of Business or the School of Education.

Faculty members may contact the EEO Manager regarding accommodations for themselves.

Endorsed by the Academic Assembly May 20, 2004

Advising

See *Catalog* for requirements, including student course overload policy. Information regarding class rosters, advisees' course loads, and course availability is available through the Web Advisor at the myRedlands website (my.redlands.edu). Contact Registrar or appropriate Dean's Office for more information.

Tutoring and academic counseling is provided by the Student Services office for the College of Arts and Sciences students (see Academic Support Services above); contact the Graduate School of Theology, the School of Business or the School of Education for similar services.

Athletic Eligibility (College of Arts and Sciences)

See *Catalog*, Academic Standing, or contact the Eligibility Coordinator or Director of Athletics in the Athletic Department.

Each student-athlete is responsible for informing his or her professors of the schedule of contests well in advance of the season. Student-athletes are responsible for requesting that the professor excuse them from class to participate in competition. Student-athletes are not to miss class to participate in practice sessions. For specific questions on conflicts, faculty should contact the student-athlete's coach. For coaches' names and extension numbers, contact the athletic department.

Athletic and Recreational Resources

There are many recreational and athletic resources on campus

- Fitness Center is open to all full-time College students, free of charge. Faculty, staff, and administrators may use the facility provided they enroll in the user fee program. Contact the Fitness Center Director @ 335-5235 for information on hours, enrollment in the user fee program, and other related questions.
- Thompson Aquatic Center is available for use by all current University of Redlands faculty members and their immediate family. Faculty members must accompany their family to the Pool. Children are not permitted without adult supervision. For specific hours, fee schedule, and regulations, please contact the Director of Aquatics @ 335-5222.
- Currier Gymnasium, Verdick Tennis Courts, racquetball courts, Dance Studio, various sports fields, and locker facilities are available to faculty members when not scheduled for other activities. Contact the Director of Athletics or Facilities Coordinator regarding more specific information on these facilities.
- Faculty participation in Intramural Athletics is welcomed and encouraged. Contact the Director of Intramurals for schedules and further information.

Counseling

For counseling services available for faculty, contact Human Resources. Counseling services are available at no charge for students through the Student Services office. Contact Student Services for more information for students in the College of Arts and Sciences. For students in the Graduate School of Theology, the School of Business or School of Education contact the appropriate School's main office.

Course Evaluations

Copies of the course evaluations for the College of Arts and Sciences, the Graduate School of Theology, the School of Business and the School of Education are included in the Appendix. At the end of each semester, course evaluations for the College are housed in the office of the Dean. Graduate School of Theology, School of Business and School of Education evaluations are housed in the respective Dean's Office.

Curriculum Development

New courses must be submitted to the Curriculum Committee for approval before being offered. See your department, program, or School for the appropriate forms and timing.

Equal Opportunity/Employee Relations

The University provides an EEO Manager to interpret policies related to any issues involving discrimination or harassment regarding age, disability, race, color, national origin, sex or gender identity, sexual orientation, marital status, medical condition, religion, or veteran status. The EEO Manager interprets and applies the University policy and procedures prohibiting unlawful discrimination. Those desiring to learn more or who wish to file a complaint, may contact the EEO Manager located in the Human Resources Department or any administrator listed on page 97 of the *Personnel Policies and Procedures Manual*.

Faculty Caucuses

The caucuses currently recognized by the Academic Assembly include the Women's Caucus, the Faculty of Color Caucus, the Untenured Caucus, and Queers and Friends.

Faculty Club

The Faculty Club provides a place for faculty and administrators to get to know each other and to share a variety of interests and talents. Members are invited to take an active part in the Club's luncheons, dinners, forums, and special events. The Faculty Club welcomes suggestions for new activities.

Faculty Interaction Program (College of Arts and Sciences)

This program provides valuable learning opportunities to apply classroom knowledge off-campus. Student Life will coordinate and pay for bus or van transportation and a small ticket subsidization for events open to the campus community. Contact the Student Life Office to plan a trip for your class, department, or community.

Grading

The *Catalog* has descriptions of the numerical grading system. For grading by evaluation, contact the Johnston Center.

See *Faculty Handbook* 3-32 for grade submission information.

Grants

The Faculty Review Committee and the office of the Vice President for Academic Affairs coordinate the review of requests and distribution of faculty research grants.

The Grant Administrator coordinates the approval of external grant proposals by the Dean, Vice President for Business and Finance, or the President. This office also is available to assist faculty in developing the budget, especially when applying for student or faculty stipends. A grant routing form must be submitted to this office and approved before any proposal is submitted. This approved form must be resubmitted at least 10 days prior to the due date with a final draft of the budget and application in order to receive the necessary signatures.

Interdepartmental Interaction

See earlier entry for **Faculty Club**.

At the **President's High Table**, the President of the University hosts dinners throughout the academic year featuring guest speakers who present a variety of topics. This event is open to the entire campus and Redlands community.

The function of the **Town and Gown** is to promote a positive, mutually supportive relationship between the Inland Empire and the University of Redlands. This group also provides scholarships for students from the Inland Empire. The organization develops projects and functions that enhance the welfare of the University, its students, and their relationship with the community.

A faculty member can be a speaker or presenter for one of the organization's events. If invited, faculty members can serve a three-year term on the Board of Directors. Contact the Alumni Relations Office for information on becoming a Town and Gown member.

Johnston Center for Integrative Studies (College of Arts and Sciences)

The Johnston Center offers an alternative mode of teaching and learning within a liberal arts context. Johnston draws its faculty from the entire University and invites the participation of all students. Courses in the College can be cross-listed and offered for contract negotiation by willing faculty members. See *Catalog* for further information.

Library

For detailed university library information, please consult the library home page at:

<http://www.redlands.edu/library>

The following are some highlights on the library use at the University:

- (1) **Library Card:** Your faculty ID card will serve as your library card.
- (2) **Databases & E-Journals:** You need authorization numbers and passwords that are available at the Reference Desk to access databases and e-journals. You also may call the library at x4022 for the list of passwords.
- (3) **Renewal of books:** To renew books, call the Circulation Desk at x4721. (Book loan period for the faculty is one semester. You may renew books as you wish.)
- (4) **Reserves:** To reserve a book for a class or to place copies of your own course materials on reserve, call x4711.
- (5) **Book order and recommendation:** To recommend the purchase of a book or a subscription to a journal, you may use an online form, send an email to the library director, or call x4022 or x4730.
- (6) **Interlibrary Loan:** To obtain a book or a journal article from another library, call x4736. This service is free of charge to faculty.
- (7) **Library instruction program:** You can arrange library instruction for your classes with librarians by calling x4725, x4731, or x4728.
- (8) **Borrowing books at other libraries:** Please call the library director at x4022. To use the Claremont Colleges Library you will need a letter from our library.
- (9) **ProxyServer:** Currently there are 18 databases available through the ProxyServer. Call Electronic Services Librarian, x4745, for assistance.

Media Services

Media Services has a variety of audio/video equipment for classroom use. Equipment available includes VCRs, portable video projectors, slide projectors, and video cameras.

Religious Services

Contact the Office of the Chaplain for religious services available to the campus community.

Room Reservations

To reserve a room for a course, contact the Registrar's Office. All other room reservations are arranged through Hospitality Services, x5116, or requests can be submitted on-line. Room availability can be viewed on-line through **R25**, available at my.redlands.edu.

Study Abroad

See *Catalog*, International Study. For the College, contact the Study Abroad Office. For the Graduate School of Theology or School of Business, contact the Asian and Cambridge program.

Teaching Development Opportunities

The Hunsaker Endowed Chair for Teaching offers a number of opportunities for faculty members to enhance their teaching. These range from informal lunch discussions, to peer groups of faculty meeting and sharing video excerpts of their classes, to teaming with a faculty colleague by enrolling in each other's courses. Contact the Dean's office for further information.

Teaching, Service, Research and Creative Activity Awards

The University encourages excellence among its faculty members by recognizing their achievements in Outstanding Teaching, Innovative Teaching, Research/Creative Activity, and Service. It accomplishes this objective by giving the faculty members the opportunity to nominate their colleagues in these areas. Nominations are solicited during the spring (Feb-March). Students are also given the opportunity to nominate professors in the areas of Outstanding Teaching and Innovative Teaching in the College of Arts and Sciences, Graduate School of Theology, School of Business, and School of Education. Nomination forms are available in Academic Affairs. Awards are presented at the annual Honors and Awards Convocation.

Textbooks

For textbook orders, desk copy, or exam copy requests, contact department secretary or the university bookstore. Desk copies and exam copies may also be requested through many publishers' web sites. Usually, the university bookstore will send textbook order forms to faculty members a few weeks prior to a textbook order deadline set for a particular semester.

Tuition Remission and Assistance

The Office of Human Resources has information regarding employee tuition assistance and dependent tuition remission and exchange. Detailed information also can be found in the *Personnel Policies and Procedures Manual*, pages 69-71f.

Writing Across the Curriculum

An intensive workshop is available to faculty who wish to design and develop the writing process for students in their discipline. The WAC workshop is required for those faculty members who plan to teach a WA or WB course in the College of Arts and Sciences. Further information is available from the appropriate Dean's office regarding these workshops for the College, the Graduate School of Theology, the School of Business and the School of Education.

Acronyms

APC	Academic Policy Committee (Johnston Center)
ARB	Academic Review Board
ASUR	Associated Students of the University of Redlands
CAPS	Committee on Academic Planning and Standards
CAS or College	College of Arts and Sciences
FIP	Faculty Interaction Program
FRC	Faculty Review Committee
GST	Graduate School of Theology
IRB	Institutional Review Board
ITS	Information Technology Services
JCC	Jones Computer Center
LAF	Liberal Arts Foundation (General education requirements for College of Arts and Sciences students)
CC	Cross-Cultural Studies
CP	Creative Process
DD	Dominance and Difference
FL	Foreign Language
HB	Human Behavior
HH	Humanities: History
HL	Humanities: Literature
HP	Humanities: Philosophy
SE	State and Economy
MS	Mathematics and Science
WA and WB	Writing across the Curriculum
PPC	Personnel Policies Committee
PTC	Preliminary Teacher Credential
SLIC	Student Leadership and Involvement Center
SE	School of Education
SB	School of Business
WASC	Western Association of Schools and Colleges (accrediting Commission)
WAC	Writing Across the Curriculum

Chapter 3

FACULTY APPOINTMENTS, DUTIES, AND REVIEW

This Chapter of the *University of Redlands Faculty Handbook* (the “*Handbook*”) contains the official statement of the University’s personnel policies pertaining to faculty appointments, describing in conjunction with each faculty contract letter the rights, duties, and responsibilities of faculty members at the University. It also contains the criteria and standards for appointment to rank and tenure, the procedures for review, procedures for grievance and disciplinary action, and provisions for separation from service. Other University policies are incorporated by reference into this Chapter as so indicated. The provisions of this Chapter (excluding appendices) can be revised only by an action of the Board of Trustees. Other University policies incorporated by reference into this *Handbook* may be subject to revision and approval by procedures other than those required to change the policies of this *Handbook* proper.

It is the responsibility of all faculty members of the University to be familiar with and abide by the policies and procedures of this Chapter, including any amendments, as a condition of their employment with the University. The University agrees to abide by and faithfully execute them as well.

Definitions and references of terms used in this Chapter of the Handbook

For the purpose of identifying the personnel and defining the relationships, processes, and procedures specified in this *Handbook*, the following terms shall be interpreted as indicated. In many cases, additional content, clarification, or specification of terms will be provided in the relevant sections of this *Handbook*.

- **Institutional terms:**

- **CAS or College** refers to the College of Arts and Sciences.
- **GST** refers to the Graduate School of Theology.
- **SB** refers to the School of Business
- **SE** refers to the School of Education
- **School** refers to the Graduate School of Theology, the School of Business, or the School of Education
- **University** refers to the University of Redlands.
- **A comparable regionally accredited four-year college or university** is a four-year college or university that satisfies accreditation standards of a regional accrediting body comparable to those met by the University and maintains standards in hiring, promotion, and tenuring of faculty members that are not less rigorous than those employed by the University.

- **Terms referring to personnel other than members of the faculty:**

- **Administration** refers collectively to administrators responsible for administrative actions and decisions described in this *Handbook*.
- **Administrator** refers to any administrator currently employed by the University.
- **Board** refers to the Board of Trustees of the University.
- **The President** refers to the current President of the University.
- **Staff** refers to any staff member currently employed by the University.
- **Student** refers to any current student of the University.
- **Contract agent** refers to any person owning or working for a business or agency on behalf of or in service of current or future University contracted goods and services
- **Non-Faculty personnel** refers to all of the personnel identified above.

- **Terms referring to members of the faculty and types of faculty appointments:**

- **Faculty** refers to current members of the faculty of the University or to the current members of the faculty collectively.
- **Continuing faculty members** hold renewable contracts.
- **Adjunct faculty members** are occasional University employees who hold part-time, limited-term faculty appointments without rank or eligibility for tenure (§3.1.6).¹
- **Emeritus** or **Emerita** is an honorary designation conferred, at the discretion of the Board, upon former full-time Associate Professors or Professors in the teaching faculty, full-time Associate Librarians or Librarians, or full-time Associate Professors or Professors of Physical Education and Athletics who have separated from the University after ten or more years of meritorious service (§3.1.7).

¹Cross-references in this *Handbook* refer to the indicated section and to all subsections falling within the scope of the indicated section.

- **Full-time members of the library faculty** are those library faculty members who are employed by the University to provide the equivalent of nine (9) to eleven (11) months of service per year (§§3.1.3.2, 3.2.3.2).
- **Full-time members of the physical education and athletics faculty** are those faculty members who are employed by the University in the Department of Physical Education and Athletics to provide the equivalent of ten (10) or eleven (11) months of service per year (§§3.1.3.3, 3.2.3.3).
- **Full-time members of the ranked teaching faculty** are those faculty members who serve in academic departments or Schools with teaching as their primary duty; they are employed by the University to provide
 - a) 24 units per year on a 9-month contract, or
 - b) 30 units per year on an 11-month contract. (See §§3.1, 3.2.8.)
- **A poet, writer, artist, scholar, executive, or scientist in residence** is a distinguished practitioner of an appropriate discipline appointed for a limited term with teaching and other responsibilities (§§3.1.5.2, 3.2.5.2).
- **Regular term faculty members** are full-time or part-time faculty members who hold renewable appointments and appropriate faculty ranks or titles but are not eligible for tenure. Regular term faculty may hold appointments as library faculty, athletics and physical education faculty, lecturer or senior lecturer, artist professor, or clinical professor (§§3.1.3, 3.2.3).
- A **research associate** is a qualified person appointed for a limited term to assist with a specific research project, typically with funding provided from an external granting agency (§§3.1.5.3, 3.2.5.3).
- **Research Associate Professor** or **Research Professor** is an additional title awarded to an Emeritus(a) Associate Professor or Professor to work on a research project that typically involves opportunities for funding from an external granting agency (§3.1.7.1).
- **Senior faculty member** refers to any member of the teaching faculty of the University who holds a tenured appointment or any member of the regular term faculty who holds a six (6)-year appointment.
- **Special appointment faculty members** are full-time or part-time faculty members who hold appointments that extend for limited terms and typically are not renewable (§§3.1.5, 3.2.5).
- **Tenure-track teaching faculty members** (§§3.1.1, 3.2.1) are full-time faculty members who hold probationary appointments to one of four academic ranks: Instructor, Assistant Professor, Associate Professor, or Professor, and are eligible to stand for tenure (§3.9) at the conclusion of the probationary period.
- **Tenured teaching faculty members** are full-time faculty members who hold tenured appointments (§§3.1.2, 3.2.2) at the rank of Associate Professor or Professor.
- **Visiting faculty members** are hired to fill a need for a short-term teaching or library position (§§3.1.5.1, 3.2.5.1).
- **Contractual terms:**
 - The **annual salary letter** informs each faculty member of the faculty member's current salary, tenure status, rank, and level in rank (§3.2).
 - **Duties** are the essential contractual duties and responsibilities associated with a faculty appointment (§§3.6, 3.7, 3.8).
 - **External activities** are activities (compensated or uncompensated) that one performs for an entity external to the University (§3.5.6.1)
 - A **faculty contract** is a written agreement between an individual faculty member and the University that establishes or modifies the individual's employment status with the University.
 - A **renewable contract** is a contract that includes the possibility of reappointment (§3.2).
 - A **terminal contract** is a contract that does not include the possibility of reappointment (§3.2).
 - The **letter of initial appointment** specifies the specific terms and conditions of an appointment to the faculty (§3.2).
 - **Reappointment** is the appointment of a faculty member to a new contract for an additional term of service to the University.
 - For the purposes of this *Handbook*, teaching is defined as traditional classroom or laboratory instruction and all technologically mediated forms (distance-learning, hybrid, on-line, etc) of course instruction, as well as personal supervision of one or more students in a learning context for which academic credit is given or through which degree requirements are met (§§3.6.1, 3.7.1.1, 3.9.3.1).

- For the purposes of this *Handbook*, **research or creative activity** is professional activity representing active and continuing engagement with a faculty member's field(s) as broadly defined in §§3.6.2, 3.9.3.4.
 - For the purposes of this *Handbook*, **service** is the shared work of the faculty that is necessary for the proper functioning of the University and the well being of the University community (§§3.6.3, 3.9.3.5).
 - For the purposes of this *Handbook*, **supervising** is defined as carrying out oversight responsibility for the academic work performance and well-being of faculty or non-faculty personnel, including students, and for the stewardship of academic and work products and resources of the University within the scope of a faculty member's oversight responsibilities (§§3.6.1.11, 3.9.3.5).
 - For the purposes of this *Handbook*, **coaching** is defined as all activities required of those responsible, in part or in whole, for student-athletes competing in an individual or team sport, as well as personal supervision of one or more students in an athletics context for which affiliation with the University is required (§§3.8.1, 3.9.3.3).
 - For the purposes of this *Handbook*, **advising** is a relationship between faculty (advisor) and students (advisees) and is defined as academic performance and progress monitoring, academic planning and degree- or credential-related career support, and appropriate referrals of advisees to available University services outside the academic expertise of the advisor (§3.9.3.5).
 - For the purposes of this *Handbook*, **evaluating** is defined as carrying out oversight responsibility for assessing the quality of academic and work performances of faculty or non-faculty personnel, including students, in conjunction with established performance standards and determining their merit worthiness (§3.9.3.5).
 - For the purposes of this *Handbook*, **mentoring** is defined as a mentor's individually directed tutelage and encouragement of a mentee for the purpose of developing and enhancing academic or work performances and opportunities, as well as the mentee's well-being, which may occur in conjunction with the exercise of the mentor's academic authority (§§3.9.3.1, 3.9.3.5).
 - For the purposes of this *Handbook*, **recruiting** is defined as any communication or interaction with potential faculty or non-faculty personnel, including potential students or student-athletes, for the purpose of bringing these individuals into the employ of, or securing their enrollment in, the University (§3.9.3.5).
 - **Academic authority** includes any way in which a faculty member relates to another person affiliated with the University where the faculty member has some authority, influence, or power over that person, including but not exclusive to teaching, mentoring, coaching, advising, recruiting, supervising or evaluating.
 - The **exercise of academic authority** includes (but is not exclusive to) the following on or off campus activities: teaching courses, (i.e., having primary or shared responsibility for the conduct of a course but not, for example, simply delivering occasional guest lectures); grading or otherwise evaluating student work; advising in all its forms, including on formal projects such as a thesis or other research; supervising a research or teaching assistant; serving as an external examiner or member of a thesis committee; performing clinical supervision; and making recommendations or otherwise influencing decisions regarding admissions, employment, tenure and promotions (including service on the Faculty Review Committee), or the awarding of grants, fellowships, or other recognitions; or collaborating on scholarly activity with a student or another faculty member of unequal rank or status. Generally, it is assumed that faculty exercise academic authority over all students in their department or program and their exercise of academic authority may extend to any student within their College or School.
 - The **academic environment** includes any area in which a faculty member would interact with non-faculty personnel, including students, or another faculty member on a professional basis. That includes all professional interactions on any campus associated with the University; interactions at professional meetings; interactions at University sponsored events such as sporting events, field trips, etc.; and more informal interactions that are associated with the faculty member's academic role, such as having students over to dinner.
- **Terms relevant to promotion in rank, tenure, and review:**
 - A **candidate** is an applicant for a faculty position or a faculty member undergoing a review for reappointment, promotion, or tenure, or a senior review.
 - **Criteria** identify areas of performance upon which evaluative judgments are based (§3.9.3).
 - **Evidence** comprises documents and other supportive materials submitted as part of the review dossier file that are used by those charged with making judgments in the faculty review process to determine whether a candidate for review has satisfied the applicable standards for the personnel decision at issue (§3.9.4).
 - **Standards** are qualitative descriptions of performance that establish levels at which criteria must be satisfied in order to warrant favorable personnel judgments (§3.9.5).
 - **Judgments** are personnel recommendations and decisions made by responsible groups (such as the Faculty Review Committee) and individuals (such as an academic dean) in the course of faculty reviews in accordance

with the procedures described in §3.10.

- A ***promotion review*** applies the standards of the rank to which a faculty member seeks to be promoted (§3.9.5).
 - A ***senior faculty review*** occurs periodically for senior faculty members according to the schedule established in §3.10.1. A senior faculty review, as distinguished from a promotion review, applies the standards of the faculty member's current rank (§3.9.10).
 - ***Sustained performance*** is performance that establishes a clear pattern over time (e.g., over the period of time considered in a review). Such a pattern could be a trend (e.g., a trend toward improvement), and it could admit a small number of instances that are inconsistent with the overall direction (e.g., the odd class that does not work well for identifiable reasons). However, *sustained positive performance* (e.g., "sustained outstanding teaching") is consistent with a small number of exceptions only if those exceptions do not themselves constitute or fit into a pattern of problems or issues (e.g., courses that experience problems for similar reasons).
 - A ***tenured appointment*** gives a faculty member the contractual right to continuous service with the University until the faculty member resigns, retires, or otherwise separates from the University (§§3.2.1, 3.2.2, 3.9.7).
 - A ***tenure review*** is a personnel review to determine whether a faculty member meets the standards necessary to receive a tenured appointment (§3.9.7.3).
 - ***Area groups*** are officially formed groups of full-time faculty members who teach within the same or related disciplines. These groups function for the purpose of faculty review in the capacity of "departments" in places where no formal departments exist.
- **Official University personnel files for faculty:**
 - The ***recruitment file*** contains all materials submitted as part of a person's application for a position—including the letter of application, any supplementary materials, confidential letters of recommendation, and official transcripts (§3.4.1).
 - The ***employee personnel file*** contains the University's official permanent employment records for each employee (§3.4.2).
 - The ***Academic Affairs file*** contains the University's official permanent personnel records for all University faculty members (§3.4.3).
 - The ***current review dossier file*** contains materials that are assembled as part of a faculty personnel review (§§3.4.4, 3.9.4).
 - An ***archival review dossier file*** contains materials from a review dossier file that are retained in the Office of Academic Affairs following a review (§3.4.4).
 - An ***EEO file*** contains confidential records of a claim of harassment or discrimination, records of any official investigation of such a claim (including evidence exonerating an accused individual), records of any hearing or other official inquiry, a record of the findings or results of any such investigation or hearing, and any response by an individual who has been accused (§3.4.5).
 - **Terms specifying periods of time:**
 - ***Calendar year*** refers to the period of time from 1 January through 31 December.

- **Academic year** refers to the period of time from 1 September through 31 August; unless otherwise specified, references to a 'year' are references to an academic year.
- **Fiscal year** refers to the period of time from 1 July through 30 June.
- **Class day** refers to any day (including Saturday or Sunday) during which classes are scheduled.
- **Working day** refers to any Monday, Tuesday, Wednesday, Thursday, or Friday during the calendar year that the University is officially open (i.e., when administrative offices such as the Registrar's Office, departmental offices, and the Business Office are staffed and operating).
- **Terms relevant to grievance and disciplinary actions:**
 - A **grievance** is an allegation of a wrong related to the terms and conditions of employment, duties, rights, or professional standards of behavior of faculty members (§3.11) or administrators.
 - A **written reprimand** is a letter to a faculty member from an academic Dean regarding an action(s) that violates standards of professional conduct or some other duty, norm, or expectation established in this *Handbook* (§3.11.2.2.).
 - A **minor administrative sanction** is an administrative response to misconduct that cannot be resolved through consultation and that warrants action beyond a written reprimand (§3.11.2.3).
 - A **major administrative sanction** is an administrative response to serious misconduct (§3.11.2.4).
 - **Summary suspension** is an action taken by the Administration to remove a faculty member from campus for a limited period of time to enhance the safety of the faculty member or other members of the University or to protect the ability of members of the University community to fulfill their duties or carry out their normal functions within the University (§3.11.2.5).
- **Terms relevant to separation from the University:**
 - **Resignation** is a means of separation by which a faculty member ends his or her employment relationship with the University (§3.12.1).
 - **Retirement** is a means of separation by which a faculty member ends his or her employment relationship with the University (§3.12.2).
 - **Nonreappointment** is a means of separation by which the University ends its employment relationship at the conclusion of a contractual term of appointment with a tenure-track faculty member, a regular term faculty member, or a ranked part-time faculty member (§3.12.3).
 - **Termination** is a means of separation by which the University ends its employment relationship with a tenured faculty member or prior to the end of the term of appointment with a tenure-track faculty member, a regular term faculty member, a ranked part-time faculty member, or a special appointment faculty member (§3.12.4). Termination can occur for one of the following three reasons:
 - a) a **bona fide financial exigency**—an imminent financial crisis that threatens the survival of the University as a whole—requiring a reduction in force of faculty (§3.12.4.1),
 - b) the **formal discontinuance of an academic program or department not mandated by financial exigency** entailing a reduction in force of faculty (§3.12.4.2), or
 - c) **disability resulting from physical or mental illness** that makes it impossible for a person to fulfill the essential or inherent duties and responsibilities of a faculty position with or without reasonable accommodations on the part of the University, upon exhaustion or declination of all authorized leaves (§3.12.4.3).
 - **Dismissal for adequate cause** is a means of separation by which the University ends its employment relationship with a tenured faculty member or prior to the end of the term of appointment with a tenure-track faculty member, a regular term faculty member, a ranked part-time faculty member, or a special appointment faculty member. Dismissal can occur only for reasons that are related directly and substantially to the fitness of faculty members in their professional capacities as teachers, researchers or creative artists, and citizens of the University (§3.12.5).

3.1 Faculty Status – Types of Faculty Appointment

The University of Redlands appoints faculty members to one of six types of faculty appointment:

- Tenure-track teaching faculty (§3.1.1),
- Tenured teaching faculty (§3.1.2),
- Regular term faculty (§3.1.3),
- Ranked part-time faculty (§3.1.4),
- Special appointment faculty (§3.1.5), and
- Adjunct faculty (§3.1.6).

The University also reserves the right to assign faculty rank to certain academic administrators (under specified conditions - §§3.2.10, 3.2.10.1) and to acknowledge faculty members who have separated from service with the University following distinguished careers with the honorary designation of Associate Professor or Professor Emeritus (Emerita) (§3.1.7).

Full-time teaching faculty members are defined as those faculty members who are employed by the University to provide

- the equivalent of 24 units per year on a 9-month contract, or
- the equivalent of 30 units per year on an 11-month contract. (See §3.2.8.)

Teaching faculty appointments carry additional expectations of research or creative activity and service. At least one-half of a full-time teaching faculty load is to be actual teaching (§3.6).

Full-time library faculty members are defined as those faculty members who are employed by the University to provide the equivalent of ten (10) or eleven (11) months of service per year. (See §3.2.8.) Library faculty appointments carry additional expectations of research or creative activity and service. (See §3.7.)

Full-time physical education and athletics faculty members are defined as those faculty members who are employed by the University to provide the equivalent of ten (10) or eleven (11) months of service per year. (See §3.2.8.) Physical education and athletics faculty appointments carry expectations of teaching and athletic coaching with additional expectations of research or creative activity and service. (See §3.8.)

To be eligible for University benefit plans, all University employees must meet plan eligibility requirements.

3.1.1 Tenure-Track Teaching Faculty

Tenure-track teaching faculty members are full-time faculty members who hold probationary appointments (§3.2.1) to one of four academic ranks: Instructor, Assistant Professor, Associate Professor, or Professor, and are eligible to stand for tenure (§3.9) at the conclusion of the probationary period.

3.1.2 Tenured Teaching Faculty

Tenured teaching faculty members are full-time faculty members who hold tenured appointments (§§3.2.2 and 3.9) to the rank of Associate Professor or Professor.

3.1.2.1 Endowed or Named Chairs

The University reserves the right to make faculty appointments that carry the additional title of an endowed or named chair. The holder of an endowed or named chair must satisfy the conditions associated with that chair. Typically, though not necessarily, holders of endowed or named chairs will be tenured.

Appointments to endowed chairs are made by the President with the advice of concerned departments or Schools, the appropriate Dean, and the Provost.

The terms of the appointment to an endowed or named chair will be specified in the chair holder's letter of initial appointment or at the time when the faculty member is appointed to the chair. The holder of an endowed chair will receive an annual salary stipend in addition to his or her base salary and an annual discretionary support budget.

3.1.3 Regular Term Faculty

Regular term faculty members are full-time or part-time faculty members who hold renewable appointments and appropriate faculty ranks or titles but are not eligible for tenure. The

University makes five types of regular term faculty appointments:

3.1.3.1 Term Teaching Faculty

Term teaching faculty members are appointed with the title of *Lecturer* or *Senior Lecturer* in accordance with the applicable qualifications and standards for appointment in those ranks (§§3.9.2, 3.9.5).

3.1.3.2 Library Faculty

Library faculty members are ranked faculty members who serve in the Armacost Library or in Regional Centers and are appointed to the rank of Assistant Librarian, Associate Librarian, or Librarian.

3.1.3.3 Physical Education and Athletics Faculty

Physical education and athletics faculty members are ranked faculty members who serve in the Department of Physical Education and Athletics and are appointed to the rank of Instructor, Assistant Professor, Associate Professor, or Professor.

3.1.3.4 Artist Professor

The position of *artist professor* is held by a distinguished artist, writer, or musician who is able to teach effectively and make other contributions to an academic program, but who may not meet the qualifications or criteria for appointment to a ranked faculty position (§3.9). An artist professor carries the equivalent of a full teaching load with other duties as specified in the letter of appointment and as modified by any subsequent letter of reappointment from the Dean or Provost. The minimum term for an artist professor is one academic year.

3.1.3.5 Clinical Professor

The position of *clinical professor* (e.g., clinical professor of education) may be renewable or terminal. It is held by a distinguished practitioner in a field who is able to teach effectively and make other contributions to an academic program, but who may not meet the criteria for appointment to a ranked faculty position. A clinical professor may be full-time or part-time and carries an assigned teaching load and an expectation of departmental or School rather than University service. Other duties will be specified in the letter of appointment and as modified by any subsequent letter of reappointment from the Provost. The minimum term for a clinical professor is one academic year.

3.1.4 Ranked Part-Time Faculty

The University reserves the right, in unusual circumstances, to make renewable faculty appointments with less-than-full-time teaching (or library or coaching) responsibilities with appropriate other responsibilities that carry academic rank and eligibility for promotion through review. Such an appointment will not include tenure or the eligibility for tenure, except in the case of a tenured member of the teaching faculty who accepts an appointment carrying reduced teaching duties.

3.1.5 Special Appointment Faculty

Special appointment faculty members are full-time or part-time faculty members who hold appointments that extend for limited periods of time and typically are non-renewable, with duties that are designated in the letter of initial appointment or as modified in subsequent correspondence from the Dean. They are not eligible for tenure.

The University makes three types of special faculty appointments.

3.1.5.1 Visiting Faculty

The title of *Visiting* is accorded to a person hired to fill a need for a short-term teaching or library position. The University reserves the right to make short-term appointments as Visiting Instructor, Visiting Lecturer, Visiting Assistant Professor (Librarian), Visiting Associate Professor (Librarian), or Visiting Professor (Librarian) in accordance with qualifications and ranks earned through review at a comparable regionally accredited four-year college or university (§§3.3.2.2, 3.9.2).

3.1.5.2 Poet, Writer, Artist, Scholar, Executive, or Scientist in Residence Appointment as a *poet, writer, artist, scholar, executive, or scientist in residence* is held by a distinguished practitioner of an appropriate discipline appointed for a limited term with teaching and other responsibilities specified in a letter of appointment from the Provost. The term of appointment can range from a few days up to one (1) year.

3.1.5.3 Research Associate

In special circumstances (typically involving opportunities for funding from external granting agencies to underwrite a specific research project), the University may appoint a qualified person to the position of *research associate*. The responsibilities of this position will be dependent upon the specific research project with which the person is associated. The initial appointment must be approved by the appropriate Dean with the concurrence of the Provost.

3.1.6 Adjunct Faculty

Adjunct faculty members are occasional University employees holding part-time, limited-term faculty appointments without rank or eligibility for tenure. Adjunct faculty members offer courses that supplement the curriculum offered by the full-time faculty and bring disciplinary expertise or practical experience that benefit the University's students.

The University reserves the right, on rare occasions, to make additional contractual arrangements with adjunct faculty members so that they can perform work beyond the usual scope of an adjunct assignment (e.g., supervising senior projects, academic advising, course development).

Adjunct faculty members are subject to the rights, responsibilities, and standards of professional conduct for faculty as specified in §3.5. Other rights and responsibilities defining the relationship between the University and adjunct faculty members are not treated in this *Handbook* and will be specified in individual contracts and separate statements of University policy.

Adjunct faculty members are hired by departments or Schools on a per-course basis. Their primary obligation is teaching the course(s) for which they are hired; however, College adjuncts also are expected to hold office hours to be available to students outside of class.

Core Adjunct Faculty

Core adjunct faculty members are recognized for their expertise in their disciplines or as practitioners, their commitment to the University, and the effectiveness of their teaching. Core adjunct faculty members may be offered multiple-course contracts. They also may be invited to participate with the full-time faculty in the on-going planning and evaluation of academic programs and their courses; they also may be invited to participate in disciplinary, interdisciplinary, regional, or School-wide meetings. They may be subject to other expectations as defined in their contracts. Core Adjunct Faculty members receive a higher salary than do regular adjunct faculty members.

3.1.7 Faculty Emeritus, Faculty Emerita

The title of *Emeritus* or *Emerita Associate Professor* or *Professor* or *Emeritus(a) Associate Librarian* or *Librarian* is conferred at the discretion of the Board upon full-time Associate Professors or Professors in the teaching faculty, full-time Associate Librarians or Librarians, or full-time Associate Professors or Professors of Physical Education and Athletics who have separated from the University after ten or more years of meritorious service. This honorary designation acknowledges such faculty members for their past contributions and symbolizes their continuing relationship with the University.

Faculty members receiving emeritus(a) status will be designated *Associate Professor (Associate Librarian) Emeritus (Emerita)* or *Professor (Librarian) Emeritus (Emerita)* depending upon their highest earned faculty rank prior to separation from the University.

Emeriti(ae) faculty members maintain a relationship to the University that entitles them to use their academic titles and University stationery in professional correspondence. In doing so, they are subject to the same rules of professional conduct that apply to current faculty members. Questions about the use of the University's name, stationery, etc. will be referred to the appropriate Dean, whose decision is final. Emeriti(ae) may make reasonable use of departmental or School facilities and services as approved by the department chair or Dean; they may have access to other University resources as approved by the appropriate Dean. The University is not able to provide office space for emeriti(ae) faculty members, except in rare cases for Research Professors (§3.1.7.1).

Emeriti(ae) faculty members retain full access to the Armacost Library and hold other University privileges as well. They remain on University mailing lists and continue to receive invitations to University social and cultural events to

which active faculty members are invited. They also remain eligible for any University discounts extended to the active faculty (e.g., on tickets to University events). They may participate in official University functions (e.g., Commencement) at their discretion and may be invited to other events as well. The University may initiate special programs for the emeriti faculty from time to time.

Attaining emeritus or emerita status

Emeritus or emerita status is not conferred automatically when an eligible faculty member terminates his or her employment with the University. The process of conferring emeritus(a) status is initiated by a recommendation to the appropriate Dean from the program or department in which the faculty member served. This recommendation reviews the faculty member's record of service and accomplishments and makes the case that the record is sufficiently meritorious to warrant conferring the honor. The Dean forwards the recommendation to the Faculty Review Committee, which in turn makes its own recommendation to the Provost. Having considered the recommendations of the department or School, the Faculty Review Committee, and the Dean, the Provost makes her or his recommendation to the President, who makes an administrative recommendation to the Academic Affairs Committee of the Board of Trustees. The Board makes the final decision.

3.1.7.1 Research Professor

In special circumstances (typically involving opportunities for funding from external granting agencies to underwrite a specific research project), the University reserves the right to assign to an emeritus or emerita faculty member the additional title of *Research Associate Professor* or *Research Professor*. Appointment as a Research Associate Professor or Professor carries a two- year term and is renewable upon application by the faculty member, with the support of the department, to the appropriate Dean. Reappointment is contingent upon evidence of continued active research and efforts to obtain external funding. This title does not carry with it either compensation or benefits.

Although no longer an employee of the University, in conjunction with external funding and continuing research, a Research Associate Professor or Professor is eligible for University support beyond the level typically provided for emeriti(ae) faculty—e.g., office space, use of a computer, access to student workers. Such support is contingent upon availability and must be negotiated between the Research Professor and her or his sponsoring department, with the approval of the department chair and the Dean. Research Professors are eligible to apply for University research funding.

Eligibility

Emeriti(ae) Professors and Associate Professors are eligible to apply for the title of Research Professor if they

- are actively seeking external funding to support continuing research or creative activity,
- have departmental or programmatic support for the appointment, and
- remain willing to teach courses occasionally for the sponsoring department or School (for appropriate compensation).

Application

Emeritae or emeriti faculty seeking the additional title of Research Associate Professor or Professor or the renewal of such an appointment must apply to the Dean. The Dean then consults with the appropriate department (to ensure that the department supports the appointment) and forwards his or her recommendation to the Provost who makes the final decision with the concurrence of the President.

3.2 Faculty Contracts and Terms of Appointment

A *faculty contract* is a written agreement between an individual faculty member and the University. There are six types of faculty contracts: tenure-track teaching faculty, tenured teaching faculty, regular term faculty, ranked part-time faculty, special appointment faculty, and adjunct faculty (§3.1). Only the first five types of contracts are treated here; adjunct faculty contracts are described in a separate publication. Offers of faculty employment are subject to approval by the Provost with the concurrence of the President.

The rights, duties, responsibilities, and standards of professional conduct applicable to the University faculty are described in §§3.5, 3.6, 3.7, and 3.8. Criteria and standards for reappointment, promotion, and tenure are described in §3.9. Normal procedures for faculty review are stated in §3.10; exceptions to normal review procedures based on type of appointment are stated below. All faculty appointments other than tenured appointments are subject to nonreappointment, with notice according to the provisions of §3.12.3. Any person employed by the University in a faculty appointment is subject to disciplinary action, suspension, termination, or dismissal according to the provisions of §§3.11 and 3.12 of this *Handbook*.

Members of the faculty employed under the terms and conditions of previous *Handbooks* will retain their current

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contractual status (except as modified in correspondence from the appropriate Dean or the Provost), earned rank, tenure status, salary level, and credit for prior years of University service with the adoption of this *Faculty Handbook*; however, they become subject to the terms and conditions of this *Handbook*.

Definitions of terms

- A *renewable contract* is a contract that includes the possibility of reappointment.
- A *terminal contract* is a contract that does not include the possibility of reappointment (see §3.12.3).

The letter of initial employment

The specific terms and conditions of every appointment to the University faculty will be stated in writing in a letter of initial employment. Any special notices required of the faculty member or the University will be stated in writing. Letters of initial appointment are signed by the Provost. Official correspondence modifying a faculty member's employment status is signed by the Dean or Provost. The appropriate department chair(s) will be informed in writing of all terms and conditions of the contract except salary. A copy of the letter of initial appointment will be provided to the faculty member, and a copy will be placed in the faculty member's Academic Affairs file (§3.4.3) and employee personnel file (§3.4.2).

The *letter of initial appointment* will include the following information:

- type of appointment—tenure track, tenured, regular term, ranked part-time, or special appointment,
- assigned academic rank and level (with acknowledgment of years of credit for prior service, if applicable),
- length of the first appointment and indication whether the appointment is renewable or terminal,
- time to the first review, if applicable,
- time to review for tenure or promotion, if applicable,
- starting annual base salary and any other salary conditions, if applicable,
- reference to University benefits with the statement that the person must meet any applicable eligibility criteria for benefits to apply,
- assigned area(s) of responsibility including any special conditions or expectations, if applicable,
- any other special conditions or expectations associated with the appointment,
- moving allowance, if applicable (as determined by University policy), and
- acknowledgment of any special contractual arrangements (e.g., provision for a computer, start-up research funds), if applicable;
- a statement referencing Chapter 3 of the *Handbook*, with the provision that the faculty member and the University shall adhere to the policies and procedures set forth in this Chapter of the *Handbook*, will be included in all review letters.

Additional contractual correspondence

From time to time, faculty members may receive official University correspondence confirming, extending, or modifying their employment status (e.g., a letter confirming that a faculty member has been promoted), or stating any special understandings relevant to conditions of employment or employment status. A copy of any such letter will be provided to the faculty member, and a copy will be placed in the faculty member's Academic Affairs file (§3.4.3) and employee personnel file (§3.4.2).

Appointment in rank

At the time of initial appointment, the Provost will approve academic rank and placement for faculty based upon the recommendation of the appropriate Dean. The Dean makes this recommendation after verifying that the appointee satisfies the applicable qualifications, criteria, and standards for appointment in rank (§3.9) and after considering other factors relevant to placement (§3.3.2).

The annual salary letter

Annually, each faculty member will receive a salary letter that states the faculty member's current salary, tenure status, rank, and level in rank. Annual salary letters are signed by the appropriate Dean or Provost. Copies of annual salary letters will be placed in the faculty member's Academic Affairs file and employee personnel file.

Additional information

From time to time, as appropriate, the Office of Academic Affairs will provide faculty members with additional information regarding their contractual status such as the year of the next scheduled review (if applicable) or the year of the next scheduled eligibility to apply for sabbatical (if applicable).

3.2.1 Tenure-Track Contracts, Probationary Appointments

Faculty members eligible for tenure receive *tenure-track contracts* and hold *probationary appointments* until they either receive tenure or separate from the University. (The only exception to this policy is treated in §3.2.2.1.) The meaning of tenure and the criteria and standards for reappointment, promotion, and tenure are treated in §3.9.

Faculty members eligible for tenure may be appointed to the rank of Instructor, Assistant Professor, Associate Professor, or Professor, upon consideration of their qualifications and experience relative to the standards for appointment in rank (§§3.9.2 and 3.9.5).

The term of an initial full-time tenure-track contract will be three (3) years unless otherwise specified in the letter of initial appointment; the appointment automatically expires at the end of that term unless it has been renewed. The term of the initial appointment may not exceed three (3) years. A tenure-track appointment is renewable up to a total of seven (7) years—i.e., a maximum of six (6) years prior to and including the year of the tenure decision (see below) plus one (1) additional terminal year in the case of a negative tenure decision. See §3.9.2.2 for restrictions on the length of time a person may hold a probationary appointment as an Instructor without completing the terminal degree.

A probationary faculty member's time to the tenure decision will be stated in the letter of initial appointment. Faculty members holding tenure-track contracts will undergo periodic review as specified in (§3.10.1).

To be eligible to be considered for promotion or tenure, full-time members of the teaching faculty must carry a minimum of a half-time teaching load (§§3.6.1.1 and 3.6.1.3), with the remainder of the load assigned to other academic duties to constitute an equivalent full-time load, in four (4) of the six (6) years preceding the review for promotion or tenure.

A faculty member undergoing an unsuccessful tenure review will receive notice according to the provisions of §3.12.3 and will be allowed to complete the final year of the probationary appointment.

A probationary appointment is made with the understanding that both the University and the probationary faculty member will engage in a period of mutual evaluation—the *probationary period* (see below)—leading to the tenure decision. Probationary faculty members enjoy the same professional rights and are subject to the same duties, responsibilities, and standards of professional conduct as tenured faculty members (§§3.5 and 3.6).

The probationary period

The *probationary period* is the time when a faculty member holds a full-time, tenure-track teaching faculty appointment leading up to and including the tenure decision. It provides faculty members the time necessary to demonstrate that they have met the standards for tenure (§3.9.7.3) while giving faculty and administrative colleagues the opportunity to observe and evaluate their performance.

The length of the probationary period

The probationary period extends for six (6) years unless it is reduced by contract in recognition of prior teaching or relevant professional experience. However, the probationary period may never be reduced to fewer than four (4) years of a full-time teaching appointment at the University. The precise terms of any credit given for previous experience and the consequent length of the probationary period to be served at the University will be specified in a probationary faculty member's letter of initial appointment.

The probationary period may not exceed six (6) years at the University except in extraordinary circumstances with the concurrence of the faculty member and the Dean. For example, the probationary period may of necessity extend beyond six years following a successful appeal (§3.10.10) of a negative tenure decision that leads to a second tenure review, or the Dean may accept a faculty member's request that the time of an extended family or medical leave not count toward promotion or tenure, thereby temporarily "stopping the tenure clock" and so extending the probationary period. Any extension of the probationary period beyond six (6) years requires the explicit, written agreement of both the probationary faculty member and the Dean that the extension does not *de facto* confer tenure upon the faculty member.

The University reserves the right, on rare occasions, to recognize a probationary faculty member's superior performance by considering her or him for tenure (or for promotion and tenure) before the scheduled time.

However, as indicated above, the probationary period may never be reduced to fewer than four (4) years. With the concurrence of the faculty member, the appropriate Dean recommends such a course of action to the Provost, whose decision on accelerating the timing of the tenure review is final.

Time to promotion vs. time to tenure

The length of the probationary period and the time to the first review for promotion in rank may be different. For example, because of credited previous experience a newly appointed faculty member could be eligible for promotion in rank in the second year but would not be eligible to stand for tenure until the fourth year of her or his University

appointment.

Severance during the probationary period

If a probationary faculty member decides not to accept a renewal of his or her appointment, he or she should give notice to the University in writing at the earliest possible opportunity. If a probationary faculty member is not reappointed by the University, he or she will receive notice of nonreappointment as specified in §3.12.3.

3.2.2 Tenured Appointments

A *tenured appointment* gives a faculty member the contractual right to continuous service with the University until the faculty member resigns, retires, or otherwise separates from the University. Typically, a tenure contract is granted to a faculty member following a successful tenure review at the end of a probationary contract. The meaning of tenure and the criteria and standards for tenure are treated in §3.9.

Faculty members holding tenured appointments will undergo periodic senior faculty review as specified in §3.10.1. The criteria and standards for promotion and senior faculty reviews are treated in §3.9.

3.2.2.1 Initial Appointment with Tenure

The University reserves the right, in exceptional cases, to grant tenure to an incoming member of the faculty at the time of initial appointment. This departure from the usual practice is justified only on the basis of extensive prior experience—including a successful tenure review at a comparable regionally accredited four-year college or university—and in consideration of the position to which the person is being appointed (e.g., an endowed chair or some other comparable senior position).

In such cases, the Dean consults with the search committee in determining whether to recommend that tenure accompany the appointment. Prior to making this decision, the Dean will submit the credentials of the candidate to the Faculty Review Committee for its evaluation and recommendation and then will review the matter with the Provost and the President. If the department or School, Faculty Review Committee, the Dean, the Provost, and the President concur, an initial appointment with tenure can be made. Subsequently, the President or, at the President's request, the Provost or the Dean will review the case with the Academic Affairs Committee of the Board at its next scheduled meeting.

3.2.3 Regular Term Faculty Appointments

The term of an initial full-time *regular term faculty appointment* will be three (3) years unless otherwise specified in the letter of initial appointment; the appointment automatically expires at the end of that term unless it has been renewed. The term of the initial appointment may not exceed three (3) years. Faculty members holding regular term appointments are not eligible for tenure. Full-time term contracts can be renewed as one-, two-, three-, or (in the case of Librarians and members of the Physical Education and Athletics Faculty) six-year appointments according to the schedule of reviews provided in §3.10.1, in accordance with the criteria and standards specified in §3.9.

As indicated in §3.10.1, a faculty member holding a regular term faculty appointment as a member of the Library Faculty or as a member of Physical Education and Athletics will be reviewed in the sixth (6th) year of full-time employment at the University for the first six-year contract, unless the required number of years has been reduced by contract in recognition of prior teaching or relevant professional experience. However, this period may never be reduced to fewer than four (4) years of full-time service at the University.

For term contract faculty members eligible for promotion in rank and six-year contracts, the length of time to the first review for promotion in rank may be different from the time to review for the first six-year contract.

For example, because of credited previous experience a newly appointed faculty member could be eligible for promotion in rank in the second year but would not be eligible for review for the first six-year contract in fewer than four years.

If a term faculty member decides not to accept a renewal of his or her appointment, he or she should give notice to the University in writing at the earliest possible opportunity. If a term faculty member is not reappointed by the University, he or she will receive notice of nonreappointment as specified in §3.12.3.

3.2.3.1 Term Teaching Faculty – Lecturer, Senior Lecturer

The term of an initial full-time *appointment as a Lecturer or Senior Lecturer* will be for three (3) years or as specified in the letter of initial appointment.

The standard duties and responsibilities (the “*duties*”) of Lecturers emphasize teaching (§§3.6.1, 3.9.3.1) and do not include the normal expectations for research or creative activity and University service. Therefore, such contracts typically carry teaching responsibilities that extend beyond the teaching load normally assigned to probationary or tenured faculty members (§§3.6.1.1, 3.6.1.3). A Lecturer is expected to perform service at the level of the department, program, or School. On occasion, Lecturers may be assigned other faculty responsibilities.

A Lecturer holding a renewable three-year appointment will undergo review for reappointment in the second year of that contract. Lecturers holding renewable one- or two-year appointments will undergo review as specified in their letters of initial appointment. Lecturers holding renewable one – or two-year appointments will undergo review as specified in their letters of initial appointment.

A Senior Lecturer I or II holding a renewable four-year appointment will undergo review for reappointment in the third year of that contract.

A Senior Lecturer III, IV or V holding a renewable seven-year appointment will undergo review for reappointment in the sixth year of that contract.

The criteria and standards for reappointment as Lecturer are stated in §3.9.5.1. The criteria and standards for reappointment as Senior Lecturer are stated in §3.9.5.2. In evaluating the credentials of a candidate for Senior Lecturer (§3.9.5.2), the Dean will consult with the appropriate department chair and the Faculty Review Committee. With their concurrence, the Dean makes a recommendation regarding this promotion to the Provost, whose decision is final.

3.2.3.2 Library Faculty

The term of an initial full-time *appointment as a member of the library faculty* will be three (3) years unless otherwise specified in the letter of initial appointment. The term of the initial appointment may not exceed three (3) years.

The specific duties and responsibilities (the “*duties*”) of the library faculty are specified in §3.7. Library faculty members undergo periodic review for contract renewal according to the schedule specified in §3.10.1. The criteria and standards for reappointment are stated in §3.9. In the sixth (6th) year of service, a member of the library faculty becomes eligible for consideration for a six-year contract.

3.2.3.3 Physical Education and Athletics Faculty

The term of an initial full-time *appointment as a member of the physical education and athletics faculty* will be three (3) years unless otherwise specified in the letter of initial appointment. The term of the initial appointment may not exceed three (3) years.

The specific duties and responsibilities (the “*duties*”) of the physical education and athletics faculty are specified in §3.8. Physical education and athletics faculty members undergo periodic review for contract renewal according to the schedule specified in §3.10.1. The criteria and standards for reappointment are stated in §3.9. In the sixth (6th) year of service, a member of the physical education and athletics faculty becomes eligible for consideration for a six-year contract.

3.2.3.4 Artist Professor

The term of an initial full-time *appointment as artist professor* will be three (3) years unless otherwise specified in the letter of initial appointment.

The specific duties and responsibilities (the “*duties*”) of an artist professor and conditions of renewal are stated in the letter of initial appointment or as modified in subsequent correspondence from the Dean.

Artist professors undergo periodic review for contract renewal according to the schedule specified in §3.10.1.

3.2.3.5 Clinical Professor

The term of an initial full-time *appointment as clinical professor* will be three (3) years as specified in the letter of initial appointment.

The specific duties and responsibilities (the “*duties*”) of a clinical professor emphasize teaching and departmental service as specified in the letter of initial appointment. Details of a faculty member’s load may be modified by the Dean. Unless otherwise specified in the letter of initial appointment or subsequent correspondence from the Dean, clinical professors are not subject to the normal expectations for research or creative activity or University service. A clinical professor is expected to perform service at the level of the department, program, or School.

Faculty members holding renewable full-time appointments as clinical professors will undergo periodic review as specified in §3.10.1. A clinical professor holding a renewable three-year appointment will undergo review for reappointment in the second year of that contract. Faculty members holding part-time appointments as clinical professors will undergo departmental or School reviews on a schedule specified in the letter of initial appointment or as modified in subsequent correspondence from the appropriate Dean. Reappointment will occur at the discretion of the Dean.

3.2.4 Ranked Part-Time Faculty Appointments

The term of an initial appointment as a *ranked part-time faculty member* will be for one (1), two (2), or three (3) years as specified in the letter of initial appointment. The term of the initial appointment may not exceed three (3) years. Such contracts can be renewed as one-, two-, three-, or six-year appointments on the basis of reviews that occur according to the schedule provided in §3.10.1 (as if the person held a full-time, tenure-track or tenured appointment). Unless otherwise stated in the letter of initial appointment or modified in subsequent correspondence from the Dean, a ranked part-time faculty member will follow the review schedule applicable to a probationary or tenured faculty member of comparable rank.

Except in the case of a tenured faculty member who has accepted a part-time ranked faculty position, ranked part-time faculty are ineligible for tenure. A faculty member on a part-time contract typically will not be eligible for University benefits.

3.2.5 Special Appointment Faculty Contracts

The term of an initial *special appointment faculty member* will be stated in the letter of initial appointment according to the guidelines specified below. The term of the initial appointment may not exceed three (3) years. A special appointment faculty contract automatically expires at the end of its term unless it has been renewed. A special appointment faculty contract may be renewable or terminal, as specified in the letter of initial appointment.

3.2.5.1 Visiting Faculty

The term of an initial *appointment as a visiting faculty member* will be one (1) semester (or one-half year), one (1) year, two (2) years, or three (3) years. The term of the initial appointment may not exceed three (3) years. An appointment as a visiting faculty member automatically expires at the end of its term and normally will not be renewable. Exceptions will be noted in the letter of initial appointment or as modified in subsequent correspondence from the Dean.

Reappointment of a visiting faculty contract (if possible) requires approval of the Dean. The total duration of a visiting faculty appointment (including renewals) may not exceed six (6) years.

3.2.5.2 Poet, Writer, Artist, Scholar, Executive, or Scientist in Residence

The term of *appointment for a poet, writer, artist, scholar, executive, or scientist in residence* may be from a few days up to one (1) year; the appointment automatically expires at the end of that term. Appointments as poet, writer, or artist in residence normally are not renewable; exceptions will be specified in the letter of initial appointment. The responsibilities of such an appointment are specified in the letter of initial appointment. Renewal of an appointment as a poet, writer, or artist in residence requires approval of the Dean.

3.2.5.3 Research Associate

The term of *appointment for a research associate* extends for a designated period from one semester (or one-half year) up to three (3) years and automatically expires at the end of that period. The term of the initial appointment may not exceed three (3) years. Such an appointment may be terminal or renewable, as specified in the letter of initial appointment or as modified in subsequent correspondence from the Dean.

The responsibilities of a research associate will depend upon the specific research project with which the person is working and must be approved by the Dean. The responsibilities will be specified in the letter of initial appointment or as modified in subsequent correspondence from the Dean.

A research associate with a renewable appointment may be reappointed to additional one (1)- or two (2)- year terms upon application by the faculty member to the appropriate Dean, with the support of the sponsoring department or School. Reappointment is contingent upon evidence of successful research, the existence of continued funding, and the approval of the Dean.

3.2.6 Shared Appointments

The University reserves the right, under unusual circumstances, to make a *shared appointment* of two persons to a single faculty position in any of the categories specified in §§3.1.1 - 3.1.5. In such an appointment, the terms and conditions of the appointment and the application of those terms and conditions to each of the two individuals involved will be specified in letters of initial appointment or as modified by subsequent correspondence from the Dean or the Provost. Persons holding shared appointments as ranked faculty members will be subject to review according to the schedule appropriate to the ranks they hold (§3.10.1).

Persons holding shared appointments may or may not be eligible for University benefits.

3.2.7 The Primary Area of Appointment

Every member of the faculty is appointed to a primary academic department or School. If a faculty member has responsibilities in more than one department or School, the Dean (or Deans), in consultation with the faculty member and the Provost, will assign the faculty member a primary home for purposes of initiating the review process, with the understanding that the members of all involved areas will contribute letters of evaluation (§3.10.4). This assignment will be reflected in the letter of initial appointment.

Unless otherwise noted, the library faculty and the physical education and athletics faculty are members of the College of Arts and Sciences with all rights, responsibilities, and privileges associated therewith.

3.2.8 The Annual Term of a Faculty Contract, Starting Dates

Full-time faculty contracts extend for nine (9), ten (10), or eleven (11) months per year. The term of an individual faculty contract will be specified in the letter of initial appointment, in subsequent letters of reappointment or other correspondence from the Dean or Provost, and in the annual salary letter.

The *term of an annual faculty contract* designates a period of specific obligations to the University such as teaching scheduled courses and carrying out service. Faculty members may (and in most cases will) need to use part of the time in which they are not specifically under contractual obligation to fulfill other responsibilities (e.g., research or creative activity, revision of courses, development of new professional skills) that relate directly to a faculty appointment.

Full-time faculty members remain eligible for University benefits (Ch. 4) during any months during which they do not have contractual obligations (e.g., June, July, and August for College faculty members on standard teaching faculty contracts; negotiated periods of time in the Schools) provided that their appointment with the University continues into the next academic year. Faculty members who separate from the University will receive all salary and benefits owed to them by or on the date of separation.

The *starting date* for an individual contract of employment will be specified in the letter of initial appointment. Unless otherwise specifically defined in an individual letter of appointment, starting dates for teaching faculty in the College of Arts and Sciences will coincide with the beginning of the academic year and contracts for teaching faculty in the School of Business and the School of Education will coincide with the beginning of the fiscal year. Starting dates for library faculty members and physical education and athletics faculty members will vary according to the time of year of the appointment and the needs of the program. Ending dates of contracts (if applicable) also will be specified in the letter of initial appointment or modified in subsequent letters of reappointment or other correspondence from the Dean or Provost.

The *standard annual contractual term for the teaching faculty in the College of Arts and Sciences and the teaching faculty in School of Business* is nine (9) months. In the College, the contractual term extends from the beginning of the academic year through Commencement. In the School of Business, the term comprises nine (9) months during a single fiscal year, with the specific months determined by the Dean in consultation with faculty members in advance of each fiscal year. Any modifications of the standard contractual term will be specified in writing by the Provost in the letter of initial appointment or in subsequent correspondence from the Dean or the Provost. The term of an individual contract

may be modified only with the agreement of the faculty member and the approval of the Dean, with the concurrence of the Provost.

The *standard annual contractual term for the teaching faculty in the School of Education* is eleven (11) months, extends from the beginning to the end of the fiscal year, and will be further defined by individual contract. However, School of Education faculty members are also eligible to enter into nine (9)- and ten (10)- month contractual relationships with the University. Any modifications of the standard annual contractual term or starting date will be specified in writing by the Provost in the letter of initial appointment or in subsequent correspondence from the Dean or the Provost. The term of an individual contract may be modified only with the agreement of the faculty member and the approval of the Dean, with the concurrence of the Provost.

The *standard annual contractual term for the library faculty* is eleven (11) months per year. Library faculty members may receive a ten (10)-month contract with the approval of the Director of the Library and the Provost. The term of an individual contract may be modified only with the concurrence of the faculty member, the Director of the Library, and the Provost.

The *standard annual contractual term for the physical education and athletics faculty* is eleven (11) months per year. A Physical Education and Athletics faculty member may receive a ten-month contract with the approval of the Director of Physical Education and Athletics, the Vice President and Dean of Student Life, the Dean of the College of Arts and Sciences, and the Provost. The term of an individual contract may be modified only with the concurrence of the faculty member, the Director of Physical Education and Athletics, the Vice President and Dean of Student Life, the Dean of Arts and Sciences, and the Provost. The dates of the annual one-month noncontractual period will be negotiated between the faculty member and the Director of Athletics.

3.2.9 Retention of Academic Rank and Tenure by University Faculty Members Who Accept Administrative Assignments

From time to time, University faculty members may receive part-time or full-time administrative assignments.

3.2.9.1 Retention of Academic Rank, Tenure, and Eligibility for Promotion by University Faculty Members Who Accept Part-Time Administrative Assignments

Ranked faculty members who receive part-time administrative appointments—i.e., appointments that entail half-time or less administrative work (§3.6.3)—retain their faculty contracts as augmented in some cases to reflect their administrative duties, along with full faculty rights (e.g., retention of rank and tenure). Unless otherwise specified in modifications to their contracts signed by the Provost, such faculty members remain eligible for sabbatical leave, senior review, and review for promotion in academic rank according to the normal schedule.

3.2.9.2 Retention of Academic Rank and Tenure by University Faculty Members Who Receive Full-Time Administrative Assignments

University faculty members who receive appointment to full-time administrative positions—i.e., positions entailing more than half-time administrative work—move automatically to administrative contracts. Exceptions to this policy must be approved by the Provost.

Faculty members serving in administrative positions will be subject to the University rules and policies applicable to other administrative personnel.

At the time of an initial administrative appointment or subsequently, the Dean, the Provost, or, if necessary, the President will state in a letter of understanding the conditions under which the person will return to the faculty and whether the time spent as an administrator will count toward promotion, tenure, or the next sabbatical leave. Faculty members holding full-time administrative appointments are ineligible for promotion in academic rank during their terms of administrative service.

Faculty members who accept administrative appointments retain their current academic rank and tenure provided they teach at least one course at the University every three (3) years. Full-time administrators lose their faculty rank and tenure at the beginning of the fourth academic year in which they have not satisfied this requirement.

3.2.10 Faculty Rank and Retreat Rights or Tenure for Administrators

The University does not ordinarily appoint members of the Administration with faculty rank. Nor does an administrator receive faculty rank by virtue of teaching part-time for the University. However, in accordance with §3.2.10.1, administrators possessing the requisite qualifications and meeting applicable standards (§§3.9.2, 3.9.5, 3.9.8, 3.9.9) are eligible for appointment with faculty rank, and in addition they may also be given retreat rights to join the faculty following the successful completion of their administrative assignment, including tenure or the possibility of standing for tenure after a designated interval.

3.2.10.1 Assignment of Faculty Rank to Administrators

The President, in consultation with the appropriate Dean and the Provost, has the authority to assign to an administrator a faculty rank that was earned through a faculty review at a comparable regionally accredited four-year college or university. At its discretion, the Board of Trustees may assign to the President an appropriate faculty rank, either at the time of hire or subsequently.

To retain an academic rank, an administrator must teach at least one course at the University every three years; administrators lose their academic rank at the beginning of the fourth academic year in which they have not satisfied this requirement. Administrators holding academic rank are ineligible for promotion in academic rank during their terms of administrative service.

3.2.10.2 Retreat Rights or Tenure for Administrators

Administrators who are not already tenured faculty members at the University do not ordinarily receive tenure either at the time of their initial administrative appointments or during their terms as administrators. However, the President has the authority to assign retreat rights or tenure to an administrator, either at the time of initial appointment or subsequently.

An administrator hired with retreat rights is eligible to assume a faculty position and, in some cases, subsequently stand for tenure (after the usual four-year probationary period, §3.2.1).

Prior to such an action, the President, the Provost, or the appropriate Dean will consult with the relevant department or School (as early in the hiring process as possible if the decision is made at the time of hire) to enable the department or School to review the candidate's academic credentials, to meet with the candidate (if possible), and to make a recommendation on the case.

When an administrator is granted retreat rights, the appropriate Dean, the Provost, or the President will state in a letter of understanding the conditions under which the administrator may join the faculty at the conclusion of the administrative appointment. The terms of any such arrangement must be approved by the President.

An administrator hired with tenure is eligible to assume a tenured faculty position upon completing her or his administrative assignment. Prior to making a decision to award tenure at time of hire, the President or Provost, in addition to consulting with the relevant department or School, will submit the candidate's credentials to the Faculty Review Committee for its evaluation and recommendation. If the department or School, the Faculty Review Committee, the Provost, and the President concur, an initial appointment with tenure can be made. Subsequently, the President or Provost will review the case with the Academic Affairs Committee of the Board of Trustees.

3.3 Search, Appointment, and Placement in Rank

The University seeks to recruit faculty members who will

- satisfy the specific criteria expressed in the position description,
- bring increased disciplinary strength to the recruiting department or School,
- sustain, and where possible increase, the intellectual, ethnic, gender, or cultural diversity of the faculty and in doing so bring new perspectives and breadth of vision to a department or interdisciplinary program, the college or School of appointment, and the University as a whole,
- remain committed to enhancing the academic success of their students,
- remain committed to their own professional development,
- demonstrate a commitment to the shared work of the faculty by participating actively in departmental, School, college, and University service,
- demonstrate the potential to meet applicable criteria and standards of faculty performance and so succeed in achieving tenure and promotion, and
- embrace the overall educational mission of this University as a liberal arts university.

In order to ensure the greatest possibility of hiring the most qualified faculty members, ranked tenure-track and tenured teaching faculty positions as well as renewable ranked full-time term faculty positions (§§3.1.1 - 3.1.3) will normally be filled through national searches according to procedures summarized below (§3.3.1). Regional searches may be approved in exceptional circumstances. The scope of any faculty search must be approved by the appropriate Dean with the concurrence of the Provost.

3.3.1 Search Procedures

Since search procedures are not part of the contractual relationship between the University and a member of the faculty, they are specified in a separate University document. However, the process of faculty hiring is sufficiently important to merit including here the following summary of those procedures.

Prioritization and approval of positions

Faculty positions are allocated by the Administration with the advice and consultation of the faculty through the governance process of prioritizing faculty positions. When a position is allocated to a department or School, the appropriate Dean so informs the department chair or appropriate faculty members and authorizes the writing of a preliminary position description following the definition of the position recommended by governance committees, as approved by the Administration, and in accordance with University guidelines. The Dean then reviews the draft position description and suggests any revisions that may be needed. The Dean must approve the position description and any advertising copy before the position may be advertised; advertising copy also must be approved by the EEO Manager. The Dean then authorizes the department or School to advertise the position.

Constituting the search committee

The department chair and others as appropriate confer with the Dean, making any recommendations they see as appropriate concerning the membership of the search committee to ensure that the committee includes persons with the necessary expertise to select the candidate who best satisfies the criteria of the position description. Every search committee must include at least one member from outside the hiring department or School and one or two students. Committees may include additional members (e.g., faculty or administrative colleagues) depending upon the nature of the position being searched for and the expertise that the outside members would contribute. The Dean appoints the chair and the members of the search committee seeking to meet the needs and interests of the School or the department and the College, with the ultimate goal of conducting a successful search. All members of the search committee (including student members) are full voting participants in the search process. The chair of the search committee is responsible for seeing to it that appropriate procedures are followed throughout the search.

Launching the search

When the search committee is ready to begin its work, the Dean or the Associate Dean and a representative from the Department of Human Resources meet with the search committee and the department secretary (or whoever will provide staff support) to launch the search. At that first meeting, the Dean or Associate Dean reviews the position description with the committee and discusses not only the disciplinary factors that define the job description but also the broader School, college, and University expectations for the faculty. The academic administrator and the human resources representative also review search procedures, equal employment opportunity guidelines, and any other relevant procedural issues (e.g., maintaining confidentiality). The academic administrator will also discuss with the committee strategies for attracting candidates who would increase the diversity of the faculty.

Review of recruitment files, selection of finalists

After discussing the criteria to be used in the search, the committee reviews the applications and selects from them a short list of semi-finalist candidates. Depending on standard practices within the discipline and the timing of national meetings, the Dean may authorize committee interviews of semi-finalist candidates at a disciplinary conference (usually by two members) or phone interviews (which should involve the entire committee). From those interviews, the committee recommends to the Dean two or three acceptable candidates for on-campus interviews. The Dean reviews the committee's recommendation before authorizing the committee chair to extend invitations for on-campus interviews. If necessary, the Dean will meet with the committee at this time to discuss the committee's preliminary ranking of candidates.

Approved candidates are then invited for on-campus interviews during which they will meet with the search committee, other members of the department or School and additional interested faculty members, students, the Dean, the Provost, and in most cases with the President. Candidates are expected to teach a representative class and deliver a research presentation or artistic performance so that the search committee, other faculty members, and students can evaluate these fundamental aspects of their professional competence.

After completing the on-campus interviews, the search committee assembles to rank the final candidates. The Dean may be invited or may elect to meet with the committee to deliberate with it or otherwise discuss its recommendations. The Dean will also discuss with the committee chair any further background checks that might

be required before an offer is extended. At the conclusion of this stage of the search, the committee will agree upon a final ranking of candidates.

3.3.2 Appointment Procedures, the Offering of Contracts

When the search committee has ranked the final acceptable candidates, the chair of the search committee informs the Dean of the committee's recommendation. If the Dean has questions about the recommendation, the Dean may return to the committee for further discussion. In any event, the Dean has final responsibility to recommend a candidate to the Provost.

3.3.2.1 Verification of Credentials

The appropriate Dean (working with the Office of Academic Affairs) will verify that the appointee meets the applicable qualifications and standards for appointment in rank (§§3.9.2, 3.9.5, 3.9.8, 3.9.9) and (working with the Department of Human Resources) will confirm the candidate's employment record. In the case of disputed credentials or questions of equivalency (e.g., whether a particular degree from a foreign university is equivalent to the terminal degree required for a given position), the Dean's decision is final. In such cases the Dean will notify the department or School faculty of his or her decision. If the candidate is hired, the Dean will note the decision in the letter of initial appointment so that the question of credentials does not become an issue in subsequent personnel reviews.

Final acceptance of a signed contract by the University is contingent upon receipt of formal verification of earned degrees, confirmation of the employment record, and provision of any other credentials requested by the Dean.

Any material omissions or misrepresentations on a letter of application, *curriculum vitae*, or supplementary materials submitted for consideration of employment (or, later, for consideration of reappointment, promotion, or tenure), whether made or omitted knowingly or unknowingly, will be cause for immediate dismissal from the University (§3.12.5) at any time during the period of employment, regardless of the time elapsed before discovery.

3.3.2.2 Placement in Rank and Level, Review Schedule

The Dean recommends to the Provost the placement in academic rank and level and the schedule of reviews (including time to the first promotion review and tenure review, if applicable, according to the principles established in §3.10.1) for the candidate to be hired. The Provost has final authority to determine placement and the schedule of reviews.

Qualifications for rank

Persons will be assigned to academic rank in accordance with the minimum required qualifications specified in §3.9.2 and the standards for appointment in rank (§§3.9.5, 3.9.8, 3.9.9).

Credit in rank for prior teaching (library) experience

The Dean has the authority to recommend up to one (1) year of credit in rank and level for every one (1) year of full-time teaching (library work). In deciding how much credit for previous teaching (library) experience to recommend, the Dean will consider the relevance of the prior teaching to the University's needs, the type of institution(s) at which the person taught (served), and the requirements of the position being filled by the appointee.

If a faculty member who previously held a full-time regular term contract position with the University is subsequently appointed to a tenure-track position, the Dean may recommend granting credit for part (or all) of the time served in the term appointment in determining the length of the probationary period.

The amount of credit granted for prior teaching experience, if any, will be stated in the letter of original appointment.

Credit in rank for prior professional experience

The Dean has the authority to recommend up to one (1) year of credit in rank and level for every two (2) years of appropriate professional non-academic experience, up to a maximum of four (4) credited years. In evaluating an entering faculty member's request to receive credit for prior service, the Dean will consult with the chair of the search committee and the relevant department or program faculty. The Dean also will consider the relevance of the prior professional activity to the University's needs and the nature of the position being filled by the appointee. The amount of credit granted for prior professional experience, if any, will be stated in the letter of original appointment.

Assignment to rank

No amount of credit for prior teaching or professional experience can advance a faculty member in rank. That is, faculty members may be placed initially at a rank beyond Assistant Professor only if they have earned that rank through promotion review at the University or at a comparable regionally accredited four-year college or university.

Placement on the salary scale

The Dean places the entering faculty member on the faculty salary scale based upon the assigned rank and level, according to the provisions of the Faculty Salary Plan (Ch. 4).

3.3.2.3 The Offer of Employment

After considering the committee's recommendation, and after determining proper placement for the candidate relative to rank, level, and salary, the Dean decides whether to recommend tendering an offer. The Dean then confers with the Provost, who retains final authority over faculty hiring decisions with the concurrence of the President. In considering the recommendation of the Dean, the Provost will take account of University policy and past practice so that the terms and conditions of placement are fair to new faculty members and consistent across the University and over time. The Provost may meet jointly with the committee and the Dean prior to giving final approval for an offer.

With the approval of the Provost, the Dean may tender the University's offer of employment and conduct negotiations with the candidate. When an agreement is reached between the candidate and the Dean, the Dean sees to it that a letter of initial appointment is prepared in the Office of Academic Affairs over the signature of the Provost. The terms and conditions of every faculty appointment will be specified in writing in the letter of initial appointment.

3.4 Personnel Records

The University maintains the following official personnel files under secure conditions to protect both the confidentiality and integrity of these records. Designated University personnel assure that under normal operating procedures access to those files is restricted according to the policies described in §§3.4.1-3.4.5. In unusual circumstances access will be extended to other administrators and agents of the University (e.g., University counsel) as necessary and appropriate. For a valid reason, a faculty member may authorize in writing access to a file for a person not indicated here.

3.4.1 Recruitment Files

The *recruitment file* initially contains all materials submitted as part of a person's application for a University position—including the letter of application, any supplementary materials, confidential letters of recommendation, and official transcripts.

Location

The recruitment file is maintained by the search committee until the completion of the search. The members of the search committee and others involved in the search (e.g., the Dean) are responsible for maintaining the confidentiality of recruitment files during a search.

When a faculty member is hired, his or her recruitment file is transferred to the Office of Academic Affairs. At that time, any official transcripts, other such formal records pertaining to the person's credentials, and anything in the file that the person had signed (e.g., the letter of application) or directly submitted (e.g., his or her *curriculum vitae*) are transferred to the Academic Affairs file (§3.4.3). Supplementary materials the candidate submitted as part of the application (e.g., samples of professional writing) are returned to the candidate. The remainder of the recruitment file—the *archival recruitment file*—is maintained separately in the Office of Academic Affairs.

Access

During the search, the recruitment file is accessible only to the members of the search committee, appropriate academic administrators, the EEO Manager, and the President. The *curriculum vitae* of candidates who have on-campus interviews will be made available to appropriate faculty members as part of that interview.

After the person has been hired, the recruitment file is accessible only to appropriate academic administrators, the President, and designated personnel in the Office of Academic Affairs.

3.4.2 Employee Personnel Files

The Department of Human Resources maintains the University's official permanent employment records for each employee. These files contain, e.g., information provided by persons when they begin work with the University, information concerning participation in the University retirement plan, annual salary letters, and other such items that are accumulated over the course of one's employment at the University.

Location

Employee personnel files are maintained in the Department of Human Resources.

Access

Employee personnel files are accessible only to the Director of Human Resources, other designated personnel in the Department of Human Resources, appropriate University administrators, and the subject faculty member. With reasonable notice, faculty members may review their employee personnel files during business hours on any working day. At the request of the subject faculty member, materials may be copied from the employee personnel file by designated personnel in the Department of Human Resources.

3.4.3 Academic Affairs Files

Official permanent academic personnel records for all University faculty members are maintained in *Academic Affairs files*.

The Academic Affairs file contains

- original signed copies of the letter of initial appointment and all subsequent contractual correspondence,
- copies of official transcripts and other such formal records pertaining to credentials,
- a current *curriculum vitae* (updated at the time of personnel reviews or more frequently at the initiative of the faculty member),
- letters reporting the results of University personnel reviews and any related correspondence (including correspondence from the faculty member clarifying, correcting, or challenging comments made in any other correspondence in the Academic Affairs file),
- correspondence relating to sabbaticals or other leaves of absence,
- correspondence relating to awards (internal or external) or research grants (internal or external),
- a one-page précis of a sabbatical or faculty development grant report,
- official letters of commendation or reprimand (e.g., a letter of reprimand - §3.11.2.2),
- other correspondence pertinent to the faculty member's academic employment at the University, and
- other items added at the request of the faculty member.

Faculty members are advised that information contained in the Academic Affairs file (e.g., information relating to awards, honors) is not automatically transferred to the current review dossier file at the time of a personnel review. Therefore, it is the responsibility of faculty members to ensure that copies of such materials are placed in the review dossier file at the time of a review, if they so desire.

Location

The Academic Affairs file is maintained in the Office of Academic Affairs.

Access

The Academic Affairs file is accessible only to appropriate University administrators, designated personnel in the Office of Academic Affairs, and the subject faculty member. With reasonable notice, faculty members may review their Academic Affairs files during business hours on any working day upon request to the Office of Academic Affairs. This file may not be removed from the Office of Academic Affairs. At the request of the subject faculty member, materials may be copied from the file by designated personnel from the Office of Academic Affairs.

3.4.4 Review Dossier Files

Current review dossier files

A *current review dossier file* is assembled as part of a faculty personnel review. The contents of the Review Dossier file are described in detail in §3.9.4; the management of the file during the review process is described in §3.10.3.

Location

During a review, a current review dossier file originates in the office of the appropriate Dean. After the Dean has reviewed it, it is maintained in the Academic Affairs reading room.

Access

Review dossier files are accessible only to current members of the Faculty Review Committee, the academic Deans, the Provost, the President, and the members of the Academic Affairs Committee of the Board of Trustees.

Archival review dossier files

At the conclusion of a review, all materials contributed directly by the faculty member to the review dossier are returned to him or her; however, a copy of some of these materials (e.g., the self-evaluation, the *curriculum vitae*) is retained in

the Office of Academic Affairs in an *archival review dossier file* for reference in subsequent reviews (§3.9.4.2). That file also contains confidential letters of evaluation, copies of correspondence generated during the course of the review (e.g., the Dean's dossier report and the faculty member's response, if any), the evaluation report to the Board of Trustees from the Provost, the Dean's subsequent letter to the candidate, the letter of comment from the Faculty Review Committee (§3.10.8), and the President's letter following an appeal, if any. (Note: documents generated in the course of an appeal, e.g., the appellant's brief, the report of the Appeals Board or Appeals Committee, are maintained in a separate confidential file in the Office of Academic Affairs and are not included in the archival review dossier file.)

Location

Archival review dossier files are maintained in the Office of Academic Affairs.

Access

Archival review dossier files are accessible only to the academic Deans, the Provost, and the President. When an archival review dossier file is brought forward as part of a current review it becomes part of the current review dossier file for the duration of the review.

3.4.5 EEO Files

An *EEO file* is created only when a University employee, student, or other person brings a complaint (e.g., a harassment complaint) to the EEO Officer or has been accused of violating the University's Policies Prohibiting Unlawful Discrimination or Harassment (3.5.5, Appendix 3-A²). The primary purpose of this file is to maintain pertinent confidential records of a claim of harassment or discrimination, records of any official investigation of such a claim (including evidence exonerating an accused individual), records of any hearing or other official inquiry, a record of the findings or results of any such investigation or hearing, and any response by the individual who has been accused. Any person who becomes the subject of a formal investigation by the Equal Employment Opportunity Manager will be so notified and given full opportunity to respond to the allegations. EEO investigations are conducted in compliance with the University's Illegal Discrimination/Harassment Policy and Procedures.

The contents of the EEO file are confidential and will not be used in any personnel review, except for information placed in the review dossier file concerning violations of University policy that have been substantiated in accordance with the University's policies and procedures on equal employment opportunity and the Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5.2, Appendix 3-A) or information provided to the Appeals Board following the investigation of a complaint of illegal discrimination in a personnel review (§3.10.9).

Location

EEO files are maintained in the Department of Human Resources.

Access

An EEO file is accessible only to the Director of Human Resources, the University's Equal Employment Opportunity Manager, and University legal counsel.

3.5 Faculty Rights, Responsibilities, and Standards of Professional Conduct

As professional educators, scholars or artists, and members of an academic community, faculty members and administrators have a profound interest in fostering a working environment that is collegial, cooperative, and supportive of the University's educational mission. It is the University's responsibility to provide clear policy statements that establish the expectations that prevail within this environment. Accordingly, this section of the *Handbook* sets out or includes by reference those policies and procedures adopted or endorsed by the University that speak to issues of professional conduct for faculty members and administrators and safeguard the attendant rights of all members of the University community.

However, no set of rules or code of conduct can either guarantee or take the place of the personal and professional integrity of faculty members and administrators as members of the professoriate, participants in extended disciplinary communities, citizens of the University, and individual moral agents. Therefore, in addition to being familiar with and abiding by the University's policies and procedures, faculty members are expected to be cognizant of and regulate their behavior according to the prevailing professional and ethical standards of their disciplines and the teaching profession as a whole.

3.5.1 Academic Freedom

The University affirms and supports the following principles of academic freedom as set forth by the American Association of University Professors (AAUP) in that portion of its “1940 Statement of Principles on Academic Freedom and Tenure”³ that is reprinted here verbatim:

Institutions of higher education are conducted for the common good and not to further the interest of the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free expression.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

Tenure is a means to certain ends: specifically: (i) freedom of teaching and research and of extramural activities, and (ii) a sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

Academic Freedom

(a) Teachers are entitled to full freedom in research and in the publication of results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

(b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of appointment.⁴

(c) College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

²Materials provided in appendices to this *Handbook* are provided for informational purposes and are not incorporated by reference into the *Handbook* unless explicitly so characterized. Policies included as appendices may be subject to change by procedures other than those required to change this *Handbook*.

³AAUP *Policy Documents and Reports*, 1995 Edition, pp. 3-4. The University notes with approval the acknowledgment by AAUP that, “Adoption of or reference to the 1940 *Statement* does not necessarily entail a commitment to the many AAUP policy statements that the Association has derived from the 1940 *Statement* and from its own evolving ideas of good practice” (p. xi).

⁴The University of Redlands does not impose or permit limitations on academic freedom on the basis of religious or any other aims of the University.

⁵AAUP *Policy Documents and Reports*, pp. 105-06.

3.5.2 Professional Ethics

The University affirms and supports the following principles of professional ethics as set forth by AAUP in that portion of its (1987) “Statement on Professional Ethics”⁵ that is reprinted here verbatim:

- I. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
- II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student’s true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
- III. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
- IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
- V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression that they speak or act for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

3.5.3 Academic Honesty

Academic honesty stands at the core of intellectual pursuits in the academic community. Faculty and student scholarship in all forms, whether individual or collaborative, expresses our esteem for intellectual integrity. Nurturing and sustaining a climate of honesty are the responsibilities of every member of the University community.

This contractual Chapter of the *Handbook* incorporates by reference the *University Policy on Academic Honesty* contained in the section on “Academic and Financial Policies” of the current *University Catalog*. Faculty members are expected to familiarize themselves with this policy and abide by it in their teaching, research or creative activity, and service.

In addition, the University affirms and supports that portion of the following (1990) “Statement on Plagiarism” set forth by AAUP⁶ that is reprinted here verbatim:

Every professor should be guided by the following:

1. In his or her own work the professor must scrupulously acknowledge every intellectual debt—

for ideas, methods, and expressions—by means appropriate to the form of communication.

Any discovery of suspected plagiarism should be brought at once to the attention of the affected parties and, as appropriate, to the profession at large through proper and effective channels—typically through reviews in or communications to relevant scholarly journals. Committee B of the Association stands ready to provide its good offices in resolving questions of plagiarism, either independently or in collaboration with other professional societies.

2. Professors should work to ensure that their universities and professional societies adopt clear guidelines respecting plagiarism, appropriate to the disciplines involved, and should insist that regular procedures be in place to deal with violations of those guidelines. The gravity of a charge of plagiarism, by whomever it is made, must not diminish the diligence exercised in determining whether the accusation is valid. In all cases the most scrupulous procedural fairness must be observed, and penalties must be appropriate to the degree of offense.
3. Scholars must make clear the respective contributions of colleagues on a collaborative project, and professors who have the guidance of students as their responsibility must exercise the greatest care not to appropriate a student's ideas, research, or presentation to the professor's benefit; to do so is to abuse power and trust.
4. In dealing with graduate students, professors must demonstrate by precept and example the necessity of rigorous honesty in the use of sources and of utter respect for the work of others. The same expectations apply to the guidance of undergraduate students, with a special obligation to acquaint students new to the world of higher education with its standards and the means of ensuring intellectual honesty.

3.5.4 Confidentiality

In their various contractual roles (e.g., as teachers, academic advisors, members of governance committees, members of search committees, chairs of departments), faculty members are expected to exercise professional judgment in honoring the confidentiality of information shared and used in carrying out their duties. The purpose of maintaining confidentiality is to preserve the rights of individuals to privacy with regard to information concerning them; this commitment to confidentiality is not intended to conceal violations of procedure or professional misconduct.

3.5.5 Prohibition of Harassment and Unlawful Discrimination

The University is committed to sustaining itself as an academic community that incorporates principles of fairness, equal opportunity, and compliance with applicable laws. All employees and students have the right to be treated according to the same set of standards and expectations as are their peers, and they have an equal right to seek advancement based on individual effort and merit. Given the centrality of education to our institutional mission, the University places special emphasis on the rights of students to experience equal treatment from professors in advising, instruction, and evaluation.

3.5.5.1 Equal Opportunity and Non-Discrimination

The University is committed to providing a positive environment for work and learning for employees and students, free from any form of unlawful discrimination or harassment. The University, consistent with its policies and practices, promotes equity and diversity by embracing "equal opportunity" as a campus-wide strategy, and the University's commitment to non-discrimination serves as a foundation for such efforts.

Inquiries concerning the application of University policies, its Equal Opportunity Program, or federal and state laws and regulations referenced above should be made to the Office of Human Resources or the Equal Employment Opportunity Manager.

3.5.5.2 Consequences of Harassment and Unlawful Discrimination

This *Handbook* incorporates by reference the University's "Policy Prohibiting Unlawful Discrimination or Harassment," reprinted in Appendix 3-A. Persons committing violations of this Policy that have been substantiated in accordance with the procedures described therein will be subject to disciplinary actions as specified in the Policy and in this *Handbook*.

Documentation of substantiated violations of this Policy will be included in the dossier file for the faculty member's next scheduled faculty review and, in the case of a probationary faculty member, in the dossier file for the tenure review (whenever it occurs).

⁶ *AAUP Policy Documents and Reports*, pp. 110.

3.5.5.3 Consensual Sexual Activity Between Faculty and Students

Commentary

This section uses a number of terms such as “academic administrator” and “academic authority” that are defined at the beginning of Chapter 3.

The University defines itself as an academic community that upholds principles of fairness, equal opportunity, and nondiscrimination. Specifically, all students have the right to be treated fairly, held to the same requirements and standards, and afforded an equal opportunity to seek achievement and recognition and be rewarded based on their accomplishments. Members of the faculty are expected to maintain professional relationships with all University students, act in accordance with standards of professional conduct (§3.5), and avoid conflict of interest (§3.5.6), favoritism, bias, or creation of a hostile environment for their students (§3.5.2, especially ¶II).

Sexual activity between a faculty member and a student enrolled in any University program can compromise professional standards and expose both the faculty member and the University to charges of harassment or unlawful discrimination—either from the student involved or from other students who allege they are disadvantaged because of the faculty member’s nonprofessional relationship with one of their peers. Moreover, sexual activity between faculty members and students are fraught with the potential for exploitation. The respect and trust accorded a professor by a student, as well as the actual or apparent authority of the professor, make voluntary consent by the student suspect. Therefore, faculty members are advised that entering into sexual activity with any student of the University, absent circumstances as provided in the policy below, is not only unwise but also can potentially undermine their professional relationships with other students and with colleagues. The University prohibits most sexual activity between faculty members and students and requires compliance with the policy stated below.

Policy

The University prohibits sexual activity between a faculty member and any student under that faculty member’s academic authority (or who could come under their academic authority in the future). A faculty member who is known to have engaged in sexual activity with a student under their academic authority (or who could come under their academic authority in the future) in violation of this policy is subject to disciplinary action (§3.11.2) or dismissal for cause (§3.12.5). Information regarding substantiated violations of this policy will be included in the review dossier file for the faculty member’s next scheduled faculty review and, in the case of a probationary faculty member, in the dossier file for the tenure review (whenever it occurs).

The University strongly discourages sexual activity between a faculty member and any student who is not under the faculty member’s academic authority. The University acknowledges that there may be situations where such activity may be professionally permissible (e.g. a single faculty member in one School meets a single graduate student in another School). If a faculty member wishes to enter into a sexual relationship with a student (who is not under their academic authority and will not be under that authority at a later time), the faculty member must report the existence of the relationship to the Dean in writing. To promote a positive and healthy living, learning, and working environment, a faculty member must provide a written statement to their Dean disclosing any pre-existing or developing consensual sexual relationship that involves any student at the University. Disclosing the relationship means that the relevant Dean can work with the individuals to develop practices to avoid or minimize any conflict of interest and maintain the atmosphere of trust between faculty and students that is essential to the University’s mission. The Dean will respect the confidentiality of all parties. The disclosure of a pre-existing or developing sexual relationship with a student does not affect the faculty member’s right to be treated in a fair and impartial manner by academic administrators who exercise oversight responsibilities and participate in evaluations of that faculty member’s professional performance.

A faculty member who engages in consensual sexual activity with a student may be interviewed by the appropriate Dean (or Dean’s designee) to assure compliance with relevant provisions of this Handbook (e.g., §3.5.2, 3.5.6) and other applicable policies, under the authority of §3.11.2, and may be subject to disciplinary action.

A faculty member may not have academic authority over a spouse or domestic partner who is a student at

the University, absent specific written permission from the appropriate Dean. If the Dean gives written permission for some academic authority to be exercised over spouse or domestic partner—permission which is only appropriate in narrow circumstances—the dean must specify conditions designed to minimize that academic authority and ensure fairness to all students..

Additional potential liability beyond the scope of this policy

Faculty members are further advised that entering into sexual activity with any student entails actions that fall outside the bounds of their contractual duties as specified in this Chapter of the *Handbook*. This means that they may not be eligible for the University's insured or uninsured protection should they incur civil or criminal liability as a result of their actions. (See §4.3.)

3.5.6 Conflict of Commitment and Conflict of Interest⁷

Commentary

An appointment to the University faculty entails a primary commitment of the faculty member's time, energy, and attention to fulfilling the duties and responsibilities of the position to advance the academic objectives of the University (see §§3.6, 3.7, and 3.8). It is incompatible with these expectations—a *conflict of commitment*—for a person holding a faculty position to accept substantial employment elsewhere, up to and including the equivalent of a full-time position at another academic institution or in a nonacademic business.

Nevertheless, many *activities that are performed for an entity external to the University* (“*external activities*”) such as consulting, lecturing, teaching, or artistic performance—whether uncompensated or compensated—can contribute to the professional growth and material well being of faculty members. Some external activities may be so closely aligned with the duties of a faculty position as to constitute a form of professional development. Others may be valuable, even if they are less closely related to a faculty member's academic life. When compensation is involved, however, the situation becomes more complex: accepting compensation from an external entity involves the University employee in either an explicit or a tacit contractual relationship with that entity, with attendant obligations that potentially could conflict with the individual's responsibilities to the University. In determining the appropriateness of a specific external activity, therefore, it is necessary to weigh the overall balance of benefit and cost to both the faculty member and the University and the possibility of conflict of interest.

As professionals who serve in a variety of roles, faculty members must also be sensitive to situations that potentially involve conflicts of interest. Not always immediately evident, a *conflict of interest* potentially exists whenever an individual's potential for personal gain or personal interests come into conflict with or otherwise compromise the interests of students, colleagues, other University personnel, or the University itself. The potential for conflict of interest becomes especially acute when a faculty member has academic authority (e.g., as department chair) or has an official advisory role in a decision (e.g., as a member of the Faculty Review Committee). Within reason, faculty members and administrators have a professional responsibility to avoid placing themselves in situations that involve conflicts of interest.

Since conflicts of interest are sometimes difficult to recognize, faculty members are expected to discuss situations involving potential conflicts of interest with colleagues, their department chairs, the Dean, or the Provost. Examples of potential conflicts include but are not limited to

- having academic authority over, supervising, or participating in decisions (including serving on a search committee or participating in employment decisions) affecting a family member or close personal friend
- casting a vote in a committee deliberation regarding proposals or actions that would lead to a direct personal benefit (e.g., awarding faculty research funds or recommending a sabbatical leave for oneself),
- casting a vote in a committee deliberation that would directly benefit oneself or one's own department or School,
- accepting personal remuneration for consulting services or conducting clinics while representing the University in an official capacity, as opposed to acting as an independent contractor providing services,
- employing students without recompense of salary or academic credit for work on behalf of the faculty member or an outside agency,
- using the University's name, facilities, or equipment for personal purposes, for personal remuneration, or private gain,
- making personal use of University resources to support political candidates or non-profit political organizations with or without remuneration,
- purchasing major equipment, instruments, or supplies with University funds for University teaching or research from a private firm with which the faculty, a family member of the faculty, or a close personal friend of the faculty is affiliated or from which one of those individuals receives personal benefits or rewards, including externally awarded grant moneys, or
- accepting outside employment whose time demands adversely affect the person's ability to fulfill his or her duties to the University.

⁷The following policy is closely patterned after the policy of the Johns Hopkins University Medical School.

Policy

Faculty members are expected to fulfill their duties to the University, an expectation that requires a primary commitment of time, effort, and attention to fulfilling their faculty duties and responsibilities. If they pursue external activities, members of the faculty must ensure that their commitments to an external entity do not interfere with their contractual obligations to the University. No external activity—no matter how valuable it might be on other grounds—can serve as an excuse for a faculty member's failure to fulfill his or her duties to the University. Excessive pursuit of external activities will be considered in a faculty member's next scheduled review and may occasion more immediate administrative action (see below). It is the position of the University that such questions as political affiliation or level of compensation for outside activities are matters of individual concern.

Members of the University faculty are also expected to avoid conflicts of interest.

3.5.6.1 Prohibition of Substantial External Employment

Any person holding a full-time faculty position at the University who accepts substantial employment elsewhere (including the equivalent of a full-time faculty appointment at one or more other institutions) will be subject to dismissal (see §3.12.5). By definition, the equivalent of a full-time position at one or more other academic institutions or businesses represents "substantial" external employment. Employment that is less than full-time may still be judged to be "substantial" or "excessive" and therefore could constitute a conflict of interest meriting administrative disciplinary action (§3.11.2) or dismissal (§3.12.5).

3.5.6.2 Guideline for Consulting and Other External Activities

In the past, some persons have sought additional guidance concerning the amount of time they might appropriately devote to external activities. In response, the University has stated that, typically, it would regard as excessive any commitment to external activities involving more than one work day per week (on average) or an equivalent amount of time within the term of the faculty member's annual contract. See §3.6.1.6 for additional limits to overload teaching, within the University or externally.

3.5.6.3 Reporting Requirement

Determination of whether a conflict of interest or conflict of commitment exists in a particular instance will always be a matter of judgment involving all the facts of the situation. Trust, good faith, and open discussion of controversial issues are central to the life of the University. The requirement for reporting specified below is meant to ensure that potentially problematic situations will be considered openly and fairly and that appropriate actions will be taken to avoid or resolve conflicts of interest or commitment.

A faculty member who believes that a conflict of interest or commitment exists or may exist because of an existing or impending situation is expected to discuss the potential conflict with the Dean or the Provost. Conversely, if a faculty member's external activities, including teaching, should appear to conflict with his or her duties, it is expected that the appropriate Dean will require the faculty member to disclose those activities and discuss the possible conflict.

While such discussions with the indicated individuals may provide guidance for decisions, a full written report is necessary to avoid any real or apparent conflict of interest between the obligations of faculty members to the University and to their personal interests or other competing commitments, including external overload teaching. Therefore, a faculty member must prepare a written report before undertaking any external activity meeting any of the following criteria:

- a) *Whenever the aggregate time for all external activities would exceed the guidelines identified in §§3.5.6.2 or 3.6.1.6.*
- b) *Whenever external activities require a written agreement or contract.* With the exception of agreements for faculty members to provide occasional guest lectures (e.g., in a symposium, as opposed to teaching course), for the publication of professional writings, or for the presentation of artistic creations (e.g., for a gallery show), all written agreements relating to outside activities must be reviewed by the appropriate Dean to insure that they do not conflict with institutional policy.

- c) *Whenever the name of the University of Redlands might be used by an external party.*
Since a relationship with an academic institution can be of value to an external organization, opportunities for external activities may be offered to faculty members in part because of their association with the University. It must be remembered that there is no way to divorce a faculty member completely from association with the University. Reporting prior to undertaking an external commitment serves to protect the faculty member, the University, or both from possible discredit or embarrassment. Thus faculty members must be discriminating in the undertaking external commitments, regardless of whether they are professional or non-professional in character, and regardless of whether the obligation is to be discharged in “off hours” or outside of the faculty member’s annual contractual period. If an external organization wishes to use the University’s name, symbols, or logos, written approval from the University’s Office of Public Affairs must be obtained prior to such use.
- d) *Whenever a proposed agreement would involve the use of facilities belonging to or utilized by the University.* A report must be made if the University will be investing its resources and sharing in the risks of a venture or in any other way subsidizing the activity, whether or not it shares in any revenues generated by that activity.
- e) *Whenever an outside commitment provides for intellectual or tangible property rights in the way of patent ownership or licensing to an organization other than the University.* The faculty member must do two things: (1) carefully read and consider the University’s intellectual property rights policy to determine if their work from the outside commitment falls within that policy; and (2) consult with the Provost to determine if there is agreement on whether the University’s policy applies.
- f) *Whenever a commercial agreement is being considered that would restrict the faculty member’s public reporting of the existence of the agreement or information developed by the faculty member under the agreement.* Occasionally it may be difficult to distinguish between academic research goals and commercial research goals. In the case of a relationship with a commercial organization, the faculty member must ascertain whether there are requirements for confidentiality that might compromise his or her fundamental rights of academic freedom or those of other faculty members or of students or of the University. Academic freedom requires, in part, unhindered discussion and publication of research.
- g) *Whenever a faculty member’s relationship to an outside party might appear to influence either the conduct of the University’s business with the outside party or the conduct of research or other activities within the University.* A report must be made of a relationship to an organization when that organization proposes to conduct business with the University (or an affiliated organization) wherein the faculty member may influence or may appear to influence the decision-making process on behalf of either party.

Consulting arrangements between faculty members and outside institutions are distinct from externally funded research projects. Funded research projects require a contract with the University. In the latter case, payment for the faculty member’s effort is part of the University budget and is used as a source of an appropriate proportion of the faculty member’s University salary support. The University must be made aware of compensation provided under a consulting agreement that will co-exist with a research grant or contract from an external sponsor of research.

In circumstances covered by paragraphs a) – g) above, the faculty member must submit a written description of the proposed activity to the appropriate Dean using the form provided in Appendix 3-A. The Dean, at his or her discretion, may require additional supporting documentation (e.g., a copy of any contract(s) that would be involved). The purpose of this review is to ensure that the proposed agreement complies with the policies of the University and does not constitute a conflict of interest or commitment. At his or her discretion, the Dean may review the report and any accompanying documents with the Office of Business and Finance or with University counsel. The Dean may also consult with the faculty member’s department chair or program director. The Dean will discuss with the faculty member any needed changes in the proposal. If the proposed course of action is found to comply with all relevant policies, the Dean will send a written statement of approval to the faculty member with a copy to the department chair. Any changes in the faculty member’s approved plan of action must be approved by the Dean in advance.

3.5.6.4 Leaves of Absence for External Activities

There will be times when it is considered desirable for faculty members to engage more extensively in outside activities than is possible while they perform their University duties. A full-time unpaid leave of absence or a partial leave, with corresponding reductions in University responsibilities,

may then be appropriate. Such a leave of absence is subject to the same guidelines and requirements for approval as other unpaid leaves. Any such leave will be granted for a specified period of time. (See §4.2.)

So long as the University is willing to grant the leave of absence there is no necessary alteration of faculty rank or tenure status; however, a leave of absence may affect an employee's eligibility for University benefits, the timing of the next review, or the timing of the next sabbatical. Where such external activities extend beyond the leave of absence, faculty members may pursue their outside interests by resigning their University positions.

3.5.7 Institutional Policy on a Drug-Free Workplace

This *Handbook* incorporates by reference the "University Drug-Free Workplace Policy," which is located in the *University Personnel Policies and Procedures Manual*.

3.5.8 Grievance Procedures: Rights and Responsibilities

Out of our commitment to our academic community, faculty are encouraged to raise concerns, and respect and listen to the concerns of others, in order to mentor, support, and retain a diverse body of employees. With this in mind, the following rights and responsibilities apply to informal and formal actions related to a grievance, up to but not including formal hearings (§3.11.1.3). It will also apply to Dean consultations with faculty (§3.11.2.1). It is the responsibility of Department and Program Chairs, Deans, other administrators, and those in positions of authority to make sure that these procedures are followed.

- a) If a matter can, in the estimation of all parties, be fairly resolved through the verbal intervention of a Dean or Department/Program Chair, it should be handled in such a fashion. However, all parties have the right to request a formal meeting if they believe that the matter rises to a level where verbal intervention is inadequate.
- b) All involved parties (§3.11.1.1) will (1) be notified that a matter falls within the scope, and under the definition, of §3.11.1, and (2) receive an explanation of the alleged wrongful action(s) or alleged wrongful failure(s) to act. This shall be communicated in writing before any initial formal meeting is to occur.
- c) All involved parties will be notified in writing of supporting evidence, and the confidentiality of those parties that wish to remain anonymous will be carefully considered.
- d) Identities of grievants and accused parties will be protected to a reasonable extent.
- e) All involved parties will be notified in writing of any and all intended objectives (e.g., exploratory, decisive) prior to a formal meeting.
- f) All involved parties have a right to bring one colleague (a tenured member of the faculty is recommended) of their choice as a witness. Witnesses are expected to serve in the following capacity.
 - i. Remind involved parties of their rights and responsibilities in accordance with §3.11 of the Faculty Handbook.
 - ii. Share reflections with involved parties on the interactions, processes, and proposed solutions.
- g) Under normal circumstances proposed solutions may take effect no sooner than 24 hours after the end of the conversation, whether or not an agreement was reached. Grievants and accused parties have a right to withdraw any agreement during this 24-hour window. The purpose of this delay is to protect all parties from actions that may violate their rights or best interests.
- h) If the University takes temporary unilateral actions while the parties are considering whether the resolution is acceptable, involved parties will be notified of this fact in writing, including an explanation of how long the temporary measures are expected to last.

3.6 Contractual Duties and Responsibilities of the Teaching Faculty

This section of the *Handbook* describes the essential *contractual duties and responsibilities* (the “duties”) associated with a teaching faculty appointment.

3.6.1 Teaching

For the purposes of this *Handbook*, *teaching* is defined as traditional classroom or laboratory instruction, as well as personal supervision of one or more students in a learning context for which academic credit is given or through which degree requirements are met. Examples in addition to classroom or laboratory teaching include but are not limited to supervision of individualized study, supervision of senior projects, honors projects, or masters theses, supervision of internships or service-learning activities, instruction in studio art, supervision of clinical experience, computer-mediated instruction, providing private music lessons, and supervision of field and library research.

As a liberal arts university committed first of all to effective teaching, the University identifies teaching as the primary duty assigned to teaching faculty. Criteria for evaluating teaching effectiveness are discussed in §3.9.3.1; the following sections (§§3.6.1.1–3.6.1.14) specify contractual expectations of faculty directly related to their responsibilities as teachers.

3.6.1.1 Standard Teaching Load for Nine (9)-Month Contracts

The *standard annual teaching load* for ranked faculty members holding nine (9)-month contracts is the course equivalent of 24 units (§3.1); the *standard annual teaching load* for lecturers and clinical faculty members, whose contracts do not carry the expectations for research or University-wide service (§3.2.3.1, 3.2.3.5), is 32 units.

In the College of Arts and Sciences a ranked faculty member’s 24-unit load typically comprises six four (4)-unit courses distributed across a nine-month contractual period in one of three ways: 3-3-0, 3-2-1, or 2-3-1. (Given the expectations of faculty members’ teaching in May Term, May Term courses, which currently are offered for three (3) units, will count fully as one of the six courses.) A lecturer’s 32-unit load typically comprises eight four (4)-unit courses distributed across the same two semesters and May Term. Developing the load distribution for individual faculty members within a department—with appropriate adjustments for special cases such as science labs, private music lessons, or clinical supervision—is the responsibility of the department chair subject to the approval of the Dean or Associate Dean. The chair fulfills this responsibility in consultation with colleagues, taking into account individual faculty members’ preferences, the needs of the department or program, institutional needs for college-wide programs, and a college calendar that must support an average student course load of 4-4-1.

In the School of Business a ranked faculty member’s 24-unit load is distributed across the fiscal year. A lecturer’s load, including the additional six (6) to eight (8) units, is also distributed across the fiscal year. Developing the load distribution for individual faculty members is the responsibility of the Dean. The Dean fulfills this responsibility in consultation with colleagues, taking into account individual faculty members’ preferences, the needs of the School, institutional needs, the need to distribute the teaching load of full-time faculty members across regions so that students have the greatest opportunity to experience instruction by the full-time faculty, and a year-round calendar that must support on-going student cohorts.

3.6.1.2 Standard Teaching Load for Eleven (11)-Month Contracts

The *standard annual teaching load* for ranked faculty members holding eleven (11)-month contracts is the course equivalent of 30 units distributed across the fiscal year. The *standard annual teaching load* for lecturers and clinical faculty members holding eleven (11)-month contracts, whose contracts do not carry the expectations for research or University-wide service (§3.2.3.1, 3.2.3.5), includes the additional six (6) to eight (8) units and is also distributed across the fiscal year.

Developing the teaching load for individual faculty members is the responsibility of the Dean. The Dean fulfills this responsibility in consultation with colleagues, taking into account individual faculty members’ preferences, the needs of the college or School, institutional needs, and a year-round calendar that must support on-going student cohorts.

3.6.1.3 Released Time

Released time will most often be arranged from responsibilities other than teaching. However, released time from teaching is available for some alternative academic or administrative assignments at the discretion of the Dean or Associate Dean. All modifications of faculty members’ workload are subject to the approval of the Dean.

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The following guidelines reflect current practice: one course release per year for chairing an academic department or program (beyond a minimal size), one course per year for serving on the Faculty Review Committee, one course per year for serving as Chair of the Academic Assembly.

3.6.1.4 Teaching Outside a Faculty Member's School or College of Appointment and Other Compensated Additional Assignments

From time to time the University provides opportunities for faculty members to teach outside the School or college of their primary appointment. Such teaching may be in-load or as compensated overload within the limits stated in §3.6.1.5. Other compensated assignments extending beyond the duties of a faculty member's appointment may also be available. Compensated assignments within the University, whether a teaching overload or other kinds of additional work, require prior approval of the Dean or the Associate Dean of the faculty member's primary appointment (§3.2.7).

Before accepting the opportunity to teach outside the School or college of one's appointment or some other compensated assignment, faculty members should consult with their department chair or with their Dean or Associate Dean to determine whether the department or School can afford the release. The Dean of the School or college in which a course will be taught will consult with the Dean of the School or college in which the faculty member is appointed to determine whether the course can be taught in load, as a paid overload, or not at all at that time.

Employment external to the University ("external activities") is treated in §§3.5.6.1 and 3.5.6.2.

3.6.1.5 University Limit to Overload Teaching

During the annual period specified in his or her contract, a full-time University faculty member may teach no more than nine (9) total overload units within the University or external to it.

Only the Provost or the Dean of a faculty member's primary appointment can approve exceptions to this policy.

3.6.1.6 Overload Teaching Policy for Administrators

Administrators are expected to devote full time to the duties of their administrative positions. They may accept invitations from academic departments or Schools to teach as paid adjuncts on their own time, provided such teaching does not interfere with the performance of their administrative duties. Prior to accepting an adjunct faculty assignment, an administrator must have written approval from his or her immediate supervisor. Administrators may teach no more than nine (9) units per fiscal year.

Senior Administrators (including but not limited to the President, the Provost, Deans, Associate Deans, and Assistant Deans), some of whom are required to teach periodically as part of their core responsibilities, will not receive special compensation for teaching. Even so, they must secure the prior approval of their superiors. Administrators whose regular duties include training and teaching responsibilities also will not receive special compensation for these activities. Other administrators will receive compensation at the prevailing per-course rate.

Only the President or the President's designee can approve exceptions to this policy (which is located in the *University Personnel Policies and Procedures Manual*).

3.6.1.7 Scheduled Class Meetings

Faculty members shall meet their classes punctually as scheduled. Changes to the College schedule of course meeting times must be approved, in advance, by the department chair (or program director) and the Dean or Associate Dean. The Office of the Registrar will not implement a change in class schedule without the required approvals. Changes to a faculty member's teaching schedule in the Graduate School of Theology, School of Education or School of Business must be approved in advance by the Dean.

Faculty members who are unable to attend a given class meeting for reasons beyond their control are responsible for notifying their department chair or program director and making appropriate alternative arrangements (e.g., class cancellation, rescheduling the class meeting, finding a substitute instructor, or replacement of the class session by a substitute activity).

When faculty members are ill or otherwise unable to meet their responsibilities (e.g., because of a death in the family or other such emergency) for a brief period of time (e.g., one week or less), temporary arrangements as described above may be made, or other qualified faculty members may take over their teaching responsibilities temporarily. If a faculty member is unable to meet his or her teaching responsibilities for a more extended period of time, the Dean or, in the College, the department chair in consultation with the Dean will see to it that suitable arrangements for obtaining a qualified substitute are made.

3.6.1.8 Course Syllabi

University policy requires faculty members to provide a course syllabus to all enrolled students. Current faculty policy on syllabi is provided in the *University Catalog*.

3.6.1.9 Final Examinations, Evaluation of Course Work, and Reporting of Grades

University regulations require a final examination or major integrative project for every course. Current faculty policy on examinations, including the mandatory schedule for administering final exams, is provided in the *University Catalog*.

The University grading system

This *Handbook* incorporates by reference the Grading System described in the section on “Academic and Financial Policies” in the current *University Catalog*. Faculty members are expected to familiarize themselves with the Grading System and to apply it in their teaching.

Reporting of grades and maintenance of academic records

Faculty members shall report final numeric course grades and submit narrative evaluations to the Registrar’s Office according to the schedules established by that Office.

Within a reasonable time following students’ submission of course work or completing an examination, faculty members are expected to return to students an evaluation of their work providing comments and grades as appropriate.

Faculty members are responsible for maintaining appropriate records of students’ performance as evidence in support of their assignment of final grades for a minimum of one calendar year following the completion of a course. In the event of their separation from the University, faculty members shall leave such records with the Associate Dean, who shall maintain them for the indicated period of time.

3.6.1.10 Students with Disabilities

Section 504 of the Federal Rehabilitation Act of 1973 requires that institutions make “reasonable accommodations” for students with disabilities, and the Americans with Disabilities Act of 1990 provides even more extensive protections for citizens with disabilities. The University is committed to complying with these requirements and will make reasonable accommodations to the special needs of admitted students.

Faculty members are required to make reasonable accommodations not to give some students an unfair advantage over others but to enable all our students—including those with special academic needs—to work to their potential. The Office of Academic Support Services provides testing for learning disabilities for College of Arts and Sciences students and can verify for faculty members that a given student in fact has an identified learning disability. That Office also provides suggestions to faculty members in assisting students with special needs. In the School of Business, the Academic Advisors in the Regional Centers and the Associate Dean provide advice and assistance to students and faculty members about reasonable accommodations.

3.6.1.11 Supervision of Students and Safety

Faculty members are responsible for arranging for adequate supervision of students in classroom, laboratory, and off-campus activities that are formally related to instruction. Faculty members also must provide instruction in safety procedures to students who are engaged in academic activities under their supervision where a known potential danger is present. Unsafe conditions of equipment or facilities must be reported in writing to the appropriate Dean, to University Coordinator of Environmental Health and Safety, and to the Director of Facilities Management.

When organizing and supervising off-campus trips with students, faculty members must follow applicable University procedures.

3.6.1.12 Availability of Faculty Members to Students and Colleagues

As professional educators and scholars, members of the Redlands faculty are expected to allocate their time so as to fulfill their individual responsibilities and to assist their colleagues in the shared work of the department, School, college, and University. Doing so requires faculty members to make themselves available on campus on a reasonable schedule.

In addition to meeting their scheduled courses (§3.6.1.7), members of the faculty are expected to hold regularly scheduled office hours and to provide multiple ways for students in the regional centers to contact them. Office hours should be set in accordance with departmental or School practice and should reasonably satisfy the need for students to contact faculty members outside of class meetings. Faculty members also are expected to make themselves reasonably available to students at other times by appointment. Faculty members in the School of Business ensure sufficient availability to students who are geographically dispersed via email, phone, and text chat as well as by scheduling meetings outside of class time. During times of intensive student-faculty work (including student advising and registration in the College), it may be necessary for faculty members to schedule additional office hours. Each term, faculty members are responsible for making their schedule, including office hours, readily available to their students and colleagues, including appropriate staff.

Availability on-campus to participate in other work of the faculty

In order to accomplish their share of the collegial work of the department, the School, the college, and the University, members of the faculty need to make themselves reasonably available on campus to students, to faculty colleagues, and to administrators. Some of the work of departments and Schools will occur on an unscheduled basis (e.g., informal advising of students, informal conversations with colleagues about departmental, programmatic, or School matters, pedagogy, or scholarship), and when faculty members are absent from campus for much of the time, the burden of dealing with that work shifts inappropriately to those colleagues who are on campus more often. To that end, faculty members are expected to ensure that they are available often enough to prevent those shifts from occurring. Other work occurs in settings for which the faculty knows in advance that everyone must be present—e.g., department and program meetings, meetings of the College and School Faculty Assemblies, and meetings of the Academic Assembly. Faculty members will be held accountable for meeting their responsibilities to colleagues and students on an on-going basis by department chairs and deans and formally through the faculty review process.

3.6.1.13 Knowledge of General University Academic Policies, Regulations, and Curricula

Faculty members are expected to familiarize themselves with and abide by the academic policies and regulations contained in the section on “Academic and Financial Aid Policies” contained in the current *University Catalog*, some of which have been highlighted above for emphasis.

Members of the faculty are also responsible for understanding the degree requirements (both general education and major requirements) and other curricular regulations of their School or College and of the academic program(s) with which they are directly involved. Faculty members are expected to provide accurate information about academic requirements, policies, and regulations to students whom they advise.

3.6.1.14 Absences Due To Observance of Religious Holidays

Throughout the year students and faculty members may encounter conflicts between scheduled class meetings (including examination times) and special religious holidays. Faculty members are asked to be mindful of such events and to be helpful to students needing to reschedule or make up work missed due to observance of religious holidays.

Students are responsible for consulting with an instructor prior to such absences so that they and the instructor can agree on how the work can be rescheduled or made up. Likewise, an instructor who must miss a scheduled course meeting is responsible for informing students in advance and arranging to reschedule or otherwise make up the work so that students are not disadvantaged.

3.6.2 Research and Creative Activity

All faculty members are expected to maintain a career-long commitment to professional development associated with their scholarly or artistic expertise and complementary to their teaching. Within this overall commitment to professional development, faculty members are expected to maintain an active program of research or creative activity (as broadly defined in §3.9.3.4) that enables them to grow as scholars or artists in their own right, keep abreast of changes in their fields, maintain professional contacts with disciplinary peers, and bring current developments in their field(s) to their students. Research or creative activity may be undertaken independently or in collaboration with colleagues or students.

The University supports the efforts of faculty members in this area of faculty work by offering various programs and opportunities pertinent to professional development. (See Ch. 2.)

3.6.3 Service

The University expects its faculty to become members not only of a particular department, program, or School but also of the larger Redlands academic community and to contribute willingly to the faculty's shared work, which is so important to the proper functioning of the University and the well being of the University community. Because there are so many different ways, both formal and informal, for faculty members to contribute to the University, *service* represents the most varied area of faculty work.

All faculty members with primary appointments in the College (and some with primary appointments in the Graduate School of Theology, the School of Business or the School of Education) are expected to provide academic advisement to students. This duty requires an investment of time and attention to ensure that students receive accurate information and supportive interaction. In addition, service encompasses direct work with adjunct faculty, functioning as a department chair or program director, contributing to curricular design and evaluation, service to the alumni association and to professional organizations, involvement with student groups on campus, bringing speakers or visiting artists to campus, assisting in student recruitment and orientation—to name just a few of the opportunities. This broad range of possible ways to advance the shared work of the University is matched by the different ways individual faculty members contribute their share of effort to the common good. Criteria for evaluating effective service are discussed in §3.9.3.5.

From time to time, faculty members may receive part-time administrative appointments. Such an appointment may extend for a specified period of time, or it may be a regular and continuing component of a faculty member's load and will be so specified in the letter of initial appointment or in other correspondence from the Dean. Two of the most common such appointments are described here.

Department chair

A *department chair* is a faculty member who has accepted a part-time administrative appointment made by the Dean with the advice (and typically with the recommendation) of the department. Department chairs serve as representatives of their departments to the Administration and to other units outside of the department; they also represent the Administration to their departmental colleagues. Within their departments, chairs fulfill a number of leadership functions that include coordinating collective decision-making (e.g., organizing the curriculum, leading a process of curricular revision, scheduling courses, overseeing the hiring and evaluation of part-time departmental faculty, taking the lead in departmental reviews), submitting budget requests, administering budgets, coordinating the advising of majors, and generally ensuring that the shared work of the department is distributed fairly and accomplished in a timely and effective manner.

A department chair is appointed for a specific term, which is renewable at the discretion of the Dean in consultation with the department.

Academic program director

An *academic program director* is a faculty member who has received a part-time administrative assignment made by the Dean with the advice of the relevant department(s) or advisory board. A program director may have administrative responsibility for a disciplinary program (e.g., Creative Writing), degree or credential program (e.g., the MBA, the Teaching Credential), or interdisciplinary program (e.g., Race and Ethnic Studies, Women's Studies). Program directors perform a number of administrative functions including development, review, and revision of curriculum, scheduling courses, coordinating cross-listed courses, submitting budget requests, administering budgets, hiring adjunct faculty, and advising students within a program.

A program director is appointed for a specific term, which is renewable at the discretion of the Dean in consultation with the relevant department(s) or advisory group.

3.6.4 Faculty Workload Profiles

The University recognizes that few members of the faculty can excel simultaneously in each of the dimensions of faculty work—teaching, research or creative activity, and service. Rather, faculty members are most likely to achieve excellence over the course of a review period and, more importantly, over an entire academic career by concentrating their efforts in different areas at different times. Moreover, the University benefits from the different contributions made by faculty members that can reflect either their individual strengths and interests or changing institutional needs. These considerations argue for a flexible approach to the related questions of how faculty members should allocate their time and how the University should evaluate the results of their efforts. More specifically, both faculty members and administrators must acknowledge the diversity of paths that can legitimately be chosen by faculty members as they fulfill their responsibilities and meet the standards by which the University evaluates performance.

Accordingly, the concept of *faculty workload profiles* provides a framework for developing a flexible, balanced approach to the way faculty members allocate their time. A *faculty workload profile* is simply a statement of the specific configuration of faculty work undertaken by a faculty member for a given period of time. A profile need not be formally expressed. Indeed, every faculty member has some measure of latitude to vary the particulars of his or her working life from year to year within standard contractual expectations (e.g., by taking on new courses or repeating familiar ones, or by focusing more on research or a creative project in a given year, or by taking on an extra measure of service). However, in a given period of time, in order to achieve a specific goal in some dimension of his or her scholarly work (either teaching, research or creative activity, or service), a faculty member may find it necessary to request a release from some other dimension of the standard duties of faculty.

Although such an accommodation may take the form of released time from teaching, other options may well be preferable. For example, a faculty member who needs to complete a research project might legitimately contribute less service for a few months to a year. Then, in another year, the same faculty member may take on a disproportionate service load to accommodate the needs of departmental colleagues or the college or school or University at large. Over time, and in particular over the period of a review, a faculty member should be able to demonstrate that his or her total professional accomplishments and contributions to the University represent a reasonable way of satisfying the applicable review standards.

Any adjustment in teaching load must be approved by the Dean. The Dean will provide written confirmation to individual faculty members, with a copy to the Academic Affairs file. In each case, an accommodation in one area is related to increased expectations for performance in another.

3.7 Contractual Duties and Responsibilities of the Library Faculty

This section of the *Handbook* describes the duties and responsibilities associated with a full-time appointment as a member of the library faculty.

Successful work as a member of the library faculty requires a commitment to lifelong learning and professional engagement. Thus library faculty members have an obligation not only to meet the informational and research needs of students and other members of the University community but also to engage in a program of professional development, including research or creative activity, that is instrumental to their continued growth as academic librarians and is valuable in itself. As members of the Library and the University, library faculty members have a further obligation to contribute to the collegial work of the institution.

3.7.1 Librarianship

Just as teaching is the primary focus of the work of the teaching faculty at Redlands, the librarians' major focus is facilitating access to information to advance and support the University's programs of instruction, research, and service. Library faculty members are responsible for planning, implementing, and evaluating programs to acquire, organize, and retrieve information, and to make it available. In order to carry out these responsibilities, librarians must have knowledge of the structure and nature of contemporary scholarly communication, of the ways in which students and faculty members acquire and process information, of the means by which information is stored and retrieved, and of the specific academic programs and priorities of the University. Criteria for evaluating effective librarianship are described in §3.9.3.2.

3.7.1.1 Instructional Responsibilities of Librarians

The instructional responsibilities of librarians are fulfilled through a broad spectrum of activities. Library faculty members are expected to be specialists in providing access to information and be involved in the development of collections (comprising both traditional print-based sources and electronic resources), bibliographic control and organization, reference and on-line searching services and strategies, classroom instruction, and management and planning. Library faculty may also be required to supervise non-professional staff members and student assistants.

Guidance of individual students in doing library research is a central activity of this area of responsibility. However, library faculty may also meet this obligation by providing classroom instruction within the context of for-credit classes, including work as guest lecturers or co-instructors (in which case all relevant expectations under §3.6 would apply).

Insofar as their duties include traditional classroom or course-related teaching, members of the library faculty are subject to standard University expectations regarding teaching (§§3.6.1, 3.9.3.1).

3.7.1.2. Released Time from Assigned Library Duties

Released time from library duties is available for some alternative assignments, including serving on the faculty review committee or directing a program activity.

3.7.2 Research and Creative Activity

See §3.6.2.

3.7.3 Service

See §3.6.3.

3.7.4 Librarians' Work Load Profiles

See §3.6.4.

3.8 Contractual Duties and Responsibilities of Physical Education and Athletics Faculty Members

This section of the *Handbook* describes the duties and responsibilities associated with a full-time appointment as a member of the physical education and athletics faculty.

Effective performance as a member of the physical education and athletics faculty requires a commitment to lifelong learning and professional engagement. Thus physical education faculty members have an obligation not only to work with students to meet their needs as students in physical education courses and as athletes who participate in team sports but also to engage in a program of professional development that is instrumental to their continued growth as teachers and athletic coaches. As members of a department, a College, and the University, physical education faculty members have a further obligation to contribute their fair share to the collegial work of these organizational units.

3.8.1 Teaching and Coaching

Insofar as their duties include traditional classroom or course-related teaching, members of the physical education and athletics faculty are subject to standard University expectations regarding teaching (§§3.6.1, 3.9.3.1).

Coaching a sport is considered part of the overall teaching load for the physical education and athletics faculty. Coaching responsibilities are fulfilled through a broad spectrum of activities in practices, competitions, and other settings. Coaches are expected to be specialists the sports for which they have responsibility and to be aware of current best practices in working effectively with student-athletes. In this capacity, physical education and athletics faculty members are expected to be concerned not only with achieving success in athletic competition but also, and more importantly, with the development of their student-athletes as whole persons. Thus as coaches work to develop each individual athlete and athletic team to achieve maximum athletic performance, they should be mindful of the larger framework of academic and institutional values that must never be sacrificed in order to achieve athletic success.

Each sport is assigned a unit value (to be used in determining a faculty member's overall load) based on the following criteria:

- Level of annual recruiting responsibilities.
- Number of participants in the program.
- Number of assistant coaches assigned to the program.

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- Number of weeks in the sport's traditional season.
- Relative complexity of coaching responsibilities.
- Relative complexity of administrative duties required for the sport.

The annual load profile of each physical education and athletics faculty member must be approved by the Director of Athletics.

3.8.2 Research and Professional Development

Physical education and athletics faculty members are expected to initiate, develop, and implement a plan of continuing professional development and research (§§3.6.2, 3.9.3.4). Specifically, they are expected to be involved in professional development activities that enable them to remain energetic in their teaching and coaching, current in regard to developments in their fields, stimulating to their students and student athletes, and visible in the profession. These goals can be achieved, in part, through active participation in activities that enhance their own areas of expertise, as well as through study that increases the depth and breadth of their knowledge of other areas. Faculty members are expected to complete the professional development activities they undertake such that the benefits are apparent in their own coaching or teaching, through publications or presentations at professional conferences, or in other appropriate venues (e.g., holding clinics or workshops for others in the field). See §3.9.3.4 for additional guidance on the evaluation of research.

Appropriate professional development activities include but are not limited to

- Attending sport camps, coaching clinics, or professional meetings, or making use of other organized professional development opportunities.
- Pursuing research that results in a demonstrable product such as publication in professional journals or magazines.
- Speaking at coaching clinics, professional meetings, or other similar events.

3.8.3 Service

See §3.6.3. The service requirements of a physical education and athletics faculty appointment typically will involve responsibilities for recruitment of student-athletes. These activities can represent a significant time commitment and so can represent a major portion of the service contribution of a member of the physical education and athletics faculty.

3.8.4 Knowledge of Athletic Regulations

Athletic coaches are expected to know and follow all applicable conference and NCAA regulations governing recruitment, practice, and participation for student-athletes. Repeated violation of such regulations may be construed not only as failure to meet the University's performance expectations for the physical education and athletics faculty but also as a violation of professional ethics (§3.5).

3.8.5 Workload Profiles of Physical Education and Athletics Faculty

See §3.6.4.

3.9 Qualifications, Criteria, and Standards for Attaining Rank and Tenure

The University seeks to hire, retain, promote, and tenure faculty members who, in addition to performing their duties successfully, bring intellectual acumen, commitment to the University's mission, integrity, and energy to their work on behalf of their students, their discipline, their College or School, and the University as a whole. In pursuing this goal, the University prizes the diversity of its faculty. Our academic community is enriched through the broad range of academic backgrounds, interests, and perspectives different faculty members bring to their work. These individual differences and the variations in faculty work at Redlands are reflected in the various ways faculty members (in collaboration with departmental colleagues and academic administrators) define their individual roles and responsibilities. Moreover, as indicated above (§3.6.4), the University recognizes that no faculty member can excel simultaneously in all three areas of faculty work. Faculty members' individual workload profiles (§3.6.4) balance their individual strengths and interests, the needs of departments, programs, Schools, college, and the general expectations of the University. Faculty work load profiles will change over time as faculty members adjust their efforts to the changing rhythms of institutional needs, their own developing abilities and interests, and new opportunities for professional growth.

Just as there is no single mold into which all Redlands faculty members must fit, there is no single way in which all faculty members are expected to attain excellence. Nonetheless, the University needs to articulate general *criteria* identifying areas of performance that form the basis of faculty review and advancement. These criteria follow from the duties of the teaching faculty (§3.6), library faculty (§3.7), and physical education and athletics faculty (§3.8). They concern success in teaching and librarianship and athletic coaching, ongoing research or

creative activity, and effective service. The University also must establish *standards* that establish qualitative performance expectations indicating the levels at which evaluation criteria must be satisfied for faculty members to attain contract renewal, promotion, tenure, and positive senior reviews.

This Section of the *Handbook* sets out the criteria and standards that ground judgments regarding reappointment, promotion in academic rank, tenure, and senior reviews. It also discusses the kinds of evidence to be used by the Faculty Review Committee, the academic Deans, the Provost, the President, and ultimately the Board of Trustees in making those judgments through the process of faculty review (§3.10).

3.9.1 Definitions of Terms Relevant to Promotion in Rank and Tenure

For the purposes of this *Handbook*,

- *criteria* identify areas of performance upon which evaluative judgments are based,
- *standards* are qualitative descriptions of performance that establish levels at which criteria must be satisfied in order to warrant favorable personnel judgments,
- *judgments* are personnel recommendations and decisions made by responsible groups (such as the Faculty Review Committee) and individuals (such as an academic dean) according to the procedures described in §3.10,
- *evidence* comprises documents and other supportive materials submitted as part of the review dossier file (§3.9.4) that are used by those charged with making judgments in the faculty review process to determine whether a candidate for review has satisfied the applicable standards for the personnel decision at issue, and
- *sustained performance* is performance that establishes a clear pattern over time (e.g., over the period of time considered in a review). Such a pattern could be a trend (e.g., a trend toward improvement), and it could admit a small number of instances that are inconsistent with the overall direction (e.g., the odd class that does not work well for identifiable reasons). However, *sustained positive performance* (e.g., “sustained outstanding teaching”) is consistent with a small number of exceptions only if those exceptions do not themselves constitute or fit into a pattern of problems or issues (e.g., courses that experience problems for similar reasons).

3.9.2 Minimum Qualifications for Academic Rank

The following minimum qualifications must be demonstrated by a candidate in order for that person to receive initial appointment or promotion to an academic rank at the University.

3.9.2.1 Minimum Degree Requirements for Academic Rank

Only earned degrees awarded by regionally accredited post-secondary institutions or comparable foreign institutions will satisfy the qualifications for initial appointment or promotion in academic rank.

The earned doctorate (or its acceptable foreign equivalent) is the terminal degree required for initial appointment to the rank of Assistant Professor or above, for tenure, and for promotion in rank in all programs except those identified below; the terminal degree requirements for these areas of exception are designated as follows:

- | | |
|---------------------------------------|---|
| • M.A. or M.S. | - Physical Education and Athletics, |
| • M.F.A. | - Creative Writing, Studio Art, Theatre |
| • M.S. in Library/Information Science | - Library Faculty |
| • M.A. or M.S. | - Clinical faculty in Communicative Disorders |

In case of dispute regarding the acceptability of a degree or its appropriateness to satisfy the minimum criteria for a position, the decision of the appropriate Dean is final.

3.9.2.2 Minimum Qualifications for Initial Appointment in Rank for Members of the Teaching Faculty

The following qualifications must be demonstrated by a candidate in order to receive initial appointment to the following academic ranks as a member of the teaching faculty at the University:

- **Lecturer Level I, II, III**

Possession of an earned academic degree and other professional or academic experience appropriate for teaching a designated range of courses within the curriculum, as determined by the Dean in consultation with the Provost. A Lecturer need not possess (or be in the process of completing) the terminal degree required for the rank of Assistant Professor.

Lecturer Level I – in addition to the general prerequisites for lecturer, up to (1) year of credited, full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

Lecturer Level II – in addition to the general prerequisites for Lecturer, two (2) to three (3) years of credited full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

Lecturer Level III – in addition to the general prerequisites for Lecturer, four (4) or more years of credited full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

- **Senior Lecturer Level I, II, III, IV, V**

Possession of an earned academic degree that would qualify the person for appointment as Lecturer with the equivalent of six (6) years of credited teaching experience at a comparable regionally accredited four-year college or university.

Senior Lecturer Level I – in addition to the general prerequisites for Senior Lecturer, at least six (6) credited years at the rank of Lecturer.

Senior Lecturer Level II – in addition to the prerequisites for Senior Lecturer Level I, at least three (3) years in the rank of Senior Lecturer.

Senior Lecturer level III – in addition to the prerequisites for Senior Lecturer Level II, at least six (6) years in the rank of Senior Lecturer.

Senior lecturer Level IV – in addition to the prerequisites for Senior Lecturer level III, at least six (6) years in the rank of Senior Lecturer.

Senior Lecturer Level V – in addition to the prerequisites for Senior Lecturer Level IV, at least six (6) years in the rank of Senior Lecturer.

- **Instructor**

In the process of completing the requirements for the Ph.D. Possession of professional or academic experience required to teach the designated courses, as determined by the Dean in consultation with the Provost.

The rank of Instructor may be held for no more than three (3) years in a probationary appointment (§3.2.1). Completion of the Ph.D. is necessary in order for a faculty member to undergo a four-year review. The degree must be completed prior to the beginning of the academic year in which the four-year review is scheduled to occur. If the degree is not completed by that time, the fourth year will become the terminal year of the contract, and the scheduled four-year review will be canceled.

An instructor will be promoted to the rank of Assistant Professor immediately upon presentation of proof to Academic Affairs that the Ph.D. has been completed (§3.9.5.3).

- **Assistant Professor Level I, II, III**

An earned doctorate or terminal professional degree appropriate to the area of responsibility and professional or academic experience required to teach the designated courses, as determined by the Dean in consultation with the Provost (§3.9.5.4).

Assistant Professor Level I - in addition to the general prerequisites for Assistant Professor, up to one (1) year of credited, full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

Assistant Professor Level II - in addition to the general prerequisites for Assistant Professor, two (2) to three (3) years of credited full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

Assistant Professor Level III - in addition to the general prerequisites for Assistant Professor, four (4) or more years of credited full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

- **Associate Professor Level I and II**

An earned doctorate or terminal professional degree appropriate to the area of responsibility and professional or academic experience required to teach the designated courses, as determined by the Dean in consultation with the Provost. Appointment further requires that the person meet the standards for promotion to this rank (§3.9.5.5).

Associate Professor Level I - in addition to the general prerequisites for Associate Professor, at least six (6) credited years at the rank of Assistant Professor and a successful promotion review at a comparable regionally accredited four-year college or university.

Associate Professor Level II - in addition to the prerequisites for Associate Professor Level I, at least three years in the rank of Associate Professor.

- **Professor**

An earned doctorate or terminal professional degree appropriate to the area of responsibility and professional or academic experience required to teach the designated courses, as determined by the Dean in consultation with the Provost. Appointment further requires that the person meet the standards for promotion to this rank (§3.9.5.6).

Professor Level I - in addition to the general prerequisites for Professor, a successful promotion review to the rank of Professor at a comparable regionally accredited four-year college or university.

Professor Level II - in addition to the general prerequisites for Professor, at least six (6) credited years at the rank of Professor.

Professor Level III - in addition to the general prerequisites for Professor, at least twelve (12) credited years at the rank of Professor.

In case of dispute regarding the acceptability of a school as a comparable regionally accredited four-year college or university, the decision of the appropriate Dean is final.

3.9.2.3 Minimum Qualifications for Initial Appointment in Rank for Members of the Library Faculty

The following qualifications must be demonstrated by a candidate in order to receive initial appointment to the following academic ranks as a member of the library faculty at the University:

- **Assistant Librarian**

Possession of a master's degree in library/information science from an ALA-accredited institution or its foreign equivalent, with the potential for satisfactorily fulfilling the duties and responsibilities of a librarian.

- **Associate Librarian**

Possession of a master's degree in library/information science from an ALA-accredited institution or its foreign equivalent, with a minimum of six (6) years of full-time experience at the rank of Assistant Librarian and successful completion of a performance review for promotion to Associate Librarian at a comparable regionally accredited four-year college or university.

- **Librarian**

Possession of a master's degree in library/information science from an ALA-accredited institution or its foreign equivalent, with a minimum of six (6) years of full-time experience at the rank of Associate Librarian and successful completion of a performance review for promotion to Librarian at a comparable regionally accredited four-year college or university.

In case of dispute regarding the acceptability of a school as a comparable regionally accredited four-year college or university, the decision of the appropriate Dean is final.

3.9.2.4 Minimum Qualifications for Initial Appointment in Rank for Members of the Physical Education and Athletics Faculty

The following qualifications must be demonstrated by a candidate in order to receive initial appointment to the following academic ranks as a member of the physical education and athletics faculty at the University:

- **Instructor**
In the process of completing the requirements for a master's degree in an appropriate field, with sufficient experience in the area(s) of responsibility to have the potential for satisfactorily fulfilling the duties of the position.
- **Assistant Professor**
Possession of a master's degree in an appropriate field, with sufficient experience in the area(s) of responsibility to have the potential for satisfactorily fulfilling the duties of the position.
- **Associate Professor**
Possession of a master's degree in an appropriate field, with a minimum of six (6) years of full-time, successful teaching and coaching experience in the area(s) of responsibility at the rank of Assistant Professor and successful completion of a performance review for promotion to Associate Professor at a comparable regionally accredited four-year college or university.
- **Professor**
Possession of a master's degree in an appropriate field, with a minimum of six (6) years of full-time, successful teaching and coaching experience in the area(s) of responsibility at the rank of Associate Professor and successful completion of a performance review for promotion to Professor at a comparable regionally accredited four-year college or university.

In case of dispute regarding the acceptability of a school as a comparable regionally accredited four-year college or university, the decision of the appropriate Dean is final.

3.9.2.5 Minimum Qualifications for Initial Appointment in Rank for Members of the Artist Faculty

The following qualifications must be demonstrated by a candidate in order to receive initial appointment to the following academic ranks as a member of the teaching faculty at the University:

- **Artist Professor**
Possession of an earned academic degree and other professional or academic experience appropriate for teaching a designated range of courses within the curriculum, as determined by the Dean in consultation with the Provost, or to otherwise fulfill the duties and responsibilities of an Artist Professor as determined by the Dean in consultation with the Provost

Artist Professor Level I – in addition to the general prerequisites for Artist professor, up to one (1) year of credited, full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

Artist Professor Level II – in addition to the general prerequisites for Artist Professor, two (2) to three (3) years of credited full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

Artist Professor Level III – in addition to the general prerequisites for Artist Professor, four (4) or more years of credited full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

- **Senior Artist Professor**
Possession of an earned academic degree that would qualify the person for appointment as Artist Professor with the Equivalent of six (6) years of credited teaching experience at a comparable regionally accredited four-year college or university.

Senior Artist Professor Level I – in addition to the general prerequisites for Senior Artist Professor, at least six (6) credited years at the rank of Artist Professor.

Senior Artist Professor Level II – in addition to the prerequisites for Senior Artist Professor Level I, at least three (3) years in the rank of Senior Artist Professor.

Senior Artist Professor Level III – in addition to the prerequisites for Senior Artist Professor Level II, at least six (6) years in the rank of Senior Artist Professor.

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Senior Artist Professor Level IV – in addition to the prerequisites for Senior Artist Professor Level III, at least six (6) years in the rank of Senior Artist Professor.

Senior Artist Professor Level V – in addition to the prerequisites for Senior Artist Professor Level IV, at least six (6) years in the rank of Senior Artist Professor.

3.9.2.6 Minimum Qualifications for Initial Appointment in Rank for Members of the Clinical Faculty

The following qualifications must be demonstrated by a candidate in order to receive initial appointment to the following academic ranks as a member of the teaching faculty at the University:

- **Clinical Professor**

Possession of an earned academic degree and other professional or academic experience appropriate for teaching a designated range of courses within the curriculum, as determined by the Dean in consultation with the Provost, or to otherwise fulfill the duties and responsibilities of a Clinical Professor as determined by the Dean in consultation with the Provost.

Clinical Professor Level I – in addition to the general prerequisites for Clinical Professor, up to one (1) year of credited, full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

Clinical Professor Level II – in addition to the general prerequisites for Clinical Professor, two (2) to three (3) years of credited full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

Clinical Professor Level III – in addition to the general prerequisites for Clinical Professor, four (4) or more years of credited full-time teaching experience or equivalent credited professional experience (§3.3.2.2).

- **Senior Clinical Professor**

Possession of an earned academic degree that would qualify the person for appointment as Clinical Professor with the equivalent of six (6) years of credited teaching experience at a comparable regionally accredited four-year college or university.

Senior Clinical Professor Level I – in addition to the general prerequisites for Senior Clinical Professor, at least six (6) credited years at the rank of Clinical Professor.

Senior Clinical Professor Level II – in addition to the prerequisites for Senior Clinical Professor Level I, at least three (3) years in the rank of Senior Clinical Professor.

Senior Clinical Professor Level III – in addition to the prerequisites for Senior Clinical Professor Level II, at least six (6) years in the rank of Senior Clinical Professor.

Senior Clinical Professor Level IV – in addition to the prerequisites for Senior Clinical Professor Level III, at least six (6) years in the rank of Senior Clinical Professor.

Senior Clinical Professor Level V – in addition to the prerequisites for Senior Clinical Professor Level IV, at least six (6) years in the rank of Senior Clinical Professor.

3.9.3 Criteria for the Evaluation of Faculty Performance

The criteria used to evaluate faculty members for contract renewal, promotion in rank, tenure, and in senior faculty reviews emphasize fulfillment of faculty duties and responsibilities as described in §§3.6, 3.7, and 3.8 of this *Handbook* through

- successful teaching (or librarianship or athletic coaching) (§§3.9.3.1 - 3.9.3.3), maintaining an ongoing program of research or creative activity (§3.9.3.4), and providing effective service as each of these is described in this *Handbook* (§3.9.3.5). Evaluation criteria also include
- performance of other mutually agreed upon duties and responsibilities, as specified in a faculty member's letter of initial appointment or as modified in subsequent correspondence (§3.2.1), and
- professional conduct consistent with the standards described in §3.5 of the *Handbook*.

3.9.3.1 Teaching

Defining itself first and foremost as a community of teachers and learners, the University of Redlands

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invites faculty members to share their passion for their disciplines and their understanding of connections between their disciplines and others with colleagues and, most of all, with our students. This commitment to student learning stands at the heart of our mission.

The University expects members of the teaching faculty to fulfill their responsibilities as teachers by facilitating the intellectual or artistic development of their students in scheduled courses and in other contexts (e.g., through independent studies, informal disciplinary and cross-disciplinary advising) in which instruction occurs. More broadly, the University expects faculty members to retain a career-long commitment to teaching and supports their professional development with a number of resources that can assist them in meeting this challenge (Ch. 2). The University fosters an institutional climate conducive to the improvement of teaching and learning by encouraging faculty members to discuss their teaching with one another, to invite colleagues to sit in on their courses, and to take advantage of opportunities to teach with others.

It follows that the quality of a faculty member's contribution to student learning—his or her *success* as a teacher—is the most important criterion for evaluating the performance of teaching faculty. To receive contract renewal, promotion, tenure, or a positive senior review a member of the teaching faculty must provide evidence of continued success in teaching at a level of accomplishment satisfying the applicable standards (§3.9.5). No matter how significant they may be, achievements in other areas of faculty work cannot counterbalance deficient teaching.

Any evaluation of the teaching of a Redlands faculty member should take into account the following *features of successful teaching*:

- *Motivation and mentoring*
Through their commitment to and enthusiasm for their subject matter, successful teachers stimulate their students' intellectual curiosity or artistic vision and enable them to become independent learners. They model for their students the high standards of performance and professionalism appropriate to their disciplines, provide them guideposts toward attaining those standards, and hold them consistently accountable. Successful teaching encourages students to participate actively in the process of learning across differences in, e.g., level of ability, interest, life experience, learning style, sexual orientation, and gender, racial or ethnic background. It provides the inspiration, guidance, and support that students need for self-directed research, independent study, and senior projects, as well as for successful learning in courses.
- *Content expertise*
Successful teaching faithfully presents a discipline or an interdisciplinary framework—in the current state of its development—to students through a faculty member's own interpretative and evaluative perspective. By identifying the depth of inquiry and level of achievement appropriate to a course, a faculty member challenges students to achieve excellence. By relating their subjects to other areas of inquiry, faculty members show their students how to interconnect the different aspects of their academic work. By illuminating relations between theory and application, faculty members enable students to connect their academic work to other aspects of their lives. By acknowledging the limits to their own expertise, faculty members model academic integrity and demonstrate the need for life-long learning.
- *Course design*
A course whose content is well structured has integrity within a discipline (or across disciplines) and reflects the University's prevailing academic standards and expectations. The careful selection of course content, sequencing of learning experiences, identification and development of effective course materials, and crafting of laboratory exercises, individual and group activities, writing assignments, examinations, etc. all facilitate students' learning. Successful teaching leads students to improve their mastery of critical, analytical, creative, or other skills appropriate to the subject matter.

The components of a course—e.g., the organizational structure of course material, course expectations, and grading standards—should be represented clearly and accurately to students in course syllabi. In cases where faculty members are called upon to collaborate with colleagues or with students in the design of courses, their ability to contribute to such joint efforts enhances successful teaching and learning.

Finally, successful teaching requires the renewal of existing courses and the preparation of new ones over time. These efforts are guided by faculty members' personal interests and expertise, by the developments in a field, and by the curricular needs of academic programs.

- *Pedagogy*
Successful teachers bring course content alive and make it accessible to their students. To do so, successful teachers employ techniques, activities, and strategies that enable them to present ideas effectively and explain complex concepts clearly. They use a variety of approaches to teaching (e.g., lecture, discussion, small-group activities, writing, etc.) to reflect the diverse learning styles of their students and achieve the learning objectives of their courses. They create learning environments that encourage students to participate and enable critical discourse to occur. They welcome questions—listening well to students, understanding their queries and confusions, and responding in creative and constructive ways.

The University expects faculty members to remain actively engaged in their own pedagogical development and that of their colleagues—whether through informal interactions with other faculty members or through the various formal opportunities for the improvement of teaching available to them through the University and external professional organizations.

- *Course management*
Faculty members should be proficient in organizing and executing tasks that support instruction, such as preparing course assignments and examinations, providing timely and helpful comments on student work, keeping accurate records, holding regular posted office hours and otherwise making themselves available to students for consultation outside of class, conscientiously preparing final course grades or narrative evaluations in accordance with University standards, and submitting them to the Office of the Registrar on time.
- *Success in fostering student learning*
The most important aspect of successful teaching is a faculty member's ability to enable his or her students to develop as scholars or artists—i.e., to learn. The preceding five considerations collectively aim at this end and take their value from it. Such success will be marked primarily by students' active engagement with the discipline and the quality of their resulting work. It is true that students must do their part as well, but a faculty member's fundamental job is to encourage and help them to do so. Success in teaching derives ultimately from a faculty member's abiding care for his or her students and unwavering commitment to their success. No amount of expertise or attention to the individual activities that go into teaching can compensate for an overall lack of success in fostering student learning.

Evaluation of teaching in faculty review

Informed judgments about a colleague's teaching should be based on evidence relating to the preceding features of successful teaching. Such evidence should be obtained in a variety of ways that include review of syllabi, multiple class visits, team-teaching, discussions of pedagogy, and careful reading of student course evaluations. Additional information regarding teaching performance can be obtained through the retrospective comments of majors and alumni who have had time to reflect on (and perhaps to better appreciate) the value of a faculty member's instruction. In some cases, the performance of students in other courses, following work with a faculty member, can indicate the quality of the latter's teaching as well.

3.9.3.2 Librarianship

The University expects members of the library faculty to perform effectively in facilitating access to information to advance and support the University's programs of instruction, research, and service.

Any evaluation of the work of Redlands library faculty members according to this criterion should take into account the following features of *successful librarianship*:

- remaining current in their major areas of responsibility,
- remaining actively engaged in their own professional development and that of their colleagues—whether through informal interactions with other faculty members or through the various formal opportunities for the improvement of librarianship available to them through the University and through external professional organizations,
- planning, organizing, and maintaining materials within their specific areas of responsibility,
- keeping informed of relevant new developments in information technology,
- enabling members of a diverse student population to engage actively in the information-seeking process,
- evaluating information resources and delivery systems in a timely manner and in accordance with accepted national library standards for college libraries (as articulated by professional organizations such as ACRL), and
- becoming familiar and acting in accordance with applicable University academic policies and regulations (§3.6.1.14).

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3.9.3.3 Athletic Coaching

The University expects members of the physical education and athletics faculty to work effectively with students in courses and on athletic teams to advance and support the University's educational mission.

Any evaluation of the work of Redlands physical education and athletics faculty members according to this criterion should take into account the following *features of successful athletic coaching*:

- motivating individual student-athletes and developing teams—helping them to improve their athletic skills and to perform at maximum effectiveness through practice and in competition,
- demonstrating expertise and knowledge in their area(s) of responsibility,
- using effective methods of teaching and strategies of coaching (including effective communication) in practices, competitions, and other settings,
- displaying the personal attributes of integrity, industry, open-mindedness, and objectivity in carrying out their duties,
- providing leadership in their sport(s) consistent with the overall academic aims, objectives, and mission of the University, and
- setting as their highest priority the physical, mental, and emotional development of each student-athlete.

3.9.3.4 Research or Creative Activity

Though necessary for reappointment, promotion in rank, tenure, and positive senior reviews, successful teaching alone is not sufficient and indeed will be possible, over time, only in the context of an active scholarly or artistic life. Evaluating the quality of research or creative activity is one of the most important ways for the University to assess the level of expertise a faculty member brings to his or her teaching.

Thus the University expects members of the faculty to remain actively engaged—as participants and not just as observers—with the continuing conversations and innovations that constitute the lifeblood of an academic career. Specifically, the University expects its faculty members to cultivate, over the course of their careers, the scholarly or artistic independence sufficient to define problems and issues in their areas of expertise, which they then engage in their own work. Developing such a mature perspective on one's discipline enables one to integrate and evaluate the elements that constitute both its history and its present developments. The University expects such developed perspectives to inform the instruction our students receive. Remaining active as scholars or artists also enables faculty members to bring current developments in their fields to their teaching (or librarianship or coaching), to model for their students a life of involvement with their discipline(s), and to invite advanced students to participate with them in their research or creative work (which the University encourages faculty to do, where possible).

The University supports such activities through a variety of internal programs (Ch. 2), and it also encourages and supports applications for external funding.

Any evaluation of the work of Redlands faculty members according to the criterion of *ongoing research or creative activity* should be guided by the following considerations:

A broad definition of research or creative activity

Given the breadth of disciplines, the differences among teaching contexts, and the diversity of our faculty, there are many appropriate ways for faculty members to fulfill the expectation that they remain actively engaged with their fields. Specifically, the University endorses the view that research or creative activity—whether it is individual or collaborative—may originate in any of the four ways described in the report *Scholarship Reconsidered*⁸ and summarized below. These broad categories of research and creative activity are not mutually exclusive: a given project may span several areas, and a faculty member may choose to explore various categories at different stages of a professional career.

- *The Scholarship of Discovery* encompasses traditional research that creates new knowledge through original investigation that may be theoretical or empirical, disciplinary or interdisciplinary, or some combination of these. Construed broadly, this dimension of professional development also encompasses the creation of new works of art or musical composition and writing works of fiction, poetry, or creative nonfiction.
- *The Scholarship of Integration* involves the critical evaluation, synthesis, analysis, integration, or interpretation of the research or creative work produced by others. It may be disciplinary, interdisciplinary,

or multidisciplinary in nature and includes the varieties of artistic interpretation and performance.

- *The Scholarship of Application* involves applying disciplinary expertise or the results of existing scholarship (produced by oneself or others) to the investigation or solution of intellectual, social, or institutional problems. In the arts it can involve mastering a new performance repertory or exploring a style of creative activity (e.g., a style of painting) developed by someone else. Such work involves activities that make use of one's special areas of knowledge or expertise, and it demands the same levels of rigor and accountability traditionally associated with the scholarship of discovery or the scholarship of integration.
- *The Scholarship of Teaching* involves the use of one's expertise as a teacher to develop, transform, and extend the skills, methodology, and resources of pedagogy in artistic, disciplinary, or interdisciplinary teaching. It includes research and other creative work that focuses on the improvement of teaching and learning such as developing new pedagogies or pedagogical models that can be applied not only at Redlands but elsewhere in one's field.

The role of peer commentary and review

Part of what it means to be an active scholar or an artist is to participate in the extended conversation that defines a disciplinary or artistic community. Such participation naturally presents opportunities both to learn from peers and to benefit from their informed commentary on one's own work—a process that plays an essential role in a scholar or artist's continuing professional development. Effective peer review can occur in many different ways, within and across disciplines, ranging from informal conversations (or e-mail exchanges) to written comments on published papers or books to comments from judges at a juried art show. Work that has not been exposed in some way to the scrutiny of disciplinary peers may meet the highest standards, but unless such review has occurred it is difficult, and often impossible, to determine its quality with assurance.

Evaluation of research or creative activity in faculty review

At the time of a review, the University expects all members of the faculty—no matter which of the above categories of professional development characterizes their work—to produce tangible evidence of their ongoing research or artistic endeavor that has received favorable comment from disciplinary peers (§3.9.4.7). As a general rule, it is reasonable to expect that high quality professional work will be marked by some combination of the following features:

- attention to questions or applications whose relevance can be articulated in light of relevant issues in the field
- clear goals,
- adequate preparation,
- appropriate methods,
- significant or interesting conclusions, results (within the scope of the research), or artistic products,
- effective presentation, and
- reflective self-critique.

At the same time, the expectations, challenges, styles of presentation, and standards for research or creative activity can vary considerably by discipline. Accordingly, the judgments of the members of the Faculty Review Committee and academic administrators regarding a faculty member's research or creative activity should be informed by the advice of departmental colleagues and other knowledgeable peers (as expressed in letters of evaluation), especially regarding such factors as disciplinary norms, the effect on research productivity of doing work with undergraduate research students (e.g., science students involved in summer research), and other relevant conditions within the discipline or the Redlands School or department. Such advice is particularly important in setting expectations for the quantity of scholarly or artistic productivity in different disciplines.

⁸E. Boyer, *Scholarship Reconsidered: Priorities of the Professoriate* (Princeton: The Carnegie Foundation, 1990)

3.9.3.5 Service

The members of a faculty share intellectual authority over the curriculum and take professional responsibility for its quality. They also assure the quality of instruction the University provides to its students, support one another's scholarly or creative work, and maintain a University-wide culture of inquiry. As participants in the work of our academic community, faculty members contribute to the effectiveness of their colleagues as teachers, scholars, and performing artists; by advising the administration, they also enhance the long-term well being and the common good of their departments, Schools, college, and the University as a whole. These fundamental values of academic community provide the context for the expectation that all faculty members will provide effective service to their department, to their School, to their College, and to the University as a whole in accordance with their contractual obligations, institutional needs, and their personal and professional interests.

For the purposes of evaluation, *effective service* is defined as applying one's time, talents, and energy to perform or assist others in performing the necessary work of advising, faculty governance, departmental or programmatic administration, oversight of adjunct faculty and other personnel, development and oversight of curriculum, and other extra-curricular activities. As citizens of an academic community, faculty members are responsible for performing their share of this labor, which must be accomplished if departments, the Schools, the College, and the University are to function effectively and students are to be well served. Because of the importance of service to the educational mission of the University, satisfying the appropriate standard relating to this criterion is a necessary condition for contract renewal, promotion, and tenure.

Any evaluation of the work of Redlands' faculty members according to the criterion of *effective service* should be guided by the following considerations.

The broad categories described below encompass the range of professional activities that faculty members can undertake in order to fulfill their responsibilities in service. Faculty members are not expected to perform active service in all of these categories in any one review period or even across an entire career. However, they are expected to demonstrate that they are effectively performing their share of this important faculty work.

- *Curricular and program development and oversight*

The Faculty is responsible for curricular design and content, and therefore from time to time members of the faculty will be called upon to participate in the evaluation and revision of curricula and academic programs. Faculty members also formulate the academic requirements and regulations that students must follow in earning their degrees. Although they are assisted by the Registrar's Office and academic administrators, faculty members retain primary responsibility for ensuring the integrity of the curriculum in its application—e.g., determining whether a student has completed the requirements for a major or whether a given course meets the standards for satisfying a general education requirement. The effectiveness of this work is guided by a faculty member's knowledge of disciplinary practices on a national level, the particular goals of an academic program at Redlands, and the contribution of a department to the general curriculum in the College of Arts and Sciences.

- *Student academic advising*

All members of the faculty with primary appointments in the College provide academic advising to students. As academic advisors, faculty members are concerned not only with the academic welfare of students but also with their growth as whole persons.

Advising includes such activities as assisting students in planning academic programs, helping students make career plans and decisions, providing feedback to advisees regarding their overall academic performance and progress, writing letters of recommendation, making referrals to University support services (both academic and non-academic), assisting students in working through and resolving academic problems. The concern for the personal and academic well being of students that this work requires is expressed in the time and care that faculty members invest in the advising process. In performing this work, faculty members need to attain and draw upon knowledge of programmatic and general education curricula and academic policies. Effective advisors encourage students to complete their academic programs and support the learning process by providing accurate and timely academic information and advice.

Effective advisors also work with such University resources as the Office of Student Life, the Counseling Center, or the EEO Manager to ask assistance in cases of special need when students come to them with problems that fall outside their academic expertise.

Members of the faculty with primary appointments in the School of Education offer academic advising to master's degree students and credential candidates; they also provide supplemental advising to students about credential requirements. Advising includes articulating the state-mandated requirements for teaching, counseling, and administrative credentials, writing letters of recommendations, and helping students work through challenges in their courses, test requirements, and overall academic performance.

Because the School of Business has a professional staff to assist students in completing the requirements of their academic programs, which is an effective system given the unique characteristics School's programs and delivery method, members of the faculty with primary appointments in the School of Business are not expected to engage in academic advising of students. However, they are expected to respond to student solicitations for career advising or assistance with letters of recommendation.

- *Administrative service*

Faculty members have many opportunities to apply their professional expertise in supervising support personnel, helping to determine the direction of academic degree programs, administering budgets, or carrying out other administrative duties (e.g., chairing an academic department, directing an academic program, supervising a credential program, directing a grant, or directing the art gallery). In cases where faculty members are responsible for supervising adjunct faculty members, their work will entail recruiting, selecting, training and mentoring, and evaluating them. Administrative service also encompasses some of the functions of curricular design and oversight—e.g., in the work of a department chair to ensure that curricular standards for a major program are upheld consistently through departmental advising, or in the work of a program director to ensure that the students of adjunct faculty members are learning required course content.

- *Service to departments, Schools, or academic programs*

This area of service encompasses the various forms of shared work that are particular to academic departments, Schools, and programs. Such work is both ongoing (e.g., attending department meetings, managing an endowed fund, sponsoring a student organization, directing student honors projects) and episodic (e.g., assisting in a departmental or programmatic review or participating as a member of a search committee). Effective faculty members help to advance this important shared work.

- *Service to the College of Arts and Sciences, Graduate School of Theology, School of Business, School of Education, or University* Faculty members participate in faculty governance by attending college or School assemblies and the Academic Assembly and in academic programs by attending meetings of their departments or Schools. Faculty members can serve the University as a whole by taking on formal responsibilities (e.g., on governance committees or faculty search committees) or through informal activities such as assisting at Admissions events, directing a student research symposium, performing or speaking at an alumni event or at an event on campus (e.g., a High Table), or advising student organizations. Faculty members may also serve the University by undertaking activities with external groups that increase the visibility of the University or otherwise advance the University's mission.

- *Service to the academic profession*

This area of professional service includes but is not limited to holding office or some other position of responsibility in a state, regional, or national professional or disciplinary organization, serving as an evaluator, officer, or consultant for an accrediting body or as a member of a departmental evaluation team at another institution, serving as a member of a program committee or conference planning committee, or engaging in other forms of consulting in the service of one's discipline or professional community.

Evaluation of service in faculty review

In personnel reviews, the University takes account of the quantity and, more importantly, of the quality of a faculty member's contribution to service. For example, in addition to attending the meetings of a committee to which one has been elected or appointed (e.g., a search committee), a faculty member is expected to contribute to the work the committee is charged to perform. Thus in commenting on a colleague's service, faculty members should look for specific contributions that the colleague has made: work performed, projects completed, documents drafted, historical perspective or constructive criticism provided, questions raised that had not previously been considered, students well served (e.g., through conscientious advising or effective direction of adjunct faculty). Evidence of effective service can be provided through the products of such work and the commentary of colleagues and students.

3.9.3.5.1 Athletic Recruiting

In their work to recruit academically and athletically qualified students, members of the physical education and athletics faculty will introduce qualified potential student-athletes to the University through correspondence, telephone conversations, and on-campus visits. The attributes and modes of behavior that will be considered as criteria to evaluate effectiveness in recruiting include the following expectations. As recruiters, coaches are expected to

- develop and follow up on appropriate lists of prospects,
- work with the Athletic Recruiting Coordinator and the Admissions Office staff to qualify prospects and process applications in a timely and efficient manner, and
- ensure that the team has achieved a level of student-athlete participation substantially equivalent to the participation goal set for the program.

3.9.4 Evidence – the Contents of the Review Dossier File

Faculty members and academic administrators who play formal roles in the process of faculty review (§3.10) make the judgments required of them on the basis of evidence relevant to the criteria described immediately above (§3.9.3) and according to the review standards described below (§§3.9.5, 3.9.8, 3.9.9). The evidence comprises materials that are assembled in the current review dossier file according to the following guidelines.

3.9.4.1 Materials To Be Provided by the Faculty Member

Faculty members are expected to provide the following materials to be included in the current review dossier file:

- a current *curriculum vitae*,
- a reflective self-evaluation written for the current review (§3.9.4.3),
- representative materials documenting successful teaching, such as selected course syllabi, handouts, examinations, etc.,
- précis (roughly one page) of a previous sabbatical report,
- précis (roughly one page) of a previous Faculty Research Grant report,
- a list of colleagues outside the faculty member's department or area group who are in a position to comment on some aspect of the faculty member's work from whom the Dean will solicit letters of evaluation, with an indication of the aspect of work on which each one is qualified to comment,
- documentation of ongoing research or creative activity, and
- documentation of effective service.

3.9.4.2 Materials Provided by the Office of Academic Affairs

The current review dossier file contains the following items provided by the Office of Academic Affairs:

- student course evaluations from the period covered in the review (or since the time of hire for tenure-track faculty members),
- a list of courses taught during the review period, provided by the Registrar's Office,
- the self-evaluation from the most recent prior review,
- solicited confidential colleague letters of evaluation (internal and external),
- solicited confidential student letters of evaluation (internal and external),
- additional materials (if any) provided by the faculty member, the Dean, or the Faculty Review Committee to augment the contents of the dossier (§3.10.3),
- memo from the Dean following the Dean's report on the dossier; any optional response from the faculty member to the Dean's report,

- notice from the Provost to the faculty member of the right to appeal from the immediate past review (negative decision only),
- the Provost for Academic Affairs' report to Trustees from the previous review (positive or negative),
- the letter to the faculty member from the Dean regarding the most recent past Board of Trustees action (positive decisions),
- the Faculty Review Committee's letter of comments to the faculty member from the immediate past review,
- any optional written response from the faculty member following the previous review, and
- the archival dossier file (§3.4.4) from the previous review.

3.9.4.3 The Reflective Self-Evaluation

A faculty member undergoing review will prepare a reflective self-evaluation presenting a coherent account of the work he or she has done during the review period in each of the three criterion categories—teaching, research or creative activity, and service. This exercise provides, first of all, a formal occasion for self-reflection that enhances a faculty member's ability to approach his or her work as a reflective scholar. Second, it enables one to fulfill one's responsibility, when standing for review, to present evidence making one's own persuasive case that one has satisfied the criteria to the extent required by the standards applicable in the review. One meets this requirement through the reflective self-evaluation in conjunction with the supplementary evidence one includes in the dossier.

To present evidence making a persuasive case, a self-evaluation should

- enable colleagues on the Faculty Review Committee and in the Administration, who represent various disciplinary backgrounds, to understand the nature (goals and methods) of one's teaching, librarianship, or coaching, research or creative activity, and service;
- identify the particular ways one has defined one's faculty work load profile during the period of the review—i.e., describe the specific work one has performed and the relations among the different aspects of one's work load;
- highlight one's accomplishments in each of the three primary criterion categories;
- report on professional development activities one has undertaken during the time covered by the review (e.g., experimentation or incorporation of innovations in one's teaching, attending a disciplinary teaching workshop, writing a research grant, moving into a new area of research or making substantial progress on an existing project, learning to work in a new artistic medium, taking on a new leadership role in a department or a governance committee), particularly if these steps were taken in response to issues raised in a previous review;
- identify challenges in one's performance (areas of difficulty, concern, obstacles encountered, or work not yet completed), place those challenges in the larger context of one's overall accomplishments, and show that one has made responsible plans to overcome them;
- and, finally, indicate the larger professional goals one has identified for the time until the next scheduled review and show how they are to be accomplished.

In sum, the self-evaluation enables one to demonstrate an understanding of one's faculty work sufficient to articulate it to others, build on existing strengths, address challenges, and direct one's own continuing professional development as a maturing or an experienced teacher, scholar or artist, and citizen of the University.

Format

There is no single, pre-established format for the self-evaluation. The diversity of disciplines, responsibilities, and ways of fitting together the components of a faculty life will naturally be reflected in different styles of presentation. Nor is there a set length: effective documents have ranged from fewer than ten pages to more than twenty. The length should be commensurate with the time covered by the review and the complexity of one's professional life during that interval. Even so, as a rule, a more succinct and insightful document is preferable by far to a longer, less focused one. The only formal requirements are that a self-evaluation be cogent, clear, intelligible to its audience, and responsive to the above-noted objectives.

In writing a self-evaluation, faculty members are advised to reread the evaluation criteria (§3.9.3) and standards applicable in the review (§§3.9.5, 3.9.7.3, 3.9.8, or 3.9.9). It is in the interest of faculty members to ask colleagues, e.g., mentors, a department chair, or the Dean, to read a draft of the self-evaluation and make suggestions for improvement; however, faculty members are not required to do so. Colleagues who have been asked to contribute letters of evaluation often find it helpful to read a faculty member's self-evaluation beforehand, but again faculty members are not required to share a self-evaluation with them.

3.9.4.4 Letters of Evaluation

Responsible, thoughtful, and candid evaluation letters from colleagues play a central role in the review process. In evaluating the work of their colleagues, faculty members are expected to reflect the professional expectations of their disciplines in light of the criteria and standards of the University as stated in this *Handbook* and to base their opinions on evidence.

In some cases, letters of evaluation will be based on limited experience or partial evidence (e.g., knowledge of the candidate based primarily on having served with her on a governance committee). Although they are necessarily restricted in scope (perhaps commenting on only one or two criterion categories), such letters nevertheless can contribute valuable insights to a review.

In other cases, an evaluator will have more complete knowledge of a faculty member's performance across all the evaluation categories (e.g., if one is writing for a departmental or area group colleague) and so should be in a position not only to comment on the faculty member's performance but also to recommend for or against contract renewal, promotion, or tenure or provide an overall assessment of the person's performance as a senior member of the faculty. A well considered recommendation can be of considerable use to the Faculty Review Committee and academic administrators involved in the review. Such a recommendation ultimately should represent a holistic judgment. That is, it should not be a mathematical derivation generated by percentage weightings of the categories of teaching, research or creative activity, and service. Rather, a recommendation is to be a *summative professional judgment* with regard to the overall performance of the candidate, a judgment made with the long-term good of the University in mind. Letters of evaluation should also be formative: that is, they not only should offer praise for accomplishments and provide candid assessments of performance, but they also should contain specific suggestions for improvement that can be reflected in the narrative evaluation produced in the review.

Regardless of its scope, a letter of evaluation carries weight in a review in direct proportion to its cogency, the quality of its supporting evidence, and the care given to the analyses it contains. Authors of letters should indicate clearly the nature of the evidence on which they have based their judgments (e.g., class visits, reading of student evaluations, reading of published or unpublished manuscripts, viewing of shows, service together on a committee or task force).

Evaluation letters will be solicited by the appropriate Dean according to the following procedures:

Required departmental or area group letters

The Dean will solicit a confidential letter of evaluation from every faculty member holding a full-time, continuing appointment in the department or area group of a colleague undergoing review. It is the responsibility of departmental or area group colleagues to contribute such letters as requested. Moreover, each faculty member is to write an individual letter; the University's procedures neither call for nor permit submission of a letter representing a consensus recommendation from a department or area group as a whole.

Each letter from a departmental or area group colleague should provide an overall evaluation of the candidate's strengths and weaknesses in light of the needs of the institution as well as specific assessments of the quality of the candidate's teaching (librarianship or coaching), research or creative activity, and service.

Letters from chairs, center directors, or other senior colleagues

In addition to evaluating a candidate's performance, letters from chairs, center directors, or other senior colleagues should provide additional background information on the specific responsibilities of the candidate (e.g., responsibility for some part of the curriculum) as well as any other information (e.g., changes in the candidate's responsibilities since the initial appointment or any special contributions the person has made to the collective work of the faculty) that would be helpful to the Review Committee and academic administrators in making their judgments.

Additional letters

As they plan their review, faculty members are encouraged to consult with disciplinary colleagues or with the Dean to ensure that their dossiers contain letters from knowledgeable peers who not only document but also evaluate all aspects of their faculty work. To this end, faculty members undergoing review are encouraged to identify colleagues or peers (whether internal to the University or external to it), students, alumni, and others who can make a material contribution to the review. It is expected that University colleagues outside of the candidate's department or area group will contribute a letter of evaluation if asked; however, they are not obligated to do so.

Faculty members standing for tenure or promotion in rank should take special care to ensure that their dossier contains letters from knowledgeable peers who are in a position to comment on the quality of their teaching (or librarianship), research or creative activity, and service.

As with required departmental or area group letters, the Dean solicits these additional letters as well. When faculty members standing for review submit names of reviewers outside of their department or area group or outside of the University, they should include a brief, specific reason why each referee was chosen (e.g., to identify that part of the faculty member's research or creative activity on which an external referee is best able to comment or the aspect of service on which a University colleague outside of the person's department or area group is particularly well positioned to comment). Faculty members are responsible for providing to external referees materials pertinent to the evaluation letter—including a current *curriculum vitae* as well as reprints, manuscripts, slides of art works, recordings of musical performances, etc. Faculty members are encouraged to consult with the Dean or with any other appropriate colleagues in determining whom to identify as potential external referees.

Faculty members are advised to be judicious in requesting additional letters of evaluation for their dossiers. A dossier is strengthened much more by the inclusion of a limited number of letters from colleagues able to speak directly to one or more of the review criteria than by the inclusion of numerous letters, however laudatory they may be, that are less directly relevant.

Confidentiality of letters of evaluation

The review process depends upon candid, honest, and thorough letters of evaluation. To maintain the collegial working relationships of small departments and area groups that might be placed at risk should the contents of individual letters be disclosed, the University expects the authors of all evaluation letters to treat those letters as confidential, to be read only by the Review Committee, the Dean, the Provost, the President, and (very rarely) by the Academic Affairs Committee of the Board of Trustees. In this way, faculty members undergoing review will have access to evaluative comments but not to individual colleagues' statements.

The University will preserve the confidentiality of evaluation letters in accordance with procedures described in this *Handbook* and to the extent permitted under law. Faculty members should be advised, however, that should a review eventuate in a legal action, the University might be required to disclose the contents of dossier files (both current and archival), including confidential letters of evaluation, to parties to the litigation.

Potential legal liability for violations of confidentiality

Members of the faculty are advised that in writing a confidential letter of evaluation and submitting it to the Dean as requested, they are operating within the scope of their contractual responsibilities with the University. However, disclosing the contents of a confidential letter in a way not sanctioned by the review procedures specified in this *Handbook* might make them ineligible for the University's insured or uninsured protection should they incur civil or criminal liability as a result of their actions.

3.9.4.5 Student Evaluations of Teaching

Evaluations of teaching are solicited from students in each class near its end. The requisite forms are provided by the Deans office along with instructions for administering them and returning them to the appropriate office. Faculty members are not allowed to see the results of student evaluations until they have submitted all course grades.

Students taking a class for narrative evaluation will submit an evaluation of faculty performance directly to the Registrar or to the administrative assistant in the Johnston Center.

The Office of Academic Affairs will see to it that student evaluations covering the review period are included in the review dossier file.

3.9.4.6 Student Evaluations of Athletic Coaching

Written evaluations of coaching solicited from student-athletes at the conclusion of a season will be summarized by the Athletic Director and considered in the reviews of the physical education and athletics faculty.

3.9.4.7 Other Forms of Evidence Relevant to Criteria for Evaluation

The following forms of evidence are also relevant to the evaluation criteria employed in reviews. These examples are intended to be neither prescriptive nor exhaustive but rather to illustrate the kinds of additional documentation one may choose to include in a review dossier file.

Teaching

- selected course materials (e.g., case studies, exercises, writing assignments, laboratory exercises, examinations),
- documentation of computer technology or software one has developed for teaching or adapted for use in one's courses,
- documentation of other work in technology (e.g., developing web pages as part of a project in teaching, developing new ways to employ existing technology in teaching a course),
- documentation of student research one has supervised,
- documentation of a play, musical theatre piece, or opera that one directed,
- examples of student work showing academic or artistic achievement (including awards or other forms of recognition students received for work that one supervised or directed),
- documentation of capstones, honors theses, or masters theses or projects that one has supervised,
- evidence of superior student performance (e.g., research projects accepted for presentation or poster sessions at conferences) upon which one had a significant influence,
- documentation of new courses developed or previous courses significantly redesigned,
- documentation of participation in activities for the improvement of teaching (either on-campus or off-campus),
- letters or other comments from students not already included in the review dossier file, or
- documentation of teaching awards (either internal to the University or external).

Research or creative activity

- copies of manuscripts under preparation or under consideration for publication,
- documentation of presentations to disciplinary or interdisciplinary professional audiences (at Redlands or elsewhere),
- copies of presentations made to professional conferences (with indication as to whether those presentations were refereed),
- documentation of exhibits, readings of creative writing, recitals,
- copies of art gallery announcements or catalogs of gallery shows (including information about whether a show was juried), slides of art works,
- offprints or copies of published reviews, articles, or books,
- copies of research grants written (funded, unfunded, or currently under review),
- copies of materials developed under the scholarship of teaching (e.g., instructional software packages written, textbooks, editions, or lab manuals, descriptions of demonstration projects developed for use in teaching),
- documentation of technological research or applications (e.g., developing web pages as part of a project in the area of research or creative activity),
- sound or video recordings of performances,
- documentation of collaborative research (whether the collaboration involved professional peers or students),
- description or other documentation of laboratory or experimental apparatus designed or built,
- documentation of participation at professional meetings (e.g., membership on panels, responses to papers), or
- documentation of professional awards received for excellence in research or creative activity.

Service

- examples of any materials developed for use in student advising,
- documents produced or other tangible products of work on a departmental or governance committee (e.g., a policy recommendation to which one made a significant contribution as a member of a governance committee),
- documentation of work done in student recruitment or other support of admissions efforts (e.g., serving on a Faculty Admissions Committee, making calls to accepted students),
- documentation of work in advising a student organization (e.g., a fraternity, the Whitehead Leadership Society, a disciplinary student organization, Mortar Board),
- documentation of work undertaken in academic administration (e.g., work as a department chair, program director, director of a center or School),
- documentation of work as a member of a task force or advisory panel (e.g., an assessment task force, a retention committee, an academic computing advisory committee, or the Library Advisory Committee),
- documentation of work in identifying, hiring, mentoring, supervising adjunct faculty,
- documentation of work on music juries, Upper-Division Qualifying Examinations, or auditions in the School of Music,
- documentation of leadership positions held in professional organizations or significant contribution as a member of a committee (e.g., a policy committee, a program committee for a meeting) for a professional organization,
- documentation of work as the administrator or principal investigator of a University grant,
- documentation of service to the academic profession (e.g., report written as chair or member of a review team at another institution, documentation of work as a member of an accreditation team),
- documentation of work as reader or referee for grant applications (e.g., for NEH, NSF, or FIPSE),
- documentation of one's contribution to a University conference (e.g., the Conference on Diversity and Community),
- documentation of work to support a student orientation,
- documentation of a contribution to a new faculty orientation or as a new faculty mentor, or
- documentation of presentations to alumni groups, campus groups (e.g., at a High Table), or other non-disciplinary groups.

3.9.5 Standards for Appointment, Reappointment, and Promotion in Rank for the Teaching Faculty

This section of the *Handbook* describes the standards that the teaching faculty must meet to receive appointment, reappointment within rank, promotion to the next rank, tenure, or a successful senior faculty review. Successful candidates are those who demonstrate that their contributions satisfy or exceed the qualitative and quantitative expectations of the University. The standards reflect the duties faculty members undertake at Redlands (§3.6 - 3.8), the values of the University's mission, the needs of our students, and aspirations appropriate to a high-quality professional faculty. They are written in terms of the evaluation criteria that have been described above (§3.9.3). Standards change through faculty ranks, reflecting both the developmental stages in a faculty member's career at Redlands and the national academic community's shared understanding of promotion in academic rank and tenure.

Accomplishments in teaching, research or creative activity, and service are manifested indirectly in quantifiable ways, such as, for example, by courses designed, students taught or advised, publications, performances, projects undertaken on behalf of the profession, or committee on which one has served. It is possible to document such accomplishments, and without such documentation evaluators may have little or no evidence upon which to estimate the quality of a candidate's teaching, research or creative activity, or service. Such documentation additionally can provide a record of sustained, rather than sporadic, effort and accomplishment. However, quantitative measures cannot substitute for evaluations of the quality of performance; that is, regardless of the criterion, no quantity of output can overcome deficits in the quality of work. Therefore, faculty members are advised to do fewer things very well rather than many things poorly.

Reappointment

To receive a positive recommendation for reappointment, members of the faculty who do not hold tenured appointments shall demonstrate, by virtue of the evidence submitted (§3.9.4), that they are continuing to satisfy the relevant evaluation criteria (§3.9.3) at levels that meet the applicable standards for the rank presently held as specified below (§3.9.5).

Eligibility for promotion or tenure

To be eligible for promotion or tenure, full-time members of the teaching faculty must carry a minimum half-time teaching load (§§3.6.1.1, 3.6.1.3) with the remainder of the workload assigned to other academic duties, constituting an equivalent full-time load, in four (4) of the six (6) years preceding the review for promotion or tenure. Only faculty members holding tenure-track appointments are eligible to be reviewed for tenure.

A faculty member must possess the minimum degree qualifications for appointment to a given rank (§3.9.2) and minimum credited time in previous rank (see below) before standing for promotion.

Promotion

Promotion at the University is awarded not on the basis of time in rank but because of the candidate's demonstration of accomplishments that satisfy the applicable review criteria at the level specified for the desired rank. It is the final step in a process of development and evaluation that has been designed to help faculty members grow as professionals and to aid in their understanding the University's expectations. Success in this process will be based on both the candidate's professional development and accomplishments and the relationship of those accomplishments to the needs of the University.

When faculty members become eligible for promotion in rank, the responsibility for making the case that they have met the standards for advancement rests with them. To receive promotion, members of the faculty must demonstrate, by virtue of the evidence submitted (§3.9.4), that they satisfy the relevant evaluation criteria (§3.9.3) at levels that meet the applicable standards for promotion, as specified below (§3.9.5).

Tenure-track faculty members who are eligible for promotion before the end of the probationary period may stand for promotion prior to standing for tenure (§3.2.1).

It is possible for a faculty member to stand unsuccessfully for promotion to Associate Professor and at the same time receive a positive recommendation for reappointment at the rank of Assistant Professor during the probationary period, or to stand unsuccessfully for promotion to Professor and at the same time receive a positive senior review at the rank of Associate Professor (§3.9.10.3).

Faculty members who fail to satisfy applicable standards for promotion, as determined through the process of faculty review, and who receive reappointment at their current rank will be informed by the Dean of the date of their next scheduled review. Provided that an unsuccessful review for promotion is not also a denial of tenure, a faculty member is eligible to stand again for promotion in the second year following an unsuccessful promotion review.

Nonreappointment

Probationary faculty members who fail to satisfy applicable standards for reappointment or tenure, as determined through the process of faculty review, will receive notice of nonreappointment (§3.12.3).

The several components of the following standards are individually necessary and jointly sufficient for reappointment or promotion to the indicated rank.

3.9.5.1 Standards for Reappointment as Lecturer or Clinical Professor

To merit reappointment as a lecturer or clinical professor, a member of the faculty must present evidence documenting

- a) effective performance in teaching assigned courses and the promise of continued progress toward meeting the standards for promotion to Senior Lecturer. The rank of Lecturer can be considered the "apprentice" stage of teaching: with assistance from others, Lecturers should be building a repertoire of courses within their designated range of courses within the curriculum and developing their skills in the classroom, laboratory, clinic, or studio. Progress toward meeting the standards for Senior Lecturer will be shown by increasingly successful teaching performance and increasing independence in meeting the requirements described in (§§3.6.1, 3.9.3.1).
- b) effectiveness in meeting other specific responsibilities as assigned.
- c) as applicable, improvement in any area(s) of performance identified as needing attention in comments received from a previous review.

To merit a successful review a faculty member also must

- d) successfully perform the duties (§3.6) of the faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - c) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.5.2 Standards for Promotion from Lecturer to Senior Lecturer

To merit promotion from lecturer to senior lecturer, a member of the faculty must have a minimum of six (6) years' credited experience, at least two (2) of which are at the University. The faculty member also must present evidence documenting

- a) sustained excellent performance in teaching assigned courses (§§3.6.1, 3.9.3.1) with convincing evidence that the person has moved beyond the "apprentice" stage of teaching represented by the rank of Lecturer. To merit promotion to Senior Lecturer, faculty members must show that they have become accomplished teachers who can effectively perform their share of departmental or programmatic teaching (either alone or in collaboration with others) without the need for substantial assistance or intervention by other faculty members..
- b) sustained effectiveness in meeting other specific responsibilities as assigned.
- c) as applicable, improvement in any area(s) of performance identified as needing attention in comments received from a previous review.
- d) service as a Lecturer at the University (or service at the University in combination with credited service at a comparable, regionally accredited, four-year college or university) equaling six (6) years or more (as approved by the Dean).

To merit a successful review a faculty member also must

- e) successfully perform the duties (§3.6) of the faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - d) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.5.3 Standards for Promotion from Instructor to Assistant Professor

To merit promotion from Instructor to Assistant Professor, a member of the faculty must present evidence documenting

- a) completion of the terminal degree appropriate to the position held (§3.9.2).

3.9.5.4 Standards for Reappointment as Assistant Professor

To merit reappointment as an Assistant Professor, a member of the faculty must present evidence documenting

- a) effective teaching and the promise of continued progress toward meeting the standards for promotion to Associate Professor. The rank of Assistant Professor can be considered the "apprentice" stage of teaching: with assistance from others, Assistant Professors should be building a repertoire of courses and developing their skills in the classroom, laboratory, clinic, or studio. Progress toward meeting the standards for Associate Professor will be shown by increasingly successful teaching performance and increasing independence in meeting the requirements described in §§3.6.1 and 3.9.3.1.
- b) continuing active involvement with his or her discipline(s) (§§3.6.2, 3.9.3.4) as evidenced by a developing agenda of research or creative activity, with the promise of continued involvement in his or her discipline(s) or field of creative activity. Assistant Professor is a transitional rank in terms of research or creative activity. Faculty members at this rank are moving from the graduate student's dependency on others to help create a research or artistic agenda to a more independent status as scholars or artists who are able to identify problems and issues both relevant to others in a field and of personal interest. In so doing, they are able to set their own research or artistic agendas and make progress on them.

- c) effective contributions in service (§§3.6.3, 3.9.3.5) including, in the College of Arts and Sciences, the promise of becoming a successful academic advisor (§3.9.3.5).

Assistant Professors may be encountering the broad scope of faculty work for the first time in a career. They should take advantage of occasions as they arise to begin learning more about a program, department, School, college, and the University as a whole (through regular attendance at meetings, assemblies, and perhaps through service on a governance committee or task force). Opportunities will present themselves for Assistant Professors to make effective contributions, though these may be limited in scope at first. In order to merit promotion and tenure, Assistant Professors need to present a record that includes evidence of effective service and evidence that indicates a willingness to contribute substantially in the future.

- d) improvement in any area(s) of performance identified as needing attention in comments received from a previous review, as applicable.
- e) accomplishments in any other areas identified in the faculty member's profile.

To merit a successful review a faculty member also must

- f) successfully perform the duties (§3.6) of the faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - e) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.5.5 Standards for Promotion from Assistant Professor to Associate Professor

To merit promotion from Assistant Professor to Associate Professor, a member of the faculty must have a minimum of six (6) years' credited experience, at least two (2) of which are at the University. The faculty member also must present evidence documenting

- a) excellent performance in teaching (§§3.6.1, 3.9.3.1) across the range of assigned courses, with convincing evidence that the person has moved beyond the "apprentice" stage of teaching represented by the rank of Assistant Professor. To merit promotion to Associate Professor, faculty members must show that they have become accomplished teachers who can effectively perform their share of departmental or programmatic teaching (either alone or in collaboration with others) without the need for substantial assistance or intervention by other faculty members. Such persons will also display the promise of continued development as teachers towards meeting the standards for promotion to Professor.
- b) a record of involvement with his or her discipline(s) through ongoing research or creative activity (§§3.6.2, 3.9.3.4), with evidence of success in advancing some aspect(s) of an established research or artistic agenda beyond the dissertation (or other work completed to satisfy the requirements of the terminal degree). Such evidence will involve products or performances of sufficient quality and quantity to have received favorable peer review as defined above in §3.9.3.4. Appropriate products of research or creative activity will be determined by the category(ies) in which one has chosen to work—e.g., in some cases one will have made a contribution to a field of inquiry, in other cases the contributions will be directed more towards the improvement of teaching. To merit appointment as Associate Professor, candidates must also display the promise of continued engagement with their field(s) so as to develop towards meeting, over time, the standards for promotion to Professor.
- c) a record of effective contributions in service (§§3.6.3, 3.9.3.5) including, in the College of Arts and Sciences, evidence of effective performance as an academic advisor based on knowledge of the general education curriculum and departmental or programmatic curricula and the ability and willingness to assist students as they plan their academic careers.

To merit promotion to Associate Professor, faculty members must demonstrate that they have participated actively in some aspect(s) of the shared work of the faculty. Candidates should be able to point to contributions in service that have made a positive difference at the level of the department, the School, the college, or the University. More importantly, a candidate's overall record of service must indicate promise of continued contributions that over time would position him or her to meet the standards for Professor.

- d) improvement in any area(s) of performance identified as needing attention in comments received from a previous review, as applicable.
- e) evidence of accomplishments in any other areas identified in the faculty member's profile.

To merit a successful review a faculty member also must

- f) successfully perform the duties (§3.6) of the faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - e) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.5.6 Standards for Promotion from Associate Professor to Professor

To merit promotion from Associate Professor to Professor, a member of the faculty must have a minimum of six (6) credited years' of experience at the rank of Associate Professor, at least two (2) of which are at the University. The faculty member also must present evidence documenting

- a) sustained outstanding performance in teaching (§§3.6.1, 3.9.3.1) across the range of assigned courses so as to show mastery of the craft of teaching in his or her areas of competence. As accomplished teachers, Professors are expected to display outstanding performance in their own classes and, as reflective practitioners of the craft, should also be able to serve as resources for other faculty members in their own teaching. Even so, Professors are expected to remain committed to their own continuing development as teachers.
- b) a record of sustained engagement with his or her discipline(s) (§§3.6.2, 3.9.3.4) that indicates continued development as a scholar or artist beyond his or her accomplishments at the time of promotion to Associate Professor, with evidence of success in completing some substantial aspect(s) of his or her research or artistic agenda. Such evidence will involve products or performances of sufficient quality and quantity to have received favorable peer review as defined above in §3.9.3.4. Evidence of continued development as a scholar or artist may comprise more products, better products, or products indicating success in moving into a new area of inquiry or creative work. Through their research or creative work, Professors are expected to have developed a mature perspective on their field(s) that enables them to situate both their own work and the work of their students in the landscape of their discipline(s). Professors are also expected to continue their engagement with their scholarly or artistic discipline(s).
- c) a sustained record of effective contributions in service (§§3.6.3, 3.9.3.5) including, in the College of Arts and Sciences, evidence of excellent performance as an academic advisor based on thorough knowledge of the general education curriculum and departmental or programmatic curricula and the ability and willingness to assist students as they plan their academic careers.

To merit promotion to Professor, faculty members must demonstrate substantial contributions in service that have advanced some area of this shared faculty work at the level of the department, the School, the college, or the University.

- d) improvement in any area(s) of performance identified as needing attention in comments received from a previous review, as applicable.
- e) evidence of accomplishments in any other areas identified in the faculty member's profile.

To merit a successful review a faculty member also must

- f) successfully perform the duties (§3.6) of the faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - e) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.5.7 Standards for Reappointment as Artist Faculty

To merit reappointment as an Artist Professor, a member of the faculty must present evidence documenting

- a) effective performance in teaching assigned courses (§§3.6.1, 3.9.3.1).
- b) effectiveness in meeting other specific responsibilities as assigned.
- c) As applicable, improvement in any area(s) of performance identified as needing attention in comments received from a previous review.

To merit a successful review a faculty member also must

- d) Successfully perform the duties (§3.6) of the faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) – c) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.5.8 Standards for Promotion from Artist Professor to Senior Artist Professor

To merit promotion from Artist Professor to Senior Artist Professor, a member of the faculty must present evidence documenting

- a) sustained excellent performance in teaching assigned courses (§§3.6.1, 3.9.3.1).
- b) sustained effectiveness in meeting other specific responsibilities as assigned.
- c) as applicable, improvement in any area(s) of performance identified as needing attention in comments received from a previous review.
- d) service as an Artist Professor at the University (or service at the University in combination with credited service at a comparable, regionally accredited, four-year college or university) equaling six (6) years or more (as approved by the Dean).

To merit a successful review a faculty member also must

- e) successfully perform the duties (§3.6) of the faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - d) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.5.9 Standards for Reappointment as Clinical Professor

To merit reappointment as a Clinical Professor, a member of the faculty must present evidence documenting

- a) Effective performance in teaching assigned courses (§§3.6.1, 3.9.3.1).
- b) Effectiveness in meeting other specific responsibilities as assigned.
- c) As applicable, improvement in any area(s) of performance identified as needing attention in comments received from a previous review.

To merit a successful review a faculty member also must

- d) Successfully perform the duties (§3.6) of the faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - d) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

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emerge as they address a) - c) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.5.10 Standards for Promotion from Clinical Professor to Senior Clinical Professor

To merit promotion from Clinical Professor to Senior Clinical Professor, a member of the faculty must present evidence documenting

- a) sustained excellent performance in teaching assigned courses (§§3.6.1, 3.9.3.1).
- b) sustained effectiveness in meeting other specific responsibilities as assigned.
- c) As applicable, improvement in any area(s) of performance identified as needing attention in comments received from a previous review.
- d) Service as a Clinical Professor at the University (or service at the University in combination with credited service at a comparable, regionally accredited, four-year college or university) equaling six (6) years or more (as approved by the Dean).

To merit a successful review a faculty member also must

- e) Successfully perform the duties (§3.6) of the faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) – d) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.6 Institutional Need

Before approving teaching positions with renewable contracts, the Administration must give all due consideration to determining that for the foreseeable future a given position will well serve the University's needs. Nevertheless, institutional need can change in unpredictable ways, and it is ultimately the Administration's responsibility to evaluate the long-term staffing requirements across the college and Schools and allocate faculty positions accordingly. Specifically, it is the Administration's responsibility to prevent necessary positions' being displaced by unnecessary ones, to ensure over time that departments, programs, and Schools have the positions they need most to support the major and general education curricula for which they are responsible.

Therefore, prior to all contract renewals of regular term-contract and probationary faculty appointments and especially prior to a tenure decision (or the decision on a regular term-contract faculty member's first six-year contract), the Administration will consider the University's long-term need for a continuing position in the area of a faculty member's expertise. Accordingly, the academic Deans and the Provost, in consultation as appropriate with department chairs, program directors, and faculty committees, will examine the need for positions held by regular term-contract and probationary teaching faculty, taking into account such factors as

- School, departmental, or college-wide curricular planning or other planning that may affect the department or program in which the candidate is primarily employed,
- correspondence between the faculty member's expertise and the department, school, or college's educational needs,
- current or projected enrollment—overall School or college enrollment and enrollment in specific academic programs,
- current or projected staffing needs, including present patterns of tenure in the School, department, or program, projected retirement dates of present faculty members, and the effect of these factors on School, departmental, and college-wide flexibility, or
- the overall financial condition of the University.

In the rare case in which a Dean determines that a position no longer meets the requirement of institutional need, the Dean writes a report to the Provost detailing the reasons for this conclusion. Alternatively, the Provost, consulting with deans, faculty committees, and individual faculty members as appropriate, may make such a determination him- or herself. With the concurrence of the President, the Provost has authority to act and inform the person that he or she will not be reappointed for reasons of institutional need. In such a case, every effort will be made to inform the person affected as soon as possible but no later than the end of the academic year prior to the scheduled review. Otherwise, the Administration shall be construed as tacitly affirming the institutional need for the appointment.

In any instance of nonreappointment for reasons of institutional need, the position will not be replaced within a period of three (3) years, unless the released faculty member, if otherwise qualified, has been offered reinstatement and given a reasonable time of at least twenty (20) working days in which to accept or decline the University's offer. A faculty member rehired under this provision will be reinstated at his or her previously earned rank, at an appropriate salary as determined by the faculty salary plan (Ch. 4).

3.9.7 Tenure

A *tenured appointment* gives a faculty member the contractual right to continuous service with the University until the faculty member resigns, retires, or otherwise separates from service with the University (§3.12).

When faculty members become eligible for tenure, responsibility for making the case that they have met the necessary standards rests with them. To receive tenure, members of the faculty must demonstrate, by virtue of the evidence submitted (§3.9.4), that they satisfy the relevant evaluation criteria (§3.9.3) at levels that meet the applicable standards for tenure, as specified below (§3.9.7.3).

3.9.7.9 The Meaning and Justification of Tenure

The fundamental purpose of tenure—indeed, its primary justification—is to provide the necessary protection of academic freedom to the professoriate. Specifically, tenure frees faculty members to pursue knowledge or engage in unfettered creative activity and, most importantly, to share the results of their inquiries with students and other constituencies, secure that espousing unpopular viewpoints will not place them at risk of losing their employment. The institution of tenure, therefore, is essential to fulfilling the primary educational mission of the University. It is also important in helping the University to attract and retain faculty of the highest quality.

In effect, tenure shifts the burden of proof for dismissal or termination from the faculty member to the University. In the pre-tenure probationary period, the candidate must establish a record that satisfies the standards for tenure and warrants the inference that the candidate is likely, over the course of a career, to advance the long-term goals of the department, the School, the College, and the University. During the probationary period, the burden of proof for continued employment with the University rests with the faculty member. If her or his record does not support such a substantial, lifelong commitment by the institution, then tenure must be denied and the faculty member receives a one-year terminal contract. In a close decision—one that reasonably could be decided either way—those making the judgment must bear in mind that the responsibility for demonstrating that the standards for tenure have been met rests with the candidate. By contrast, after tenure has been granted, the burden of proof shifts to the University, which then must show cause and follow due process (as determined by the rules and procedures specified in this *Handbook* §3.12) in order to terminate a tenured faculty member's contract or dismiss that person for adequate cause.

Although tenure typically provides a faculty member full-time appointment at the University until retirement or resignation, it does not unconditionally guarantee life-long employment. The long-term commitment of the University to protect the academic freedom and security of the faculty member must be reciprocated by a commensurate long-term commitment to excellence as a teacher, scholar or creative artist, and citizen of our academic community. If the University is to provide the highest quality educational opportunities to our students, faculty members must continue to meet the highest standards of performance throughout their careers at the University. Therefore, a tenured faculty member may be dismissed for incompetence or for other adequate cause (§3.12.5). A tenured faculty member also may be terminated by reason of a *bona fide* financial exigency (§3.12.4.1) requiring a reduction in force of faculty, the formal discontinuance of an academic program or department not mandated by financial exigency (§3.12.4.2) entailing a reduction in force of faculty, or disability resulting from physical or mental illness that makes it impossible for a person to fulfill the essential or inherent duties and responsibilities of a faculty position with or without reasonable accommodations on the part of the University (§3.12.4.3).

3.9.7.10 Consideration of Institutional Need in Relation to a Tenure Decision

As described in §3.9.6, the University's need for a tenured appointment in a given program or department will be monitored during the probationary period and must be affirmed by the Dean and the Provost prior to a probationary faculty member's evaluation for tenure.

3.9.7.11 Standards for Tenure

In granting tenure, the University is expressing the highest level of institutional confidence that a probationary faculty member meets the applicable standards of performance and is likely to continue to do so for the remainder of his or her time at the University in a way that advances the long-term goals of the department, the School, the college, and the University.

In other words, those faculty members and administrators charged with making a tenure decision—as opposed to making a promotion decision alone—must answer two questions:

- a) Has the faculty member provided evidence sufficient to establish that he or she meets the applicable standards for rank?

and

- b) Is that evidence of sufficient quality and quantity to warrant the additional prediction that the faculty member will continue to perform at appropriately high levels and advance the long-term goals of the department, School, college, and University in the future?

Therefore, the following criteria for tenure shall apply:

- *For candidates holding the rank of Assistant Professor or Associate Professor*

In order to receive a positive recommendation for tenure, candidates shall demonstrate, by virtue of clear and convincing evidence, that over the duration of the probationary period they have

- a) satisfied the standards for promotion to Associate Professor (§3.9.5.5), and
- b) established a pattern of performance sufficient to justify the expectation of continued performance at a level satisfying the standards for Associate Professor in a way that advances the long-term goals of the department, School, college, and University, with the promise of sufficient improvement to meet, in time, the standards for promotion to Professor.

- *For candidates holding the rank of Professor*

In order to receive a positive recommendation for tenure, candidates shall demonstrate, by virtue of clear and convincing evidence, that over the duration of the probationary period they have

- a) satisfied the standards for promotion to Professor (§3.9.5.6), and
- b) established a pattern of performance sufficient to justify the expectation of continued performance at a level satisfying the standards for Professor in a way that advances the long-term goals of the department, School, college, and University.

Probationary faculty members who fail to satisfy the standards for tenure, as determined through the process of faculty review, will receive notice of nonreappointment according to the provisions of §3.12.3.

3.9.8 Standards for Appointment, Reappointment, or Promotion in Rank for the Library Faculty

This section of the *Handbook* describes the standards that must be met for library faculty members to receive appointment, reappointment within rank, promotion to the next rank, or a successful senior faculty review. Successful candidates are those who demonstrate that their contributions meet the quantitative and qualitative expectations of the University.

Successful librarianship, ongoing research or creative activity, and effective service are manifested indirectly in quantifiable ways, such as, for example, instructional sessions designed, students taught, projects completed, reference hours worked, publications, projects undertaken on behalf of the profession, committees on which a librarian has served. Without such concrete documentation, evaluators will have little or no evidence upon which to

estimate the quality of a candidate's librarianship, research or creative activity, or service. Such documentation additionally can provide a record of sustained, rather than sporadic, effort and accomplishment. However, quantitative measures cannot substitute for evaluations of the quality of performance; that is, regardless of the criterion, no quantity of output can overcome deficits in the quality of the work. Therefore, faculty members are advised to do fewer things very well rather than doing many things poorly.

Reappointment

To receive a positive recommendation for renewal of contract, members of the faculty shall demonstrate, by virtue of the evidence submitted (§3.9.4), that they are continuing to satisfy the relevant evaluation criteria (§3.9.3) at levels that meet the applicable standards for the rank presently held as specified below (§3.9.8.1 - 3.9.8.3).

Nonreappointment

Library faculty members who fail to satisfy applicable standards for contract renewal, as determined through the process of faculty review, will receive notice of nonreappointment (§3.12.3).

Eligibility for promotion

A member of the library faculty must possess the minimum degree qualifications (§3.9.2) and credited time in previous rank (see below) before standing for promotion.

Promotion

Promotion at the University is awarded not on the basis of time in rank but because of the candidate's demonstration of accomplishments that satisfy the applicable review criteria at the level specified for the desired rank. It is the final step in a process of development and evaluation that has been designed to help faculty members to grow as professionals and to aid in their understanding the University's expectations. Success in this process will be based on both the candidate's professional development and accomplishments and the relationship of those accomplishments to the needs of the University.

When faculty members become eligible for promotion in rank, the responsibility for making the case that they have met the standards for advancement rests with them. To receive promotion, members of the faculty must demonstrate, by virtue of the evidence submitted (§3.9.4), that they satisfy the relevant evaluation criteria (§3.9.3) at levels that meet the applicable standards for promotion, as specified below (§3.9.8).

It is possible for a faculty member to stand unsuccessfully for promotion to Associate Librarian and at the same time receive a positive recommendation for reappointment at the rank of Assistant Librarian during the probationary period, or to stand unsuccessfully for promotion to Librarian and at the same time receive a positive senior review at the rank of Associate Librarian (§3.9.10.3).

Library faculty members who fail to satisfy applicable standards for promotion, as determined through the process of faculty review, and who receive reappointment at their current rank will be informed by the Dean of the time of their next scheduled review. A faculty member is eligible to stand again for promotion in the second year following an unsuccessful promotion review.

The several components of the following standards are individually necessary and jointly sufficient for reappointment or promotion to the indicated rank.

3.9.8.9 Standards for Reappointment as Assistant Librarian

To merit reappointment as an Assistant Librarian, a member of the library faculty must present evidence documenting

- a) effective performance in librarianship (§3.9.8) and the promise of continued development as a librarian towards meeting the standards for promotion to Associate Librarian.
- b) continued active involvement with his or her discipline(s) (§§3.6.2, 3.9.3.4) as evidenced by a developing program of research, with the promise of continued involvement in the discipline. Assistant Librarian is a transitional rank—faculty members at this rank are moving from the graduate student's dependency on others to help create a research agenda to a more independent status as scholars who are able to identify problems and issues both relevant to others in the field and of personal interest. In so doing, they are able to set their own research or artistic agendas and make progress on them.
- c) effective contributions in service (§§3.6.3, 3.9.3.5) and the promise of continued involvement in this area of faculty work.

- d) improvement in any area(s) of performance identified as needing attention in comments received from a previous review, as applicable.
- e) accomplishments in any other areas identified in the faculty member's profile.

To merit a successful review a member of the library faculty also must

- f) successfully perform the duties (§3.7) of the library faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that library faculty members are successfully performing their duties should emerge as they address a) - e) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.8.10 Standards for Promotion from Assistant Librarian to Associate Librarian

To merit promotion from Assistant Librarian to Associate Librarian, a member of the library faculty must have a minimum of six (6) years' credited experience, at least two (2) of which are at the University.

The faculty member also must present evidence documenting

- a) excellent performance in librarianship (§3.9.3.1) across the range of assigned duties such that he or she has clearly moved beyond the "apprentice" stage of librarianship represented by the rank of Assistant Librarian. To merit promotion to Associate Librarian, members of the library faculty must show that they have become accomplished librarians who can effectively perform their share of the work of the library without the need for substantial assistance or intervention by other members of the library faculty. Such persons will also display the promise of continued development towards meeting the standards for promotion to Librarian.
- b) a record of continued involvement with his or her discipline(s) through active research (§§3.6.2, 3.9.3.4), as indicated by specific products of sufficient quantity and quality to have received favorable peer review as defined above in §3.9.3.4, with the promise of continued involvement in the discipline(s) and development as a scholar.
- c) a record of effective contributions in service (§§3.6.3, 3.9.3.5). To merit promotion to Associate Librarian, a member of the library faculty must be able to demonstrate that he or she has participated actively in some aspect(s) of the shared work of the faculty. The candidate should be able to point to contributions in service that have made a positive difference within the Library, a School, the College, or the University. More importantly, the candidate's overall record of service must indicate promise of continued contributions that over time would position him or her to meet the standards for Librarian.
- d) improvement in any area(s) of performance identified as needing attention in comments received from a previous review, as applicable.
- e) evidence of accomplishments in any other areas identified in the faculty member's profile.

To merit a successful review a member of the library faculty also must

- f) successfully perform the duties (§3.7) of the library faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that library faculty members are successfully performing their duties should emerge as they address a) - e) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.8.11 Standards for Promotion from Associate Librarian to Librarian

To merit promotion from Associate Librarian to Librarian, a member of the library faculty must have a minimum of six (6) credited years of experience at the rank of Associate Librarian, at least two (2) of which are at the University. The faculty member also must present evidence documenting

- a) sustained outstanding performance in librarianship (§3.9.3.1) across the range of assigned duties so as to show mastery of the craft in his or her areas of competence. A Librarian is expected not only to display

outstanding performance in his or her own areas of responsibility but also, as a reflective practitioner of the craft, to serve as a resource for other librarians in their own work. Even so, a Librarian is expected to show continuing commitment to his or her own professional development.

- b) a record of sustained engagement with his or her discipline(s) (§§3.6.2, 3.9.3.4) that indicates continued development as a scholar beyond his or her accomplishments at the time of promotion to Associate Librarian, with evidence of success in completing some substantial aspect(s) of his or her research. Such evidence will involve products or performances of sufficient quality and quantity to have received favorable peer review as defined above in §3.9.3.4. Evidence of continued development as a scholar may comprise more products, better products, or products indicating success in moving into a new area(s) of inquiry. Librarians are also expected to continue their active involvement with their discipline(s).
- c) a sustained record of effective contributions in service (§§3.6.3, 3.9.3.5). To merit promotion to Librarian, a member of the library faculty should be able to demonstrate substantial contributions in service that have advanced some area of this shared faculty work within the Library, a School, the College, or the University.
- d) improvement in any area(s) of performance identified as needing attention in comments received from a previous review, as applicable.
- e) evidence of accomplishments in any other areas identified in the faculty member's profile.

To merit a successful review a member of the library faculty also must

- f) successfully perform the duties (§3.7) of the library faculty and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that library faculty members are successfully performing their duties should emerge as they address a) - e) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.9 Standards for Appointment, Reappointment, or Promotion in Rank for the Physical Education and Athletics Faculty

This section of the *Handbook* describes the standards that must be met for faculty members in physical education and athletics to receive appointment, reappointment within rank, promotion to the next rank, or a successful senior faculty review. Successful candidates are those who demonstrate that their contributions meet the quantitative and qualitative expectations of the University.

Successful teaching and athletic coaching, ongoing research and professional development, and effective service are manifested indirectly in quantifiable ways, such as, for example, courses taught, student-athletes coached, conference, clinic, or workshop presentations, projects undertaken on behalf of the department, committees on which one has served. Without such concrete documentation, evaluators will have little or no evidence upon which to estimate the quality of a candidate's coaching, teaching, research or creative activity, or service. Such documentation additionally can provide a record of sustained, rather than sporadic, effort and accomplishment. However, quantitative measures cannot substitute for evaluations of the quality of performance; that is, regardless of the criterion, no quantity of output can overcome deficits in the quality of the work. Therefore, faculty members are advised to do fewer things very well rather than doing many things poorly.

Reappointment

To receive a positive recommendation for renewal of contract, members of the physical education and athletics faculty shall demonstrate, by virtue of the evidence submitted (§3.9.4), that they are continuing to satisfy the relevant evaluation criteria (§3.9.3) at levels that meet the applicable standards for the rank presently held as specified below in §§3.9.9.1 - 3.9.9.7.

Nonreappointment

Members of the physical education and athletics faculty who fail to satisfy applicable standards for reappointment, as determined through the process of faculty review, will receive notice of nonreappointment (§3.12.3).

Eligibility for promotion

A member of the physical education and athletics faculty must possess the minimum degree qualifications (§3.9.2) and credited time in previous rank (see below) before standing for promotion.

Promotion

Promotion at the University is awarded not on the basis of time in rank but because of the candidate's demonstration of accomplishments that satisfy the applicable review criteria at the level specified for the desired rank. It is the final step in a process of development and evaluation that has been designed to help faculty members to grow as professionals and to aid in their understanding the University's expectations. Success in this process will be based on both the candidate's professional development and accomplishments and the relationship of those accomplishments to the needs of the University.

When faculty members become eligible for promotion in rank, the responsibility for making the case that they have met the standards for advancement rests with them. To receive promotion, members of the faculty must demonstrate, by virtue of the evidence submitted (§3.9.4), that they satisfy the relevant evaluation criteria (§3.9.3) at levels that meet the applicable standards for promotion, as specified below in §3.9.9.

It is possible for a faculty member to stand unsuccessfully for promotion to Associate Professor and at the same time receive a positive recommendation for reappointment at the rank of Assistant Professor during the probationary period, or to stand unsuccessfully for promotion to Professor and at the same time receive a positive senior review at the rank of Associate Professor (§3.9.10.3).

Physical education and athletics faculty members who fail to satisfy applicable standards for promotion, as determined through the process of faculty review, and who receive reappointment at their current rank will be informed by the Dean of the time of their next scheduled review. A faculty member is eligible to stand again for promotion in the second year following an unsuccessful promotion review.

The several components of the following standards are individually necessary and jointly sufficient for reappointment or promotion to the indicated rank.

3.9.9.9 Standards for Reappointment as Lecturer in Physical Education and Athletics

To merit reappointment as a lecturer, a physical education and athletics faculty member must present evidence documenting

- a) effectiveness in teaching assigned courses and coaching assigned teams (if applicable - §§3.6.1, 3.9.3.1, 3.9.3.3).
- b) effectiveness in meeting other specific responsibilities as assigned.
- c) improvement in any area(s) of performance identified as needing attention in comments received from a previous review, as applicable.

To merit a successful review a physical education and athletics faculty member also must

- d) successfully perform the duties of the physical education and athletics faculty (§3.8) and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that physical education and athletics faculty members are successfully performing their duties should emerge as they address a) - c) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.9.10 Standards for Promotion from Lecturer to Senior Lecturer in Physical Education and Athletics

To merit promotion from lecturer to senior lecturer, a physical education and athletics faculty member must present evidence documenting

- a) sustained excellent performance in teaching assigned courses and coaching assigned teams (if applicable - §§3.6.1, 3.9.3.1, 3.9.3.3).
- b) effectiveness in meeting other specific responsibilities as assigned.
- c) improvement in any area(s) of performance identified as needing attention in comments received from a previous review, as applicable.
- d) service as a Lecturer at the University (or service at the University in combination with credited

service at a comparable, regionally accredited four-year college or university) equaling ten (10) years or more (as approved by the Dean in consultation with the Director of Athletics).

To merit a successful review a physical education and athletic faculty member also must

- e) successfully perform the duties of the physical education and athletics faculty (§3.8) and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - d) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.9.11 Standards for Promotion from Instructor to Assistant Professor of Physical Education and Athletics

To merit promotion from Instructor to Assistant Professor, a physical education and athletics faculty member must present evidence documenting

- a) completion of the terminal degree appropriate to the position held (§3.9.2).

3.9.9.12 Standards for Reappointment as Assistant Professor of Physical Education and Athletics

To merit reappointment as an Assistant Professor, a physical education and athletics faculty member must present evidence documenting

- a) effective performance in fulfilling the University's expectations for teaching and the promise of continued progress toward meeting the standards for promotion to Associate Professor. The rank of Assistant Professor can be considered the "apprentice" stage of teaching: with assistance from others, Assistant Professors should be building a repertoire of courses and developing their skills in the classroom. Progress toward meeting the standards for Associate Professor will be shown by increasingly successful teaching performance and increasing independence in meeting the requirements described in §§3.6.1, 3.9.3.1.
- b) effective performance in athletic coaching (§3.9.3.3) and the promise of continued development as a coach towards meeting the standards for promotion to Associate Professor (see a), above).
- c) continuing active involvement with his or her discipline(s) (§3.6.2) as evidenced by work with the Director of Physical Education and Athletics (and other colleagues as appropriate) to initiate and follow through with a program of professional development related to his or her teaching and coaching. Assistant Professor is a transitional rank—faculty members at this rank are moving from the graduate student's dependency on others to guide their professional development to a more independent status at which they are able to identify problems and issues of interest and, in so doing, to set their own professional development agendas.
- d) effective contributions in service (§§3.6.3, 3.9.3.5), including athletic recruiting (§3.8.3). Assistant Professors may be encountering the broad scope of faculty work for the first time in a career. They should take advantage of occasions as they arise to begin learning more about the department, college, and University as a whole (through regular attendance at department meetings, Assemblies, and perhaps through service on a governance committee or task force). Opportunities will present themselves for Assistant Professors to make effective contributions, though these may be limited in scope at first. In order to merit promotion and tenure, Assistant Professors need to develop a record that includes evidence of effective service and evidence that indicates a willingness to contribute substantially in the future.
- e) improvement in any area(s) of performance identified as needing attention in comments received from a previous review as applicable.
- f) accomplishments in any other areas identified in the faculty member's profile.

To merit a successful review a physical education and athletics faculty member also must

- g) successfully perform the duties of the physical education and athletics faculty (§3.8) and

exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - f) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.9.13 Standards for Promotion from Assistant Professor to Associate Professor of Physical Education and Athletics

To merit promotion from Assistant Professor to Associate Professor, a physical education and athletics faculty member must have a minimum of six (6) years' credited experience, at least two (2) of which are at the University.

The faculty member also must present evidence documenting

- a) excellent performance in teaching (§§3.6.1, 3.9.3.1) and athletic coaching (§3.9.3.3) across the range of assigned courses and sports such that he or she has clearly moved beyond the "apprentice" stage of teaching and coaching represented by the rank of Assistant Professor. To merit promotion to Associate Professor, faculty members must show that they have become accomplished teachers and coaches (where applicable) who can effectively perform their share of the departmental teaching and coaching duties without the need for substantial assistance or intervention by other faculty members. Such persons will also display the promise of continued development as teachers and coaches towards meeting the standards for promotion to Professor.
- b) a record of involvement with his or her discipline(s) (§3.6.2) through ongoing professional developmental activities, with evidence of success in advancing some aspect(s) of an established professional development agenda beyond work previously completed to satisfy the requirements of the terminal degree. Such evidence will involve participation in conferences or workshops that are directly applicable to teaching or coaching or other appropriate activities that enlarge faculty members' knowledge of their field(s) and enhance their performance as teachers or coaches. To merit appointment as Associate Professor, candidates must also display the promise of continued engagement with their field(s) so as to develop towards meeting, over time, the standards for promotion to Professor.
- c) a record of effective contributions in service, including recruiting (§§3.6.3, 3.8.3, and 3.9.3.5). To merit promotion to Associate Professor, faculty members must demonstrate that they have participated actively in some aspect(s) of the shared work of the faculty. Candidates should be able to point to contributions in service that have made a positive difference at the level of the department, the college, or the University. In Physical Education and Athletics this work is likely to emphasize recruiting. More importantly, candidates' overall records in this area must indicate promise of continued contributions that over time would position them to meet the standards for Professor.
- d) improvement in any area(s) of performance identified as needing attention in comments received from a previous review, as applicable.
- e) evidence of accomplishments in any other areas identified in the faculty member's profile.

To merit a successful review a physical education and athletics faculty member also must

- f) successfully perform the duties of the physical education and athletics faculty (§3.8) and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - e) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.9.14 Standards for Promotion from Associate Professor to Professor of Physical Education and Athletics

To merit promotion from Associate Professor to Professor, a physical education and athletics faculty member must have a minimum of six (6) credited years' of experience at the rank of Associate Professor, at least two (2) of which are at the University. The faculty member also must present evidence documenting

- a) sustained outstanding performance in teaching (§3.9.3.1) and athletic coaching (§3.9.3.3) across the range of assigned duties so as to show mastery of the craft of teaching in the areas of competence and of coaching assigned sports. As accomplished teachers or coaches, Professors are expected both to display outstanding performance in their own work and, as reflective practitioners of the craft, to serve as resources for other faculty members in their own teaching and coaching. Even so, Professors are expected to show a continuing commitment to their own development as teachers and coaches.
- b) a record of sustained engagement with his or her discipline(s) (§§3.6.2, 3.9.3.4) that indicates continued development as a teacher and coach (as applicable) beyond his or her accomplishments at the time of promotion to Associate Professor, with evidence of success in completing some substantial aspect(s) of his or her professional development agenda. Such evidence will involve work of sufficient quality and quantity to have received favorable peer review as defined above (§3.9.3.4). Through their professional development work, Professors are expected to have developed a mature perspective on their field(s) that enables them to be effective in their own teaching and coaching—to the benefit of their students and student-athletes—and to serve as resources for others.
- c) a sustained record of effective contributions in service, including recruiting (§§3.6.3, 3.8.3, and 3.9.3.5.). To merit promotion to Professor, a faculty member should be able to demonstrate substantial contributions in service (including recruitment, as appropriate) that have advanced some area of this shared faculty work at the level of the department, the college, or the University;
- d) improvement in any area(s) of performance identified as needing attention in comments received from a previous review, as applicable.
- e) evidence of accomplishments in any other areas identified in the faculty member's profile.

To merit a successful review a physical education and athletics faculty member also must

- f) successfully perform the duties of the physical education and athletics faculty (§3.8) and exhibit conduct in accordance with professional standards (§3.5).

It is understood that evidence that faculty members are successfully performing their duties should emerge as they address a) - e) in the review. Unless evidence to the contrary is presented in the dossier, it will be assumed that faculty members are exhibiting conduct in accordance with professional standards.

3.9.10 Review of Senior Faculty

Senior faculty members undergo periodic senior reviews. Before tenure (or a six-year term-contract review) faculty members are reviewed every two years; after tenure, senior reviews are required every six years. At the request of a senior member of the faculty who has submitted a letter designating a retirement date within six (6) years, this requirement may be waived by the appropriate Dean. Additionally, a member of the faculty anticipating retirement may request that his or her final senior review cover the entire extent of his or her career at the University.

3.9.10.1 Purposes of the Senior Faculty Review

Periodic reviews of the senior faculty serve the same important purposes as other reviews: they provide occasions for senior members of the faculty to reflect on their performance and receive comments on their work from peers and academic administrators. Senior reviews enable the University to recognize excellent performance, ensure that senior faculty members are remaining actively engaged with their fields, and confirm that they are continuing to perform a fair amount of the shared work of the faculty. Finally, senior reviews determine whether and to what extent the goals, priorities, and performance of senior faculty members remain consonant with the standards for their ranks.

Specifically, such reviews

- provide regular opportunities for senior faculty members to reflect formally upon their past performance and identify goals for the future,
- provide opportunities for faculty peers—represented by the members of the Faculty Review Committee—and academic administrators to evaluate a senior faculty member's performance in light of the applicable standards,
- provide opportunities for faculty peers and academic administrators to gage the success of senior faculty members in achieving the goals identified in previous reviews (as modified by any subsequent faculty load profiles),
- provide opportunities for the University to acknowledge outstanding performance of senior faculty members,
- allow the University to offer assistance to senior faculty members in achieving their professional goals and meeting the University's expectations through a professional development plan, and, when necessary,
- permit the University to take appropriate actions in response to the performance of a senior faculty member who falls below applicable standards.

3.9.10.2 Standards for a Senior Faculty Review

A *senior faculty review*, as distinguished from a promotion review, applies the standards of the faculty member's current rank. The standards for senior reviews at the ranks of Associate Professor and Professor are specified in §§3.9.5.5 and 3.9.5.6; the standards for senior reviews at the ranks of Associate Librarian and Librarian are specified in §§3.9.8.2 and 3.9.8.3; the standards for senior reviews at the ranks of Associate Professor and Professor in physical education and athletics are specified in §§3.9.9.6 and 3.9.9.7.

3.9.10.3 Possible Outcomes of a Senior Faculty Review

As is the case in all faculty personnel reviews, a faculty member undergoing a senior review will receive a written narrative response from the Dean that reflects the judgments of the Faculty Review Committee, identifies areas in which the faculty member's performance met or exceeded expectations, and notes areas for improvement (§3.10.9).

Three outcomes are possible—positive, negative, and a commendation for distinguished performance.

- *Positive review:* A senior faculty member whose performance during the period of the review is judged to meet or exceed applicable standards in all three criterial categories for the rank he or she currently holds will receive a positive review.
 - An Associate Professor - Level II or a Professor - Level III will remain at that level.
 - A Professor - Level I or Level II will be advanced to the next level.
- *Negative review:* A senior faculty member whose performance during the period of the review is judged as falling below applicable standards in one or more of the criterial categories for the rank he or she currently holds will receive a negative review. A faculty member who is notified of a negative senior review has the right to appeal as specified below (§§3.10.9, 3.10.10).
- *Commendation for distinguished performance:* A senior faculty member whose performance during the period of the review is judged to be outstanding in all three criterial categories in light of applicable standards will receive a commendation for distinguished performance. This category is reserved for exceptional achievement.

It is possible for an Associate Professor to stand unsuccessfully for promotion to Professor and still receive a successful senior review at the Associate rank. In such cases, the faculty member will be eligible to stand again for promotion in two years but will not be required to undergo another senior review for six years.

If an Associate Professor (Associate Librarian) stands unsuccessfully for promotion to Professor (Librarian) and also receives a negative senior review, then the person will be required to undergo in two (2) years a follow-up review (§3.9.10.4) or, at the faculty member's discretion, another full promotion review.

3.9.10.4 Consequences of a Negative Senior Faculty Review

If a senior review determines that a faculty member's performance does not meet applicable standards, the faculty member will design, in consultation with the Chair of the Faculty Review Committee and the Dean, a two-year professional development plan to address the deficiencies and meet the goals identified in the review. The plan must be acceptable to the Dean. It is the responsibility of the Dean to assist the faculty member not only in designing the plan but also in identifying University resources that can be used to support it.

The faculty member is not advanced in level.

In the spring of the second year subsequent to an unsuccessful senior review, the faculty member will undergo a follow-up review to determine whether he or she has met the goals outlined in the professional development plan.

The follow-up review

The Dean and the faculty member will agree, in advance, upon the scope of the follow-up review and the composition of the review dossier that will be assembled. Although the dossier may include evidence that the faculty member has been meeting the applicable standards for work in all criterial areas, the follow-up review will focus more narrowly on the issues raised in the previous senior review. The dossier will typically include a self-evaluation, a letter from the department chair or other senior colleague in the same or related discipline that evaluates the quality of the faculty member's responses to the issues raised in the previous review, and any other evidence documenting progress the faculty member has made while implementing the professional development plan. The faculty member will have the right to respond to negative materials in the dossier according to standard review procedures (§§3.10.3, 3.10.5).

The completed dossier will be evaluated by the Chair of the Faculty Review Committee (who may consult with the Faculty Review Committee) and the Dean. The Chair of the Faculty Review Committee and the Dean will meet to consider whether the faculty member has achieved the goals identified following the previous review, and the Chair of the Review Committee will draft a review report that addresses the specific issues outlined in the professional development plan. The Chair will forward this report, along with a recommendation for a positive or negative follow-up senior review, to the Dean and the Provost, in the same manner as other review reports (§3.10.8). The Dean will consider the Chair's report and prepare a recommendation to be forwarded to the Provost. If there is a substantial difference between the Chair of the Faculty Review Committee's and the Dean's recommendations or if the Provost disagrees with both recommendations, the Provost will confer with the Chair of the Committee (or with the Faculty Review Committee) and the Dean to attempt to resolve the differences before making his or her decision. The Provost then proceeds as specified in §3.10.9.

Consequences of a positive follow-up review

A faculty member receiving a positive follow-up review will no longer be supervised as closely as he or she had been during the period covered by the faculty development plan. He or she may also be advanced to the next level within rank (if earned), with an appropriate adjustment in salary under the faculty salary plan (Ch. 4). Any adjustment in salary takes effect in the faculty member's next contractual year; there will be no retroactive adjustments in salary.

The next senior review will be scheduled no later than six (6) years from the date of the follow-up review and no sooner than it would have occurred had the previous senior review been positive.

Consequences of a negative follow-up review - negotiation of a mutually acceptable course of action

A faculty member who is notified of a negative follow-up review has the right to appeal as specified below in §§3.10.9 and 3.10.10.

A faculty member who receives a negative follow-up review will not advance in level.

The faculty member and the Dean will meet to negotiate a mutually acceptable course of action responsive to the issues that have resulted in two negative performance evaluations. One such option is for the Dean and the faculty member to negotiate a *nonstandard faculty workload profile*, described in detail below. Other options would include but would not be limited to reassignment of the faculty member to other duties within the University, some other mutually acceptable plan that makes best use of the faculty member's strengths and minimizes problems associated with his or her weaknesses, or some other mutually acceptable course of action. Any such plan or course of action must be approved by the Provost, whose decision is final.

Subsequent reviews

In consultation with the faculty member, the Dean will schedule a complete senior review to occur within six years from the follow-up review. If that review is positive, the faculty member will not advance in level (depending on the terms of the negotiated course of action), but will continue to receive general increases in salary that apply to everyone else at the faculty member's rank and level. At the faculty member's discretion, a review under the terms of a standard faculty workload may occur after two years but prior to the six-year mandated review. If that review is positive, the faculty member may advance in level and returns to a standard workload profile.

Consequences of the failure to agree on a mutually acceptable course of action

If the faculty member and the Dean (with the concurrence of the Provost) cannot agree upon a mutually acceptable plan or course of action, the Administration reserves the right to take appropriate actions under the provisions of §§3.11.2 or 3.12.5.

Nonstandard faculty workload profile

One option for a negotiated arrangement between the Dean and the faculty member in the case of a negative senior review and a negative follow-up is a *nonstandard faculty workload profile* for the faculty member. Such a nonstandard workload profile would be designed to emphasize the faculty member's strengths and minimize the weaknesses that led to the negative senior review and follow-up review. For example, a faculty member who was not conducting sufficient research might agree to increased in-load teaching or service in return for the University's reducing the expectation for research. Any such nonstandard faculty workload profile must be approved by the Provost, whose decision is final. After two (2) years such a nonstandard profile may be renegotiated at the initiative of either the faculty member or the Dean, provided that both parties and Provost agree.

Alternatively, such a faculty member may request an early review (using the standards consistent with a standard faculty workload profile) by notifying the Dean prior to the beginning of the academic year in which he or she wishes the review to occur. If such a review is successful, the faculty member is advanced in level (to take effect at the beginning of the faculty member's next contractual year) and returns to a standard faculty workload profile. His or her next scheduled senior review will occur in six years. If such a review is unsuccessful, the faculty member remains on his or her nonstandard faculty workload profile, and the Dean schedules the next review to occur no later than six (6) years from the date of this most recent review.

3.9.10.5 Abbreviated Review Option

When faculty members have reached Professor - Level III or Librarian - Level III, they will continue to be reviewed every six (6) years. However, in recognition of their achievements at the University, they may elect to undergo either a standard senior review or an abbreviated review.

In an *abbreviated review*, the faculty member submits a current *curriculum vitae*, a reflective self-evaluation (§3.9.4.3), and any relevant evidence documenting activities in teaching, research or creative activity, and service the faculty member deems appropriate. The faculty member and the Dean will agree upon a limited number of evaluation letters (e.g., two - five) to be solicited by the Dean from the faculty member's departmental or area group colleagues and several others identified by agreement between the faculty member and the Dean. The Office of Academic Affairs will provide the report to the Board of Trustees from the faculty member's previous review, the archival dossier, and the faculty member's teaching evaluations from the period of the review. These materials will constitute the contents of the current review dossier file.

The abbreviated review will assess the faculty member's performance overall. If the faculty member's performance is determined to be satisfactory, the review is positive. The review letter (§3.10.9) will acknowledge areas of strength and identify any areas where improvement or mentoring might be indicated. If there are areas where, in the judgment of the reviewers, there needs to be substantial improvement, the Dean, in consultation with the faculty member and others whom it may be appropriate to involve, will institute a mentoring process designed to encourage and support improvements. Some redefinition of responsibilities may be appropriate. A follow-up review will be scheduled to occur in two (2) years as described above (§3.9.10.4).

If the follow-up review is positive, the faculty member's next review will be scheduled to occur within six (6) years. If the follow-up review reveals that the problems identified in the previous review have not been resolved, the faculty member and the Dean proceed as indicated in §3.9.10.4 to consider options for resolving the situation in a way that is acceptable both to the faculty member and the University.

3.10 Faculty Review

As members not only of the faculty of the University but also of extended professional academic communities, all faculty members have a deep and abiding interest in the integrity of the system of faculty review. This process is designed to foster responsible professional judgments concerning contract renewal, tenure, promotion, and the evaluation of the work of senior colleagues through a comprehensive assessment of the effectiveness of faculty members' performance in carrying out their assigned responsibilities, in their work as practitioners of an academic discipline and members of the teaching profession as a whole, and in their overall contribution to the University. At the same time, it is designed to provide the opportunity for faculty members to reflect formally on their own performance, to receive constructive feedback from faculty peers and academic administrators, and to renew their professional goals and plans for professional development.

The University's commitment to excellence engenders a twofold obligation that must be fulfilled in every aspect of the faculty review process: first, there is an obligation to embrace rigorous standards of performance that reflect the highest aspirations of our mission; second, there is an obligation to adhere to the principles of fairness and due process to ensure a full hearing to every faculty member up for review. It is the joint responsibility of the Deans and the Provost—representing the Administration—and the members of the Faculty Review Committee—representing the entire faculty—to collaborate in meeting these two obligations. In doing so, the faculty members and academic administrators directly involved in the review process must apply relevant standards to the examination of documented evidence of performance in applicable criterion categories in a way that is fair and unbiased. They are responsible, furthermore, for applying University standards consistently over time, across departments, and across the Schools and the College.

3.10.1 The Schedule of Faculty Reviews

All newly hired faculty members, including those appointed at the rank of Associate Professor or Professor, will undergo a first personnel review no later than the spring of the second year of service. This policy reflects the standard review schedule for a faculty member appointed to an initial three-year contract. Faculty members undergoing successful reviews may be reappointed for one, two, or three years at the discretion of the University.

Reviews of probationary faculty members

Probationary faculty members are reviewed every two years until the tenure review has been completed. For example, a probationary faculty member newly appointed as an Assistant Professor Level I with six years to tenure will be reviewed on the following schedule:

- year two initial 2-year review for advancement to Assistant Professor Level II,
- year four 4-year (pre-tenure) review for advancement to Assistant Professor Level III,
- year six review for tenure and promotion to Associate Professor Level I.

Reviews at the rank of Associate Professor

A faculty member newly promoted to the rank of Associate Professor will be reviewed as follows:

- year six eligible for promotion review to Professor Level I (optional), senior faculty review, if the faculty member declines to stand for promotion to Professor at that time or in the next year. (I.e., a faculty member may defer a promotion review for one (1) year without being required to undergo a senior review in the meantime.)

Faculty members holding the rank of Associate Professor are eligible to stand for promotion to Professor in their sixth year at that rank; however, they are not required to do so. Associate Professors who decline to stand for promotion to Professor in a given year remain eligible to stand for promotion in subsequent years. Associate Professors not choosing to stand for promotion to Professor will undergo a senior faculty review at least every six (6) years.

An Associate Professor is eligible to stand again for promotion to Professor in the second year following an unsuccessful promotion review.

Reviews at the rank of Professor

A faculty member holding the rank of Professor will undergo a senior faculty review at least every six (6) years as follows:

- year six review for advancement to Professor Level II,
- year twelve review for advancement to Professor Level III,
- year eighteen senior faculty review, with subsequent reviews occurring every six years thereafter.

Reviews of Lecturers

A Lecturer holding a renewable three-year appointment will undergo review for reappointment in the second year of that contract. Lecturers holding renewable one- or two-year appointments will undergo review if their contracts are renewed.

Members of the faculty at the rank of Lecturer are reviewed every two years until their review for promotion to Senior Lecturer I has been completed. For example, a faculty member newly appointed as a Lecturer Level I with no previous credited experience will be reviewed on the following schedule:

Reviews at the rank of Lecturer

- year two - initial 2 year review for renewal of contract and advancement to Lecturer Level II
- year four - review for renewal of contract and advancement to Lecturer Level III
- year six - review for promotion to Senior Lecturer Level I

Reviews at the Rank of Senior Lecturer

A faculty member newly promoted to the rank of Senior Lecturer will be reviewed as follows:

- year three - eligible for promotion review to Senior Lecturer Level II
- year six - eligible for promotion review to Senior Lecturer Level III
- year twelve - review for advancement to Senior Lecturer Level IV
- year eighteen - review for advancement to Senior Lecturer Level V
- year twenty four senior faculty review, with subsequent reviews occurring every six years thereafter

Members of the faculty at the rank of Senior Lecturer V undergo a senior faculty review every six (6) years.

Reviews of Artist Faculty

Members of the faculty at the rank of Artist Professor are reviewed every two years until their review for promotion to Senior Artist Professor I has been completed. For example, a faculty member newly appointed as an Artist Professor Level I with no previous credited experience will be reviewed on the following schedule:

Reviews at the rank of Artist Professor

- year two - initial 2-year review for renewal of contract and advancement to Artist Professor Level II
- year four - review for renewal of contract and advancement to Artist Professor Level III
- year six - review for promotion to Senior Artist Professor Level I

Reviews at the Rank of Senior Artist Professor

A faculty member newly promoted to the rank of Senior Artist Professor will be reviewed as follows:

- year three - eligible for promotion review to Senior Artist Professor Level II
- year six - eligible for promotion review to Senior Artist Professor Level III
- year twelve - review for advancement to Senior Artist Professor Level IV
- year eighteen - review for advancement to Senior Artist Professor Level V
- year twenty-four thereafter - senior faculty review, with subsequent reviews occurring every six years

Members of the faculty at the rank of Senior Artist Professor V undergo a senior faculty review every six (6) years.

Reviews of Clinical Faculty

Members of the faculty at the rank of Clinical Professor are reviewed every two years until their review for promotion to Senior Clinical Professor I has been completed. For example, a faculty member newly appointed as a Clinical Professor I with no previous credited experience will be reviewed on the following schedule:

- year two - initial 2 year review for renewal of contract and advancement to Clinical Professor Level II
- year four - review for renewal of contract and advancement to Clinical Professor Level III
- year six - review for promotion to Senior Clinical Professor Level I

Reviews at the Rank of Senior Clinical Professor

A faculty member newly promoted to the rank of Senior Clinical Professor will be reviewed as follows:

- year three - eligible for promotion review to Senior Clinical Professor Level II
- year six - eligible for promotion review to Senior Clinical Professor Level III
- year twelve - review for advancement to Senior Clinical Professor Level IV
- year eighteen - review for advancement to Senior Clinical Professor V
- year twenty four - senior faculty review, with subsequent reviews occurring every six (6) years.

Members of the faculty at the rank of Senior Clinical Professor V undergo a senior faculty review every six (6) years.

Reviews of the Library Faculty

Members of the library faculty at the rank of Assistant Librarian are reviewed every two years until their review for promotion to Associate Librarian has been completed. For example, a faculty member newly appointed as an Assistant Librarian Level I with no previous credited experience will be reviewed on the following schedule:

Reviews at the rank of Assistant Librarian

- year two initial 2-year review for two-year renewal of contract and advancement to Assistant Librarian Level II,
- year four 4-year review for two-year renewal of contract and advancement to Assistant Librarian Level III,
- year six - review for promotion to Associate Librarian Level I and receipt of the first six-year contract.

Reviews at the Rank of Associate Librarian

A faculty member newly promoted to the rank of Associate Librarian will be reviewed as follows:

- year six - eligible for promotion review to Librarian Level I (optional);
- senior faculty review, if the faculty member declines to stand for promotion to Librarian at that time or in the next year. (I.e., a faculty member may defer a promotion review for one (1) year without being required to undergo a senior review in the meantime.)

Reviews at the rank of Librarian

A faculty member holding the rank of Librarian will undergo a senior faculty review every six (6) years as follows:

- year six - review for advancement to Librarian Level II,
- year twelve - review for advancement to Librarian Level III,
- year eighteen - senior faculty review, with subsequent reviews occurring every six years thereafter.

Members of the faculty at the rank of Librarian undergo a senior faculty review every six (6) years.

Reviews of the Physical Education and Athletics Faculty

Members of the physical education and athletics faculty at the ranks of Instructor and Assistant Professor are reviewed every two years until their review for promotion to Associate Professor has been completed. For example, a faculty member newly appointed as an Assistant Professor with no previous credited experience will be reviewed on the following schedule:

- year two - initial 2-year review for two-year renewal of contract,
- year four - 4-year review for two-year renewal of contract,
- year six - review for promotion to Associate Professor and receipt of the first six-year contract.

A faculty member newly promoted to the rank of Associate Professor will be reviewed as follows:

- year six - eligible for promotion review to Professor,
- senior faculty review, if the faculty member declines to stand for promotion to Professor at that time or in the next year. (I.e., a faculty member may defer a promotion review for one (1) year without being required to undergo a senior review in the meantime.)

Physical education and athletics faculty members at the rank of Professor undergo a senior faculty review every six (6) years.

Reviews of other regular term faculty

Regular term faculty members who are not Lecturers, Library faculty, or Physical Education and Athletics faculty (e.g., an Artist Professor) who hold renewable three-year appointments will undergo review for reappointment in the second year of their contracts. Such term faculty members holding renewable one- or two-year appointments will undergo review if their contracts are renewed.

The annual timing of reviews

The annual schedule of faculty reviews is coordinated with meetings of the Board of Trustees, which takes final action on faculty personnel decisions, in February and May. The projected annual schedule of faculty personnel reviews is as follows:

- sabbatical applications, 4-year (pre-tenure) reviews for teaching faculty, 4-year reviews for Librarians and members of the Physical Education and Athletics faculty take place in the Fall, with final action ordinarily taken at the February Board meeting,
- reviews for tenure and promotion to Associate Professor and Associate Librarian, promotions to Professor and Librarian take place in the Winter, with final action ordinarily taken at the February or May Board meeting.
- 2-year reviews (including any such reviews that involve consideration for promotion), senior faculty reviews (including reviews of Associate Professors and Associate Librarians of six years' standing or longer who have chosen not to be reviewed for promotion to Professor or Librarian), reviews of Lecturers and other regular term faculty members (e.g., Artist Professors, etc., as specified above) take place in the Spring, with final action ordinarily taken at the May Board meeting.

3.10.2 Notification of Review Dates

Each spring the Office of Academic Affairs, in consultation with the chair of the Faculty Review Committee, the academic Deans, and the Provost, develops a detailed schedule of review dates and deadlines for the following academic year. That schedule guides the work of the Faculty Review Committee and is available to faculty members; it indicates the due-dates for review dossiers, letters of evaluation, and other supporting documents. It also indicates when review decisions need to be forwarded to the Board of Trustees in time for action at its next meeting.

Each spring the Office of Academic Affairs also compiles a list of faculty members scheduled for review and eligible to apply for promotion during the coming academic year. That list is reviewed by the academic Deans, the Provost, and relevant faculty members, who inform the Office of Academic Affairs of any discrepancies in the list. The Office of Academic Affairs announces the due-date for sabbatical proposals publicly to all faculty members. Application forms are available in the Office of Academic Affairs. The appropriate Dean formally notifies individual faculty members of their scheduled reviews or their eligibility to apply for promotion. The notification letter advises faculty members up for review to consult this *Handbook* regarding the materials they need to provide for the review dossier. It also specifies deadlines for notifying the appropriate Dean of additional referees (faculty members, students, or others, internal and external) from whom the faculty member wishes to request letters for the dossier.

3.10.3 The Management of the Review Dossier File A faculty member undergoing review, the appropriate Dean's office, and the Office of Academic Affairs share responsibility for compiling the review dossier file. This file contains the evidence upon which a faculty review is based (§3.9.4). Members of the Faculty Review Committee, the academic Deans, the Provost, the President, and the Academic Affairs Committee of the Board of Trustees have access to the complete dossier file. Because the dossier file contains confidential letters of evaluation and other confidential materials, the faculty member does not have access to it as a whole; however, upon request to the Office of Academic Affairs, the faculty member may review the non-confidential parts of the dossier file.

The appropriate Dean and the Faculty Review Committee both have the responsibility and the authority to augment the review dossier file to ensure that it contains all the information they deem necessary to the review. If the Dean or the Review Committee augments the dossier file in any way at any point in the review process, either the Dean or the Chair of the Review Committee must notify the faculty member. At that time the Dean or Review Committee Chair will also summarize in writing any information entered into the dossier file to which the candidate might wish to respond in a supplement to the self-evaluation. This process and the time-line for such a response are the same as stated in §3.10.5.

3.10.4 Letters of Evaluation

The appropriate Dean will solicit confidential letters of evaluation according to procedures described in §3.9.4.4.

Deadlines for receipt of letters

Consideration of review dossiers will not be delayed waiting for late letters. Instead, with the concurrence of the Chair of the Review Committee, the Dean may send forward a dossier to the Review Committee at the required time even if some letters are missing. This procedure is necessary so that the Review Committee and the Deans can conclude their work in time for the scheduled meetings of the Board of Trustees. The Dean will include in the dossier solicited letters that arrive after the deadline but before the Dean has completed the dossier report (§3.10.5).

3.10.5 The Dean's Report on the Dossier; the Opportunity to Supplement the Self-Evaluation

After a dossier is complete (or after the deadline for submission of materials is past), it is read by the Dean, who considers the confidential letters in the dossier in light of the faculty member's self-evaluation to discover whether any issues have been raised that the faculty member has not already addressed. The Dean informs the faculty member of any issues that have been raised in the confidential materials in the review dossier to which he or she might wish to respond before the dossier is presented to the Faculty Review Committee for deliberation. Faculty members have access themselves to all other materials in their dossiers—student evaluations and the materials they have themselves submitted. They are therefore already fully informed of any issues that may arise through these documents. The Dean will notify the candidate as well if no such issues have been raised.

At this point in the process, the Dean provides neither a summary evaluation to the candidate nor a recommendation to the Review Committee. Rather, the Dean notes—in the dossier report memo—only those issues in the file to which the faculty member may wish to respond, doing so in such a way as to maintain confidentiality. The Dean meets with the candidate to give him or her the dossier report memo and to answer any questions the candidate may have, again, without violating confidentiality.

The faculty member then has the opportunity to submit, within seven (7) working days, a written response to the Dean's memo and any additional materials. In extraordinary circumstances and with the concurrence of the Chair of the Review Committee, the Dean may extend the time for receipt of the faculty member's response. The faculty member may waive the right to submit additional materials by so notifying the Dean or by failing to respond within the allotted time. The Dean's dossier report memo, the candidate's response (if any), and any additional materials the candidate provides are included (in a separate envelope) in the dossier file, which then is presented to the Review Committee for deliberation.

3.10.6 The Responsibilities of the Faculty Review Committee, Confidentiality, Avoiding Potential Conflicts of Interest

The Faculty Review Committee is a standing committee of the Academic Assembly as defined in the "Faculty Constitution" (Appendix 1-B). Members of the Review Committee are elected by colleagues to represent them in upholding the highest standards of the faculty in the review process—by following the stated procedures, judging each case in light of the appropriate criteria and standards as stated in this *Handbook*, and maintaining the standards of professional ethics and confidentiality.

Confidentiality

All deliberations that occur in the review process are strictly confidential. The University policies on academic honesty (§3.5.3) and confidentiality (§3.5.4) make it clear that any person who divulges information concerning such deliberations to someone not privy to them violates professional ethics.

Avoiding potential conflicts of interest, bias, or advocacy

Review procedures are intended to exclude possible sources of conflict of interest, bias, or advocacy (and the appearance of conflict of interest, bias, or advocacy). Members of the Review Committee may not stand for promotion or undergo a senior review. Review Committee members in the final year of a term may apply for a sabbatical or research funding, providing that they do not participate in the subcommittees that evaluate those requests and they recuse themselves from any discussion of the committee of the whole that deals with those matters.

If a person under review is a departmental or area group colleague of a member of the Review Committee, the latter writes a letter of evaluation as required and recuses himself or herself from the Committee's deliberations on that case. If a member of the Review Committee has been asked to contribute a letter for a person under review who is not a departmental or area group colleague—i.e., if contributing a letter in this case is optional—then the Committee member makes a decision. The Committee member may contribute a letter of evaluation to the review dossier and then recuse her- or himself from the deliberation; alternately, having disclosed the potential conflict of interest, the committee member may choose not to contribute a letter of evaluation and may then participate in the deliberation and vote. Finally, a member of the Review Committee who has a close personal relationship or a history of conflict with a candidate should disclose that information to the Committee so that the Committee can decide as a whole whether the person should recuse himself or herself from the deliberation of that case. An academic administrator with either a close personal relationship or a history of conflict with a candidate is expected to disclose that information to the Committee as well.

3.10.7 The Review Committee's Consideration of the Dossier

The members of the Faculty Review Committee individually read the dossier file of every faculty member undergoing review. After the Review Committee members have read a dossier, they may meet together with the appropriate Dean or the Provost to discuss the case. The members of the Review Committee and the administrator(s) limit their discussion strictly to the materials in the review dossier (§3.9.4), which are considered in light of the applicable criteria (§3.9.3) and standards (§§3.9.5, 3.9.7, 3.9.8, 3.9.9).

Information outside of the dossier that Committee members or an administrator might possess that is not reflected in the dossier is not admitted for consideration at any stage of the review process. As indicated above (§3.10.3), the Faculty Review Committee may augment the dossier as required by soliciting additional information from the candidate or from persons either on or off campus.

If the Review Committee determines that additional information is required regarding a specific issue, it also may invite the relevant department chair, a departmental or School designate, the Director of the Library, the Athletic Director, the relevant Dean, or the Provost to meet with the Committee. The Review Committee may not turn to one of its deliberating members for such information. If the Review Committee augments the review dossier through such a conversation, the Dean must notify the faculty member and summarize in writing any information entered into the dossier file to which the candidate might wish to respond. Such notification comprises the act of augmentation (maintaining confidentiality as in all aspects of the review process) and any new information to which the candidate might wish to respond. This process and the time-line for such a response are the same as stated in §3.10.5.

3.10.8 The Committee's and the Dean's Recommendations to the Provost; the Provost's Decision

The members of the Faculty Review Committee meet without the Dean and vote to determine whether a faculty member has met the standards applicable in the review. The Review Committee takes two votes on each candidate, on two different meeting days. The Review Committee may invite the Dean or the Provost to meet with the Committee before its final deliberations and final vote.

After the Review Committee has completed its second vote, its members agree on the wording of an evaluation report that sets out their assessment of the strengths and weaknesses in the candidate's performance, includes any recommendations for improvement, indicates their overall recommendation about the review, and summarizes the Committee's reasons for its overall recommendation. (The Review Committee does not make recommendations on separate parts of the review.) The Chair of the Review Committee forwards a copy of the Committee's report (including the overall vote, without indicating how individual Committee members voted) to the Dean and to the Provost.

The Dean considers the Committee's report and incorporates as much of it as possible in composing his or her own evaluation report to the Provost. The Dean may consult with the Review Committee before finalizing his or her report and submitting it as a recommendation to the Provost. The Dean also provides a copy of his or her report to the Review Committee.

If there is a substantial difference between the Review Committee's and the Dean's recommendations or if the Provost disagrees with both recommendations, the Provost will confer with the Committee and the Dean in an attempt to understand the differences as fully as possible before finalizing his or her decision. In the case of a negative decision, even if all parties are in agreement, the Provost will confer with the Chair of the Committee, the Dean, and the Assistant to the Provost to ensure that all procedural requirements have been

fulfilled and that adequate consideration has been given to evidence in the dossier.

The Provost then finalizes his or her decision and, incorporating as much as possible from the reports of the Review Committee and the Dean, prepares an evaluation report, including grounds for the decision. The Provost provides both the Dean and the Review Committee a copy of his or her report.

The Faculty Review Committee's letter of comment to the candidate

After the Board of Trustees has approved the evaluation report, the Faculty Review Committee will write a letter of comment to the candidate, indicating whether the Committee concurs with it and providing any additional comments or advice to the candidate the Committee deems appropriate regarding his or her performance. The Committee's letter will preserve the confidentiality of the deliberations and the votes. At the conclusion of the review, the Dean will provide the candidate with the Committee's letter along with the Provost's evaluation report and any additional comments of his or her own. A copy of the Committee's letter of comment is included in the Archival Review Dossier File and the Academic Affairs File.

3.10.9 The Administrative Decision, Final Action by the Board of Trustees, Notification of a Negative Recommendation, and the Right to Appeal

A positive recommendation

The Provost submits a positive decision as a recommendation directly to the President, along with copies of the reports from the Faculty Review Committee and the Dean. The President then makes the final administrative decision, which will be presented to the Board of Trustees as a recommendation for action at its next scheduled meeting.

Notification of a negative recommendation and the right to appeal

If the decision of the Provost is negative, the faculty member will be so notified in writing by the Provost and given the right to appeal that decision prior to its review by the President and action by the Board.

The process for appealing the review decision on procedural grounds is described below (§3.10.10). An allegation that the decision represents an instance of unlawful discrimination will be referred to the University's Equal Employment Opportunity Manager to be investigated according to the provisions of the University's Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5, Appendix 3-A). Allegations of unlawful discrimination will be considered and resolved before an appeal on procedural grounds is considered and prior to any action by the Board. Any report from the Equal Employment Opportunity Manager resulting from an investigation into charges of unlawful discrimination in a faculty review will be provided to the Appeals Board if an appeal in the case is filed.

If the faculty member chooses to appeal, no recommendation is sent to the Board until the appeal is completed. If the faculty member declines to appeal, the Provost forwards his or her decision as a recommendation to the President who makes the final administrative decision and then refers that decision as a recommendation to the Academic Affairs Committee of the Board for review and action by the full Board.

Action by the board of trustees

The President, the Provost, the Dean of the College of Arts and Sciences, the Dean of the Graduate School of Theology, the Dean of the School of Business, the Dean of the School of Education, and the Chair of the Faculty Review Committee participate in an executive session of the Academic Affairs Committee of the Board in which faculty personnel review decisions are considered. The President or, at the President's request, the Provost or the appropriate Dean presents the Administration's recommendation to the Academic Affairs Committee of the Board, which in turn forwards its recommendation to the full Board for final action. The Board of Trustees retains authority over all faculty personnel review decisions; the Decision of the Board is final and may not be appealed.

Should the Board reject a recommendation of the Administration, the Board, at its discretion, may direct that the case be returned to the Faculty Review Committee, the Dean, or the Provost for reconsideration.

A faculty member whose appointment is not being renewed will receive notice according to the provisions of §3.12.3.

The Dean's subsequent communication with the faculty member

The Dean notifies the faculty member of the final decision within two (2) days of the Board's action. After the Faculty Review Committee has reviewed the final, Board-approved evaluation reports and completed its letters of comment (usually within a month), the Dean will provide each faculty member the full text of the narrative recommendation on which the Board based its action and the Review Committee's letter of comment. The

Dean provides a copy of his or her letter to the Provost and to the Faculty Review Committee. A copy is also placed in the faculty member's Academic Affairs file and in the archival review dossier file.

The Dean and the faculty member may meet to discuss the review and to agree upon any follow-up actions that are indicated. The faculty member has the option of submitting a written response to the Dean's letter; any such response will be placed in the faculty member's Academic Affairs file and in the archival review dossier file.

3.10.10 Appeals of Negative Faculty Review Decisions

A faculty member may appeal on procedural grounds a negative personnel review decision concerning reappointment, tenure, promotion, or a senior review. The Board of Trustees will not receive a contested decision until after those charged with considering the appeal have affirmed the integrity of the process by determining that the recommendation is free from prejudicial error and that it follows from adequate consideration (§3.10.10.3). If an appeal reveals that prejudicial error did occur or that the decision resulted from inadequate consideration, then the President will reconsider that decision in light of the findings of the appeal and will take corrective measures as warranted.

3.10.10.1 The Appeals Board

Each year the President and the Chair of the Academic Assembly will jointly appoint a seven (7)-person Appeals Board selected from the tenured faculty or ranked term contract faculty holding six-year contracts who are knowledgeable of review procedures. Members of the Appeals Board will be appointed to three-year terms, with approximately one-third of the members to be appointed each year. Each year the Appeals Board will elect one of its members as Chair. No member can serve concurrently on both the Mentoring Committee and the Appeals Board.

3.10.10.2 Filing An Appeal

A person seeking to appeal a negative personnel decision (the "*appellant*") must file a written petition of appeal with the Academic Affairs Office within fifteen (15) working days of receiving written notice of the negative decision. At that time, the appellant also must provide a list of three (3) members of the tenured faculty or senior regular term contract faculty who meet the criteria specified below (§3.10.10.5) and are acceptable to the appellant as members of an Appeal Committee and a list of proposed witnesses. A faculty member who does not file a petition of appeal and a list of three (3) eligible faculty members within the indicated period of time forfeits any further right of appeal.

3.10.10.3 Grounds for Appeal

There are only two grounds on which a review decision may be appealed. The appeal petition must allege facts sufficient to establish

- a) prejudicial error in the form of procedural error, violation of University policy, or violation of contract, or
- b) inadequate consideration.

The term *prejudicial* (a) does not refer to the state of mind of the members of the Faculty Review Committee, the Dean, or the Provost; rather, it refers to an assessment of the likely effect of an error in procedure, policy, or contract on a review decision. An error is prejudicial if it is reasonably probable that a result more favorable to the appellant would have been reached in the absence of the error.

Inadequate consideration (b) occurs if the Faculty Review Committee, the Dean, or the Provost (i) violated the stated procedures for including relevant evidence in the review dossier or using that evidence as a basis for judgment in the review and (ii) it is reasonably probable that a result more favorable to the appellant would have been reached had adequate consideration been given to the proper evidence. Alternatively, *inadequate consideration* occurs when a decision is not supported by substantial evidence in the dossier.

3.10.10.4 The Appeals Board's Review

Within two (2) working days of receiving the appeal petition, the Chair of the Appeals Board provides a copy of the petition to the Provost and notifies the other members of the Appeals Board. The Chair also notifies the President and Chair of the Assembly that an appeal has been filed and by whom. At that time, the Office of Academic Affairs will provide the Appeals Board copies of the following documents: the Faculty Review Committee's recommendation to the Dean, the Dean's

recommendation to the Provost, the Provost's letter to the candidate (appellant), and any report of the EEO Manager of an investigation pertaining to this review. The Appeals Board also will have access to the review dossier to clarify issues of fact, if necessary.

Any member of the Appeals Board who has a conflict of interest or bias with regard to an appeal or has substantial prior involvement in the current review (e.g., has contributed a letter of evaluation) must recuse herself or himself from the consideration of that appeal. If a quorum of four (4) or more members of the Appeals Board cannot be constituted from the remaining members of the Appeals Board, the Chair of the Assembly and the President will jointly name qualified *ad hoc* replacements sufficient to constitute a quorum.

Within seven (7) working days of receiving an appeal, a quorum of the Appeals Board meets to determine by a majority of those present and voting whether the facts alleged in the petition establish a *prima facie* case in terms of the grounds for appeal specified above.

If the Appeals Board finds that the appeal petition does not establish a *prima facie* case that appealable error occurred in the review, then the Chair of the Appeals Board will report this finding in writing to the President and the Chair of the Assembly, and the appeal is closed. The President then notifies the appellant and the Provost, reviews the Provost's original recommendation, along with the reports of the Faculty Review Committee and the Dean, and refers the Administration's decision to the Board as indicated in §3.10.9.

If the Appeals Board finds that the appeal petition does establish a *prima facie* case that appealable error occurred in the review, the Chair of the Appeals Board will so notify the President, the Chair of the Assembly, the appellant, and the Provost. Within five (5) working days of receiving notice of the Appeals Board's decision, the Provost will provide to the Appeals Board a written response to the appellant's petition, a list of three (3) members of the tenured faculty or senior regular term faculty who meet the criteria specified below (§3.10.10.5) and are acceptable to the Provost as members of the Appeal Committee and a list of proposed witnesses. The Chair of the Appeals Board forwards a copy of the Provost's written response to the appellant.

3.10.10.5 The Appeal Committee

Formation of the Appeal Committee

After receiving the above-indicated materials from the Provost, the Appeals Board will meet to name a three-person Appeal Committee—a Chair selected from among the members of the Appeals Board and two at-large members. One of the at-large members will be selected from the list of three eligible faculty members provided by the appellant; the other will be selected from the list of three eligible faculty members provided by the Provost.

Eligibility for service on an Appeal Committee - prohibition of conflict of interest or bias

The Appeals Board will disqualify from the Appeal Committee any faculty member who has a conflict of interest or bias (§3.10.6) with regard to an appeal or has substantial prior involvement in the current review (e.g., has contributed a letter of evaluation). Any person selected to serve on an Appeal Committee must disclose to the Chair of the Appeals Board any prior involvement in the review or other potential conflict of interest or bias. If suitable at-large faculty members cannot be selected from the lists provided by the appellant and Provost, then the Appeals Board will select at-large members from among the tenured faculty as they deem appropriate.

3.10.10.6 The Charge to the Appeal Committee

The members of the Appeal Committee will not act as advocates for either party to the appeal but rather, to the best of their abilities, will conduct an impartial investigation into the allegations contained in the appeal petition in light of the review procedures specified in this *Handbook*. The Appeal Committee will not be bound by strict rules of legal evidence and may consider any information that is of probative value in evaluating the merits of the appeal.

In making its decision, the Appeal Committee may not substitute its own judgment for that of the Faculty Review Committee, the Dean, or the Provost on the merits of whether the appellant should be reappointed, given tenure, promoted, or receive a positive senior review. Rather, the Appeal Committee must presume that the persons responsible for the original decision were in the best position to make it and therefore must give that decision the benefit of every reasonable inference.

Therefore, the Appeal Committee will uphold the appeal only if it concludes that

- a) the negative decision resulted from prejudicial error in the form of procedural error, violation of University policy, or violation of contract, or
- b) the negative decision resulted from inadequate consideration, as specified in §3.10.10.3. Otherwise, the Appeal Committee will deny the appeal.

3.10.10.7 The Appeal Hearing

The Appeal Committee will meet and set a date so that the hearing will begin within five (5) working days from the formation of the Appeal Committee unless a principal to the case is unavailable for sound reasons, in which case the hearing may be postponed for a period not to exceed twenty (20) working days.

The Appeal Committee will review the appeal petition, the response from the Provost, the Faculty Review Committee's recommendation to the Dean, the Dean's recommendation to the Provost, the Provost's letter to the candidate (appellant), the report (if any) of the EEO Manager, and the lists of proposed witnesses provided by the appellant and the Provost. The Appeal Committee will have access to the review dossier and to other documents as it deems necessary.

The appellant and the Provost are entitled to appear in person before the Appeal Committee. The Appeal Committee may call other witnesses at its discretion. Both principals and witnesses must appear at the hearing if called by the Appeal Committee.

The appellant may be accompanied to the hearing by an advisor who is an employee of the University. The advisor may be present only when the appellant is present, may speak only with the appellant, and may not address the Appeal Committee on the appellant's behalf. The advisor may not be called as a witness in the appeal but may answer direct questions from the Appeal Committee. Should an advisor violate or attempt to violate any of these conditions, the Appeal Committee may excuse the advisor from the hearing at its discretion.

The members of the Appeal Committee are bound by the same rules of confidentiality that apply throughout the faculty review process (§3.10.6, above). The hearing will be conducted in strictest confidence, and no party to the appeal may disclose any information regarding the hearing unless such disclosure is specified in these procedures or in the final decision. No party to the appeal may be present when any other party or witness is appearing before the Appeal Committee. No member of the Appeal Committee may unilaterally seek or accept information regarding the appeal; only the Chair of the Appeal Committee may confer individually with a party or witness to the appeal.

3.10.10.8 The Appeal Committee's Recommendation; the President's Decision At the conclusion of the hearing and by majority vote, the Committee will determine its findings of fact and recommendations in accordance with its charge (§3.10.10.6). If the Committee upholds the appeal, it may recommend a rehearing of the review or a reversal of the original decision.

The Chair of the Appeal Committee will provide to the President a written report of the Committee's findings and recommendations, as well as the reasons justifying those findings and recommendations. All members of the Appeal Committee will sign the report.

Within ten (10) working days of receiving the Appeal Committee's report, the President will decide upon appropriate action and will provide a written report of his or her decision to the appellant, the Provost, the Dean of record, the Chair of the Appeals Board, and the Chair of the Faculty Review Committee. The decision of the President may not be appealed.

If appropriate, the President then refers the Administration's decision to the Board as indicated in §3.10.9.

3.11 Faculty Grievance; Administrative Disciplinary Actions

The University expects all of its employees—faculty, staff, and administrators—to maintain the highest professional standards of conduct in their dealings with students, with external constituents, with one another, and with the University. In upholding this expectation, the University relies primarily upon its employees to regulate their own actions in accordance with institutional standards, national professional norms of conduct, and their personal values.

Unfortunately, from time to time a member of the faculty or an administrator may have reason to believe that a colleague has violated a contract (§3.2), the rights of another member of the University community (§3.5), standards of professional conduct (§3.5), another norm or expectation established in this Handbook (e.g., §§3.6, 3.7, 3.8), or some other University policy. In such cases, faculty rights and responsibilities (§3.5.8) apply. The first responsibility falls to faculty members and administrative colleagues to respond informally and assist the person through conversation and mentoring. If such informal interventions fail, faculty colleagues can ask the department chair or dean, for example, to remind the faculty member of his or her responsibilities to the University. Other administrators or members of the faculty can be enlisted to mediate a dispute between a faculty member and an administrator. The University expects the vast majority of such situations to be resolved through such informal collegial interaction. However, if a problem remains unresolved, more formal action by an individual faculty member or the Administration may be appropriate.

This section of the *Handbook* sets out policies and procedures that can be invoked when informal interventions have failed. One set of procedures is initiated by faculty members (faculty grievance - §3.11.1), the other by administrators (administrative disciplinary actions - §3.11.2). Other University procedures for addressing issues of harassment or illegal discrimination are referenced in §3.5.5. In any event, a faculty member's decision to file a grievance or bring formal charges of harassment or illegal discrimination or an administrator's decision to take a formal disciplinary action should always be seen as a last resort.

The Faculty Grievance Committee: Membership and Functions

The Faculty Grievance Committee consists of five (5) members and two (2) alternates elected at large from the faculty. Members and alternates serve two (2)-year, staggered terms. The Committee elects a chair and vice chair from among its members.

The Grievance Committee performs two related functions: (a) it processes faculty grievances, and (b) it plays a central role in procedures leading to certain administrative actions. Specifically,

- (a) The Grievance Committee carries out the functions that are assigned to it in the Faculty Grievance Procedures described immediately below (§3.11.1). In dealing with a grievance, the Committee initially attempts to resolve the situation through mediation; if mediation fails, the Committee then determines whether to hold a formal hearing and, if a hearing is to occur, constitutes the Hearing Subcommittee that hears the case.
- (b) The Grievance Committee constitutes the hearing body in procedures leading to the imposition of a major administrative disciplinary sanction (§3.11.2.4), in procedures leading to the termination of tenured faculty appointments or six-year term contract appointments (§§3.12.4.1, §3.12.4.2) for reasons of financial exigency or the discontinuance of an academic program and in dismissal proceedings (§3.12.5).

In both instances, the Grievance Committee's principal functions are (i) to assure due process by enabling all sides to a dispute to receive a full hearing of their positions, (ii) to determine findings of fact, and (iii) on the basis of those findings to recommend a course of action to the President.

3.11.1 Faculty Grievance Procedures

Scope

The University recognizes the right of members of the faculty holding contracts described in §3.2—with the exception of faculty members holding special appointment contracts with terms of less than one semester (§3.2.5)—to the review and redress of grievances relating to the terms and conditions of their employment that have not been resolved satisfactorily through informal means or normal administrative procedures and for which no other appeal or review process has been established by this *Handbook*.

The procedures specified in this section of the *Handbook* do not apply to grievances for the following causes: non-reappointment based upon personnel review (§3.10, 3.12.3), termination (§3.12.4), dismissal for adequate cause (§3.12.5), or alleged instances of harassment or unlawful discrimination.

Procedures for appeals or hearings relative to the first three causes are described in the indicated sections. A grievance alleging an instance of unlawful discrimination will be referred to the University's Equal Employment Opportunity Manager to be investigated according to the provisions of the University's Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5, Appendix 3-A). Allegations of unlawful discrimination will be considered and resolved before any other proceeding on a related matter can be undertaken. Any conclusion(s) reached by the Equal Employment Opportunity Manager on the basis of an investigation into charges of unlawful discrimination related to a grievance will be provided to the Grievance Committee if the case is presented to it.

Definition

A *grievance* is an allegation of a wrong in conjunction with the terms and conditions of employment, duties (§3.6), rights, or professional standards of behavior of faculty members (§3.5) or administrators; a *grievance* is also an allegation of violation of University policy or individual contract that adversely affects a faculty member.

A *grievance* must specify either

- a) an alleged wrongful action or
- b) an alleged wrongful failure to act

on the part of an administrator or another faculty member. A grievance cannot concern a possible wrongful action or wrongful failure to act that might occur at some future time. Finally, grievances cannot be lodged against policies of the University; a policy-related grievance must identify specific action(s) that allegedly occurred or should have occurred under University policy.

In petitioning for redress of a grievance, a faculty member must be prepared both to describe in appropriate detail the alleged wrongful action or wrongful failure to act and to state a desired remedy. The petition must be presented within six (6) months of the date of the incident(s) or alleged incident(s) that gave rise to the allegation, or the faculty member forfeits any right to proceed beyond Stage 1 of the grievance process, unless otherwise specified in this *Handbook*.

The following procedures for resolving a grievance shall apply:

3.11.1.1 Stage 1: Informal Discussion, Mediation

Before the formal grievance process can be invoked, evidence must be submitted to the Faculty Grievance Committee that the parties involved have had opportunity for full informal discussion of the issues (in accordance with §3.5.8), and have been unable to resolve them without recourse to the formal grievance procedure. It should be the objective of all parties to a dispute to use the formal process only after other alternatives have been exhausted. It is the purpose of the formal process to promote prompt and efficient investigation and resolution of grievances through mediation in accordance with procedures established by the University. Please refer to Appendix 3-C for Best Practices.

3.11.1.2 Stage 2 The Dean's Consultation with the Faculty Member

If an academic Dean has evidence that a faculty member is demonstrating continuous neglect of his or her duties (§§3.6, 3.7, 3.8) or is in violation of the standards of professional conduct (§3.5) and the Dean believes that the situation will not be improved without administrative intervention, then the Dean will meet with the faculty member (in accordance with §3.5.8) to discuss the concerns, to consider the faculty member's response, and if possible to arrive at a resolution that is acceptable to the faculty member, to other involved parties (if any), and to the University. The University expects that in the vast majority of cases problems will be resolved through such consultation and that further administrative action will be unnecessary.

3.11.1.3 Stage 3: The Formal Hearing

The formal hearing (the "*hearing*") will be conducted according to the following procedures:

The Hearing Subcommittee

A minimum of three (3) members of the Faculty Grievance Committee or alternates will constitute a Hearing Subcommittee (the "*Subcommittee*"). The ombudsperson will be excused from the hearing. Other members of the Grievance Committee will recuse themselves from the grievance if they deem themselves disqualified by bias or interest. Their places will be filled by alternates. Each party to the grievance may excuse one (1) Grievance Committee member from the hearing without stating cause.

At the request of the President, the Administration will be represented at the hearing by the President's designate. The administrative representative will observe but will not participate in the Subcommittee's deliberation or vote; he or she will maintain the confidentiality of the proceedings.

Confidentiality, documents, and minutes of the hearing

All grievance proceedings will be closed and confidential, subject only to the need of the grievant, the accused, or the Administration to comply with restrictions of employee confidentiality and privacy or with the procedures specified herein or to present evidence concerning the grievance in other judicial or administrative proceedings. All notes taken by Subcommittee members will be destroyed at the conclusion

No transcript of the hearing will be made, but minutes will be taken and appended to the report and recommendations that the Subcommittee makes to the President.

The pre-hearing meeting

The Subcommittee, at its discretion, may hold a pre-hearing meeting with the parties in order to (i) simplify the issues (e.g., to determine whether there are separate alleged actions or inactions that need to be considered as separate causes for grievance and resolution), (ii) effect stipulations of facts, (iii) provide for the exchange of documentary or other information, (iv) provide the Subcommittee with lists of requested witnesses and lists of documents to be produced as evidence, and (v) achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.

The grievant and the accused person may provide the Subcommittee with the names of requested witnesses; however, the Subcommittee decides who will appear before it. The grievant and the accused person will be afforded the opportunity to obtain documentary or other evidence. The Administration will cooperate with the Subcommittee in securing witnesses and making available documentary and other evidence. Both principals and witnesses must appear at the hearing if called by the Subcommittee.

The Subcommittee will ensure that the accused person has been provided a copy of the grievant's statement setting out the terms of the grievance and specifying the desired outcome and has had the opportunity to respond in writing prior to the hearing.

The Subcommittee's preliminary consideration of the grievance

Following the pre-hearing meeting (if any), the members of the Subcommittee will adjourn from the presence of the parties to review the materials and requests presented to them, to clarify the issues, identify any additional documentation that is needed, determine the witnesses to be called (including additional witnesses as identified by the Subcommittee), and to specify the order of oral presentations and argument.

Conduct of the hearing

Both the grievant and the accused person have a right to be present at the hearing but may not question witnesses. Witnesses other than principals will not be allowed to observe the process of questioning other witnesses.

The grievant may be accompanied to the hearing by an advisor who is an employee of the University and who is not party to the dispute. The advisor may be present only when the grievant is present, may speak only with the grievant, and may not address the Subcommittee on the grievant's behalf. The advisor may not be called as a witness in the hearing but may answer direct questions from the Subcommittee. Should an advisor violate or attempt to violate any of these conditions, the Subcommittee may excuse the advisor from the hearing at its discretion. The accused party also may be accompanied to the hearing by an advisor in accordance with the same provisions.

The Subcommittee may recall any principals or witnesses as it deems appropriate in the course of its deliberations. The Subcommittee will not be bound by strict rules of legal evidence and may admit any evidence of probative value in resolving the issues involved.

Findings and recommendations of the Subcommittee

At the conclusion of its deliberations and by majority vote, the Subcommittee will determine its findings of fact and recommendations. The findings of fact and the recommendations will be based solely upon a preponderance of evidence in the hearing record. In accordance with its findings, the Subcommittee may recommend that no action be taken, recommend a remedy agreed to by the parties and the Subcommittee, or recommend a remedy that it deems appropriate. Within three (3) working days of reaching its decision, the Subcommittee will report its findings and recommendations to the parties to the grievance, to the Chair of the Faculty Grievance Committee (if that person is not already a member of the Subcommittee), and to the President.

The President's decision

In addition to considering the report of the Subcommittee, the President will review the documents pertinent to the grievance and the minutes of the hearing. Within five (5) working days of receiving the Subcommittee's report, the President will decide on a course of action and will communicate that decision in writing to the parties to the grievance, to the Chair of the Faculty Grievance

Committee, and to any appropriate administrator or to the Board of Trustees as required so that the President's decision can be implemented. A copy of the President's decision will be placed in appropriate faculty Academic Affairs files. The President's decision may not be appealed and is final unless implementation of that decision requires approval of the Board; in the latter case, the decision of the Board is final and cannot be appealed. Any disciplinary actions resulting from a grievance will be handled according to the provisions of §3.11.2.

If the President is party to the grievance, then the report of the Subcommittee is given to the Chair of the Academic Affairs Committee of the Board of Trustees. The Academic Affairs Committee will meet as soon as possible to consider the findings and recommendation of the Subcommittee. In addition to reviewing the report of the Subcommittee, the Academic Affairs Committee at its discretion may review the documents pertinent to the grievance and the minutes of the hearing. Having considered the record and by majority vote, the Academic Affairs Committee will render a decision. The Chair of the Academic Affairs Committee will report the Committee's decision to the parties to the grievance and to Chair of the Board. The Chair of the Board may bring the matter to the full Board, as appropriate, for further consideration and action or for implementation of the Academic Affairs Committee's decision. The decision of the Academic Affairs Committee or, as required, the Board is final and may not be appealed.

3.11.2 Administrative Disciplinary Actions

It may become necessary from time to time for the University to respond to actions of faculty members that violate standards of professional conduct (§3.5) or some other norm or expectation established in this *Handbook*. In dealing with cases of faculty misconduct, the first remedial action falls to other faculty colleagues who frequently can assist an individual through informal discussion and mentoring. If such informal interventions fail, faculty colleagues can ask a department chair or other faculty colleague to act more formally, e.g., to remind the faculty member of his or her responsibilities or the expectations of the University faculty as a whole. If the problem remains unresolved, it may be appropriate for a faculty colleague to file a grievance against the individual (§3.11) or to bring the problem to the attention of the appropriate academic Dean or Associate Dean.

3.11.2.1 The Dean's Consultation with the Faculty Member

If an academic Dean has evidence that a faculty member is demonstrating continuous neglect of his or her duties (§§3.6, 3.7, 3.8) or is in violation of the standards of professional conduct (§3.5) and the Dean believes that the situation will not be improved without administrative intervention, then the Dean will meet with the faculty member to discuss the concerns, to consider the faculty member's response, and if possible to arrive at a resolution that is acceptable to the faculty member, to other involved parties (if any), and to the University. The University expects that in the vast majority of cases problems will be resolved through such consultation and that further administrative action will be unnecessary.

3.11.2.2 Written Reprimand

If the matter cannot be resolved through consultation, the Dean may issue a written reprimand to the faculty member. The Dean's letter will specify the basis for the reprimand, identify appropriate remedial action(s), and invite the faculty member to respond in writing. Based upon that response, the Dean may modify the letter, withdraw it, or let it stand. The faculty member may appeal the letter of reprimand in writing to the Provost within five (5) working days of receiving the Dean's final letter of reprimand. Based upon a review of the original written reprimand, the faculty member's written statement (if any), the revised written reprimand (if any), the faculty member's written appeal, and consultation with the parties as needed, the Provost will decide to modify the written reprimand, withdraw it, or let it stand. The Provost will communicate his or her decision in writing to the parties.

If a final written reprimand is issued, it, the faculty member's response (if any), and comments by the Provost (if any) will be placed in the faculty member's Academic Affairs file, in his or her next review dossier file, and, in the case of a tenure-track faculty member, in the dossier file for the tenure review (whenever it occurs).

A faculty member who believes that he or she has been given a written reprimand unfairly may petition the Faculty Grievance Committee for redress, according to the policies and procedures described in §3.11.1.

An allegation that a written reprimand represents an instance of unlawful discrimination will be referred to the University's Equal Employment Opportunity Manager to be investigated according to the provisions of the University's Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5, Appendix 3-A). Allegations of unlawful discrimination will be considered and resolved before the Faculty Grievance Committee's review will occur. Any conclusion(s) reached by the Equal Employment Opportunity Manager on the basis of an investigation into charges of unlawful discrimination related to a proposed administrative sanction will be provided to the Faculty Grievance Committee if the case is presented to it.

3.11.2.3 Minor Administrative Sanctions

If the Dean believes that the matter cannot be resolved through consultation and that it is serious enough to warrant disciplinary action beyond a written reprimand, the Dean may recommend in writing to the Provost that a specific minor administrative sanction be imposed. Such sanctions may include but are not necessarily limited to mandatory counseling or training, removal from an appointed position, or denial of specific faculty privileges. The Dean's recommendation will include a summary of the case, including the evidence on which the recommendation is based and the outcome the Dean hopes to achieve.

Upon receiving such a recommendation from the Dean, the Provost will meet with the faculty member, provide the latter a copy of the Dean's recommendation to the Provost, consider what the faculty member has to say, and give the faculty member the opportunity to respond in writing.

Consideration and action by the Provost

The Provost may take no action, negotiate a mutually acceptable resolution with the faculty member, implement the Dean's recommendation, or decide on some other appropriate course of action (e.g., a written reprimand). The Provost will provide the faculty member a written statement outlining any action(s) taken and the basis for the action(s). The faculty member then will have the opportunity to respond in writing to the Provost's statement.

A copy of the Provost's letter and the response (if any) by the faculty member will be placed in the faculty member's Academic Affairs file, the dossier file for the faculty member's next scheduled faculty review, and, in the case of a tenure-track faculty member, in the dossier file for the tenure review (whenever it occurs).

A faculty member who believes that a minor sanction has been unjustly imposed may petition the Faculty Grievance Committee for redress, according to the policies and procedures described in §3.11.1.

An allegation that a minor sanction represents an instance of unlawful discrimination will be referred to the University's Equal Employment Opportunity Manager to be investigated according to the provisions of the University's Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5, Appendix 3-A). Allegations of unlawful discrimination will be considered and resolved before the Faculty Grievance Committee's review will occur. Any conclusion(s) reached by the Equal Employment Opportunity Manager on the basis of an investigation into charges of unlawful discrimination related to a proposed administrative sanction will be provided to the Faculty Grievance Committee if the case is presented to it.

3.11.2.4 Major Administrative Sanctions

If the Dean has reason to believe that the conduct of a faculty member, although not constituting adequate cause for dismissal, constitutes a serious and continuing neglect of duties (§§3.6, 3.7, 3.8) or represents a sufficiently grave violation of the standards of professional conduct (§3.5) to justify imposition of a major sanction, the Dean may initiate proceedings as described below. Major sanctions include but are not limited to renegotiation of workload, administrative leave without pay, or reduction in salary. The institution of a proceeding to impose a major sanction need not be preceded by steps described in §§3.11.2.2 or 3.11.2.3.

Consideration and action by the Provost

The Provost will inform the faculty member in writing that he or she intends to institute proceedings to impose a major administrative sanction, describing both the proposed action and the basis for it. The faculty member will have ten (10) working days from receipt of the Provost's letter to respond in writing to the Provost. The faculty member will then meet with the Provost to discuss the matter. If the

faculty member and the Provost can develop a mutually acceptable resolution, then the Provost prepares a written letter of understanding setting out that resolution for the faculty member's signature, both parties agree to execute its provisions, and the matter is concluded. Copies of the letter of understanding are placed in the faculty member's Academic Affairs file and employee personnel file. A copy of the letter will also be included in the current review dossier file for the next faculty review and, in the case of a tenure-track faculty member, in the current review dossier for the tenure review (whenever it occurs).

If the faculty member and the Provost cannot resolve the matter through mutual agreement and the Provost still believes that a major sanction should be imposed, he or she will present in writing to the Faculty Grievance Committee, with a copy to the faculty member, a statement describing both the proposed action and the basis for it. The Provost also presents to the Faculty Grievance Committee a copy of the faculty member's previous written response (if any); if the faculty member has failed to respond to the Provost, that fact will be noted in the Provost's statement to the Faculty Grievance Committee.

A faculty member who believes that a major sanction has been incorrectly imposed under the policy of a minor sanction may petition the Faculty Grievance Committee for redress, according to the policies and procedures described in §3.11.1.

Consideration by the Grievance Committee

The Faculty Grievance Committee will consider the case, starting with Stage 2 of its procedures as specified in §3.11.1.2. If the Committee decides not to hear the case, it reports that decision to the faculty member and to the Provost, who then forwards a recommendation for action to the President. If the Committee hears the case, it follows its normal hearing procedures (§3.11.1.3) and reports its findings and recommendation to the faculty member, to the Provost, and to the President.

An allegation that the proposed administrative sanction represents an instance of unlawful discrimination will be referred to the University's Equal Employment Opportunity Manager to be investigated according to the provisions of the University's Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5, Appendix 3-A). Allegations of unlawful discrimination will be considered and resolved before the Faculty Grievance Committee's review will occur. Any conclusion(s) reached by the Equal Employment Opportunity Manager on the basis of an investigation into charges of unlawful discrimination related to a proposed administrative sanction will be provided to the Faculty Grievance Committee if the case is presented to it.

Consideration and action by the President

If the Faculty Grievance Committee has decided not to hear the case or upon conclusion of a hearing, the President will review the proposal of the Provost, the response (if any) of the faculty member, the report (if any) of the Equal Employment Opportunity Manager, and the findings and recommendations (if any) of the Subcommittee. The President then makes a final administrative decision and, if appropriate, refers that decision to the Academic Affairs Committee of the Board of Trustees for review and action by the full Board. Neither the President's decision nor any action taken by the Board may be appealed.

The President informs the faculty member, the Chair of the Faculty Grievance Committee, the appropriate Dean, and the Provost of his or her decision. Copies of the President's letter are placed in the faculty member's Academic Affairs file and employee personnel file. A copy of the letter will also be included in the current review dossier file for the next faculty review and, in the case of a tenure-track faculty member, in the current review dossier for the tenure review (whenever it occurs).

3.11.2.5 Summary Suspension

In response to an extraordinary situation, a faculty member may be summarily suspended upon a finding by the Provost, in consultation with the Dean and others as appropriate, of good cause to believe that the continued presence of the faculty member on the campus, including its regional sites, of the University would

- a. constitute a serious threat to the safety of the faculty member, students, other faculty members, staff, or other members of the University community, or

- b. substantially and unreasonably impair the ability of students, other faculty members, staff, or other members of the community to fulfill their duties or carry out their normal functions within the University.

A summary suspension is not a sanction. It is a temporary response to an urgent problem while the Administration seeks to resolve the situation through either informal or formal means. Thus a summary suspension may extend for no longer than five (5) working days. Unless legal considerations prohibit, a faculty member suspended in accordance with this policy will continue to receive full pay and benefits for the duration of the summary suspension.

Within the time of the suspension, the Provost will consult with the faculty member involved and with others as appropriate concerning the possibility of the faculty member's returning to service, the need to place the faculty member on administrative leave, or other options as required within the policies and procedures of this *Handbook*. In the course of such consultation, the Provost will present to the faculty member a written statement indicating the reasons for the summary suspension and its duration and terms, with a copy to the Academic Affairs file. The faculty member may respond in writing. A copy of that statement and the faculty member's response (if any) will also be forwarded to the Faculty Grievance Committee as part of any action relating to the case at hand.

A faculty member who believes that a summary suspension has been incorrectly imposed under this policy may petition the Faculty Grievance Committee for redress, according to the policies and procedures described in §3.11.1. However, if the Provost institutes proceedings that would require a hearing before the Grievance Committee (§§3.11.2.4 or 3.12.5), then the faculty member's grievance concerning the summary suspension (if any) will be considered by the Committee as part of its hearing of the case.

An allegation that a summary suspension represents an instance of unlawful discrimination will be referred to the University's Equal Employment Opportunity Manager to be investigated according to the provisions of the University's Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5, Appendix 3-A). Allegations of unlawful discrimination will be considered and resolved before any matter is considered by the Grievance Committee. Any conclusion(s) reached by the Equal Employment Opportunity Manager based upon an investigation into charges of unlawful discrimination related to a summary suspension will be provided to the Grievance Committee if the case is presented to it.

3.12 Separation From Service

Faculty members may end their employment relationship with the University through

- resignation (§3.12.1) or
- retirement (§3.12.2).

The University may end its employment relationship with a member of the faculty through

- nonreappointment (§3.12.3),
- termination (§3.12.4), or
- dismissal for cause (§3.12.5).

This section of the *Handbook* sets out the procedures to be followed in such cases in order to preserve the rights and interests of both faculty members and the University.

Following separation from service with the University no former faculty member may engage in teaching, assessment, or the evaluation of academic work for the University without authorization by the Dean to whom the hiring area, department, or program reports.

3.12.1 Resignation

Resignation is a means of separation by which a faculty member ends his or her employment relationship with the University either at or prior to the end of a contractual term. Faculty members intending to resign should notify the appropriate Dean in writing at the earliest possible opportunity. Except in unusual circumstances, members of the faculty intending to resign will be expected to serve to the end of an academic year or fiscal year depending upon their individual contracts.

3.12.2 Retirement

Retirement is a means of separation by which a faculty member ends his or her employment relationship with the University. A member of the faculty who intends to retire should submit a letter to the appropriate Dean stating his or her intention to retire and specifying an effective date. In consideration of the welfare of students and colleagues, a faculty member should provide notification to the University of intent to retire no less than nine (9) months prior to the effective date of the retirement.

3.12.3 Nonreappointment

Nonreappointment is a means of separation by which the University ends its employment relationship at the conclusion of a contractual term of appointment with a tenure-track faculty member, a regular term faculty member, or a ranked part-time faculty member. Nonreappointment can occur because of an individual's failure to meet applicable standards for reappointment (§§3.9.5, 3.9.8, 3.9.9) or tenure (§3.9.7.3) as determined through the process of faculty review (§3.10) or because of considerations of institutional need (§§3.9.6, 3.9.7.2).

Scope

The provisions of §§3.12.3.1 - 3.12.3.3 apply only to appointments with renewable contracts; they do not apply to appointments with terminal contracts.

Nonreappointment will occur at the end of the contractual term of a terminal contract (§3.2) without cause, notice of nonreappointment, or notice or reasons being given. The University reserves the right to provide compensation in lieu of allowing a faculty member who has received a terminal contract to serve to the end of the contractual term.

3.12.3.1 Notice of Nonreappointment

The University will give notice of nonreappointment according to the following schedule. Notice will be given by the Provost or the appropriate Dean to the faculty member

- *not later than 1 March of the first academic year of service*, if the appointment expires at the end of that academic year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
- *not later than 15 December of the second academic year of service*, if the appointment expires at the end of that academic year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
- *at least twelve months before the expiration of an appointment* after two or more years in the University.

The University reserves the right to provide compensation in lieu of notice in any of the above cases.

3.12.3.2 Notice of Reasons for Nonreappointment

Tenure-track or regular term faculty members have no contractual right to employment beyond the expiration of their contracts; therefore, written notice of nonreappointment need not state reasons. It is the practice of the University to provide reasons for personnel actions (positive or negative) that result from a review of performance under the provisions of the faculty review process (§3.10.9).

A faculty member whose nonreappointment results from considerations of institutional need (§§3.9.6, 3.9.7.2) will receive a statement of reasons.

3.12.3.3 Appeal of Nonreappointment

Nonreappointment resulting from a performance review (§3.10) may be appealed according to the provisions of §§3.10.9 and 3.10.10.

3.12.4 Termination

Termination is a means of separation by which the University ends its employment relationship with a tenured faculty member or prior to the end of the term of appointment with a tenure-track faculty member, a regular term faculty member, a ranked part-time faculty member, or a special appointment faculty member. Termination can occur for one of the following three reasons:

- a) a *bona fide* financial exigency (§3.12.4.1) requiring a reduction in force of faculty,
- b) the formal discontinuance of an academic program or department not mandated by financial exigency (§3.12.4.2) entailing a reduction in force of faculty, or
- c) accident, illness, or other medical condition that makes it impossible for a person to fulfill the essential or inherent duties and responsibilities of a faculty position with or without reasonable accommodations on the part of the University, upon exhaustion or declination of all authorized leaves (§3.12.4.3).

3.12.4.1 Termination by Reason of Financial Exigency

Termination of a tenured faculty member or, prior to the end of the term of appointment, of a tenure-track faculty member, a regular term faculty member, a ranked part-time faculty member, or a special appointment faculty member may occur because of a demonstrably *bona fide financial exigency*—i.e., an imminent financial crisis that threatens the survival of the University as a whole. When reasonable alternative means for coping with a state of financial exigency within the University have been exhausted, the President has the authority to terminate faculty positions in accordance with the procedures described below.

3.12.4.1.1 Declaration of a State of Financial Exigency

The Board of Trustees has sole authority to declare a state of financial exigency and may do so at its sole discretion. Furthermore, the President may consult with the Board or its Executive Committee concerning such matters at any time, as the President or Board deems appropriate. The following policy governs a formal administrative request to the Board to undertake a course of action involving the termination of faculty positions in response to a declaration of financial exigency.

The President will present to the appropriate University advisory body (e.g., the University Council) evidence that a state of financial exigency exists or is imminent. It is the responsibility of that body to consider the evidence and advise the President. Having consulted with the appropriate committee, the President will discuss the situation with the University Faculty as a whole through the Academic Assembly and indicate his or her intention to request a formal declaration of financial exigency from the Board. At that time, other members of the Administration designated by the President and the members of the appropriate University advisory body may comment as well. The Assembly will discuss the issue with the President, who retains sole discretion to request a declaration of financial exigency from the Board.

Prior to voting on such an action, the Board of Trustees (or, if necessary, the Executive Committee of the Board of Trustees) may consult not only with the President and other members of the Administration as appropriate but also with the Chair of the Academic Assembly. The decision of the Board in such a matter is final.

3.12.4.1.2 Administrative Response to a Declaration of Financial Exigency Following a declaration of financial exigency by the Board, the President will charge appropriate administrative officers and the Chair of the Academic Assembly, in consultation with others as appropriate, to develop within twenty (20) working days—or sooner if the President deems it necessary—recommendations for dealing with the state of financial exigency. If such recommendations are not forthcoming within the required time, the President will exercise sole discretion in responding to the state of financial exigency, except as otherwise directed by the Board.

If the recommendations of the appropriate administrative officers and the Chair of the Academic Assembly do not require reductions in force of faculty and if the President agrees that reductions in force of faculty are not required, then the President will present a response and recommendations to the Academic Assembly for discussion and to the Board of Trustees (or, if appropriate, to the Executive committee of the Board of Trustees) for consultation and, if necessary, for action. The President then takes appropriate action as the Board directs.

3.12.4.1.3 Consideration of Faculty Positions for Elimination and Reductions in Force

If the recommendations of the appropriate administrative officers or the Chair of the Academic Assembly require reductions in force of faculty or if the President determines that such reductions are necessary, the President will charge the Provost to work with the academic Deans and appropriate faculty committees (i.e., committees responsible for curriculum and staffing recommendations), in conjunction with elected faculty leadership and the Department of Human Resources, to develop recommendations for action—specifically, to determine criteria by which program areas or departments (if any) should be reduced and which faculty positions and appointments should be eliminated. The President will determine the date by which such recommendations must be provided.

Since this is an area in which the faculty has a significant interest and responsibility, the faculty, through its elected governance committees and representatives, must be consulted in all decisions relating to the reduction of instructional programs and the potential elimination of faculty positions. As administrators and faculty members consider how to deal with the financial situation, their primary goal must be to preserve the viability of the University's overall academic program. Therefore, those charged with determining whether and where within the academic program termination of appointments will occur must first consider issues of educational policy and curriculum. In doing so they must solicit and consider advice from the concerned departments or programs and related areas of academic concentration on the short- and long-term implications of any proposed elimination of faculty positions. They also will consider issues such as equal employment opportunity, faculty status, and length of service. Faculty leadership or governance committees may also recommend administrative and staff reductions in force or other cost-saving measures.

When the elimination of faculty positions due to a state of financial exigency is considered, tenure rights and tenured appointments will be protected insofar as possible and the following principles will apply:

- a) Where possible, any necessary reductions in force will be achieved through normal attrition (e.g., resignations, retirements, nonreappointments).
- b) The appointment of a faculty member with tenure or a regular term faculty member holding a six-year contract will not be terminated in favor of retaining a faculty member without tenure or a regular term faculty member holding a less-than-six-year contract, except in extraordinary circumstances where a serious distortion of the academic program otherwise would result.
- c) If the Administration terminates faculty appointments, it will not at the same time make new faculty appointments or initiate new programs except in extraordinary circumstances where a serious distortion of the academic program or exacerbation of the University's financial problems otherwise would result.
- d) Before terminating a tenured appointment or the appointment of a regular term faculty member holding a six-year contract, the Administration will make a serious attempt to place the faculty member concerned in another suitable position, for which the person is qualified, within the institution. If placement in another position would be facilitated by a reasonable period of training, financial and other support for such training will be proffered within the limits of the University's resources.
- e) The Administration also may explore and facilitate alternative courses of action that would be optional for the faculty member such as a change in status from full-time to part-time.
- f) If no position is available within the University, with or without retraining or change in status, and the faculty member is not agreeable to any optional alternative courses of action, the

It is the responsibility of the Provost to forward recommendations for action regarding termination of faculty appointments to the President.

3.12.4.1.4 The Right to a Hearing; Hearing Procedures

Prior to recommending the termination of faculty appointments to the President, the Provost will notify in writing any faculty members who would be adversely affected by such proposed actions. Tenured members of the teaching faculty and term-contract faculty holding six-year appointments will be informed of their right to a hearing before the Faculty Grievance Committee as specified below. If a faculty member chooses to request a hearing, no further action will be taken—and, specifically, no recommendation will be sent to the Board—until the hearing is completed.

A tenured faculty member or term-contract faculty member holding a six-year contract who seeks a hearing must so notify the Chair of the Academic Assembly within fifteen (15) working days of notification by the Provost. The Chair of the Assembly will refer the request to the Faculty Grievance Committee. A faculty member who does not request a hearing within the indicated time forfeits the right to a hearing and the Administration proceeds as specified in §3.12.4.1.5. By agreement of the Grievance Committee and the President, more than one case may be heard simultaneously.

Issues to be considered in the hearing

A hearing regarding a proposed termination based on financial exigency may consider only the following issues:

- a) whether the existence and the extent of the condition of financial exigency itself is based on substantial evidence. The Administration may introduce the findings of an advisory body or a faculty committee in a previous proceeding involving the same issue (including the Faculty Grievance Committee itself),
- b) the educational judgments and the criteria for identifying faculty positions for termination,
- c) whether the criteria are being applied properly in the individual case, or
- d) whether the University has made a serious attempt to place the individual in another position.

A determination by the appropriate faculty committee regarding the above matters will be considered presumptively valid, but the burden of proof on other issues will rest with the Administration.

An allegation that the decision represents an instance of unlawful discrimination will be referred to the University's Equal Employment Opportunity Manager to be investigated according to the provisions of the University's Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5, Appendix 3-A). Allegations of unlawful discrimination will be considered and resolved before any hearing on other grounds will occur. Any conclusion(s) reached by the Equal Employment Opportunity Manager on the basis of an investigation into charges of unlawful discrimination related to a proposed termination will be provided to the Grievance Committee if the case is presented to it.

The hearing will be conducted according to standard Grievance Procedures, beginning with Stage 3, the grievance hearing (§3.11.1.3). At the conclusion of the hearing, the Hearing Subcommittee will report its findings and recommendations to the President, who will proceed as specified in §3.12.4.1.5, below.

3.12.4.1.5 The Administrative Decision; Action by the Board of Trustees

If the faculty member chooses not to request a hearing, the Provost forwards his or her recommendation to the President. At that time, the Chair of the Academic Assembly may also forward recommendations for action to the President. If there has been a hearing, the Provost et al. forward their reports to the President when the Hearing Subcommittee submits its report.

The President then considers the recommendations of the Provost, the recommendations (if any) of the Chair of the Assembly, the report (if any) from the EEO Manager, and the Hearing Subcommittee's report (if any). Within ten (10) working days of receiving these recommendations, the President will decide upon appropriate action and will provide a written report of the decision to the faculty member(s) affected, the Provost, the Dean, the Chair of the Grievance Committee (if there has been a hearing), and the Chair of the Academic Assembly. The decision of the President may not be appealed.

The President or, at the President's request, the Provost or the appropriate Dean presents the Administration's recommendation to the Academic Affairs Committee of the Board, which in turn forwards its recommendation to the full Board for final action. The Board of Trustees retains authority over all faculty personnel review decisions; the decision of the Board is final and may not be appealed.

The President will report the action of the Board to the faculty member, the Chair of the Faculty Grievance Committee, the Chair of the Academic Assembly, and the Provost.

3.12.4.1.6 Notice, Severance Salary, Benefits, Emeritus(a) Status, and Assistance

A faculty member whose appointment has been terminated under this policy will receive the following notice (or salary in lieu of notice) and benefits, except in the case of an extraordinary financial exigency that in the view of the President would make it impossible for the University to make such an accommodation.

Schedule of notice

- *not later than 1 March of the first academic year of service*, if the appointment expires at the end of that academic year; or, if a one-year appointment is terminated during an academic year, at least three months in advance of its termination.
- *not later than 15 December of the second academic year of service*, if the appointment expires at the end of that academic year; or, if an initial two-year appointment is terminated during an academic year, at least six months in advance of its termination.
- *at least twelve months before the expiration of an appointment* after two or more years in the University.

Benefits

The faculty member will receive any benefits to which he or she is entitled at the time of separation.

Emeritus(a) status

A faculty member whose contract has been terminated and who otherwise meets the requirements for Emeritus(a) status will remain eligible for that status according to the provisions of §3.1.7. Should such a faculty member be named Associate Professor or Professor Emeritus(a) and later return to full-time teaching at the University, the status of Professor Emeritus would be withdrawn, with the faculty member remaining eligible to be awarded Emeritus(a) status again at such time as he or she again separates from service with the University.

Outplacement assistance

The University will offer reasonable assistance to a faculty member whose appointment has been terminated by reason of financial exigency in locating a suitable position elsewhere.

Conditions

The following conditions and terms apply to the preceding provisions for severance salary and benefits.

- a) The faculty member must complete an exit interview with the Department of Human Resources. At that time, the University will provide information regarding additional resources, including state and federal agencies, that might be contacted for assistance.
- b) Taxes, reporting, and withholding, if any, will be applied.

- c) In offering these accommodations to a separated faculty member, the University is acting in good faith with the understanding that the faculty member accepts the accommodations and the facts that regrettably brought the University to this point. If the University's anticipation of the faculty member's acceptance of these accommodations is in error and the faculty member's separation from service, pay, benefits due to the faculty member, or the facts underlying the separation become a matter of controversy between the faculty member and the University, all accommodations not yet paid or performed, in whole or in part, will be rescinded and withdrawn without reinstatement. A controversy would mean suit or threat of suit, complaints to state or federal regulatory agencies, or instigation of any similar action or proceeding.

3.12.4.1.7 Provision for Rehire

In instances of termination because of financial exigency, a position vacated by a terminated faculty member will not be filled by a replacement within a period of three (3) years, unless the released faculty member, if otherwise qualified, has been offered reinstatement and given a reasonable time of at least twenty (20) working days in which to accept or decline the University's offer. A faculty member rehired under this provision will be reinstated at his or her previously earned rank and tenure, at an appropriate salary in accordance with the Faculty Salary Plan (Ch. 4).

3.12.4.1.8 The President's Report to the University Faculty

The President will report to the University faculty as a whole through the Academic Assembly the overall steps (including but not limited to reductions in force for administrators, staff, and faculty) that are being taken to alleviate the financial emergency, to preserve the academic program, and to ensure that the faculty is not bearing an undue proportion of the necessary sacrifice.

3.12.4.2 Termination by Reason of the Discontinuance of a Program or Department not Mandated by Financial Exigency

Termination of a tenured faculty member or, prior to the end of the term of appointment, of a tenure-track faculty member, a regular term faculty member, a ranked part-time faculty member, or a special appointment faculty member may occur as a result of *bona fide* discontinuance of an academic program or department.

3.12.4.2.1 Consideration of a Proposal to Discontinue an Academic Program or Department

A decision to discontinue an academic program or department must be based essentially on educational considerations reflecting long-range judgments that the educational mission of the University as a whole will be enhanced by the discontinuance. Such a decision will not be based upon cyclical or temporary variations in enrollment; however, it may legitimately include financial considerations. Those involved in making such a decision must consider advice from the concerned departments or programs and related areas of academic concentration on the short- and long-term implications of any proposed course of action. Since these are areas in which the faculty has a significant interest and responsibility, the faculty will participate in the decision. However, final administrative authority concerning the levels of staffing of academic programs rests with the Provost with the concurrence of the President; final authority to retain or discontinue an academic program or department rests with the Board of Trustees.

The administration and the faculty will consider a proposal to discontinue an academic program or department according to the following procedures:

- a) Such an action may be proposed by a curriculum committee, by a College or School assembly, by the appropriate Dean, the Provost, the President, or by the department or program itself.
- b) Such a proposal will be considered first by the appropriate curriculum committee. The curriculum committee will evaluate the proposal in light of criteria used in the normal, periodic review of departments and programs. As part of the evaluation, the curriculum committee and the Dean will consult with the program or department that would be affected to test the reasons for the proposed action and to determine the probable consequences should it occur.
- c) The recommendations of the curriculum committee concerning discontinuance of an academic

program or department will be reported to the college or School assembly for consideration and vote and to the Provost. At that time, the Chair of the Academic Assembly may also forward a recommendation for action to the Provost.

- d) Having considered the recommendations of the individuals and groups noted in c), the Provost will make the administrative decision, with the concurrence of the President.
- e) The President then refers that decision to the Academic Affairs Committee of the Board of Trustees for review and action.

Any faculty positions that become available for reallocation will be considered according to the process referenced in §3.3.1.

3.12.4.2.2 Consideration of Faculty Appointments in Discontinued Programs

If the decision to discontinue an academic program or department entails the elimination of faculty positions, tenure rights will be protected insofar as possible and the following principles will apply:

- a) The Administration will attempt to achieve any reductions in force through normal attrition (e.g., nonreappointments, resignations, retirements).
- b) The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the academic program otherwise would result.
- c) Before terminating a tenured appointment or the appointment of a regular term faculty member holding a six-year contract, the Administration will make a serious attempt to place the faculty member concerned in another suitable position, for which the person is qualified, within the University. If placement in another position would be facilitated by a reasonable period of training, financial and other support for such training will be proffered within the limits of the University's resources.
- d) The Administration also may explore and facilitate alternative courses of action that would be optional for the faculty member, such as a change in status from full-time to part-time.
- e) If no position is available within the University, with or without retraining or change in status, and the faculty member is not agreeable to any optional alternative courses of action, the faculty member's appointment may be terminated.

It is the responsibility of the Provost to forward recommendations for action regarding termination of faculty appointments to the President.

3.12.4.2.3 The Right to a Hearing; Hearing Procedures

Prior to recommending the termination of faculty appointments to the President, the Provost will notify in writing any faculty members who would be adversely affected by such proposed actions. Tenured members of the teaching faculty and term-contract faculty holding six-year appointments will be informed of their right to a hearing before the Faculty Grievance Committee as specified below. If the faculty member chooses to request a hearing, no further action will be taken—and, specifically, no recommendation will be sent to the Board—until the hearing is completed.

A tenured faculty member or term-contract faculty member holding a six-year contract who seeks a hearing must so notify the Chair of the Academic Assembly within fifteen (15) working days of notification by the Provost. The Chair of the Assembly will refer the request to the Faculty Grievance Committee. A faculty member who does not request a hearing within the indicated time forfeits the right to a hearing and the Administration proceeds as specified in §3.12.4.2.4. By agreement of the Grievance Committee and the President, more than one case may be heard simultaneously.

Issues to be considered in the hearing

A hearing regarding a proposed termination based on the discontinuance of an academic program or department not mandated by financial exigency may consider only the following issues:

- a) the validity of the educational judgments that underlie the decision,
- b) whether the above principles and procedures (§§3.12.4.2.1, 3.12.4.2.2) have been followed in the individual case, or
- c) whether the University has made a serious attempt to place the individual in another position.

A determination by the appropriate faculty committee regarding the above matters will be considered presumptively valid, but the burden of proof on other issues will rest with the Administration.

An allegation that the decision represents an instance of unlawful discrimination will be referred to the University's Equal Employment Opportunity Manager to be investigated according to the provisions of the University's Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5, Appendix 3-A). Allegations of unlawful discrimination will be considered and resolved before any hearing on other grounds will occur. Any conclusion(s) reached by the Equal Employment Opportunity Manager on the basis of an investigation into charges of unlawful discrimination related to a proposed termination will be provided to the Grievance Committee if the case is presented to it.

The hearing will be conducted according to standard Grievance Procedures, beginning with Stage 3, the grievance hearing (§3.11.1.3). At the conclusion of the hearing, the Hearing Subcommittee will report its findings and recommendations to the President, who will proceed as specified in §3.12.4.2.4, below.

3.12.4.2.4 The Administrative Decision; Action by the Board of Trustees

If the faculty member chooses not to request a hearing, the Provost forwards his or her recommendation to the President. At that time, the Chair of the Academic Assembly may also forward recommendations for action to the President. If there has been a hearing, the Provost at al. forward their reports to the President when the Hearing Subcommittee submits its report.

The President then considers the recommendations of the Provost, the recommendations (if any) of the Chair of the Assembly, the report (if any) from the EEO Manager, and the Hearing Subcommittee's report (if any). Within ten (10) working days of receiving these recommendations, the President will decide upon appropriate action and will provide a written report of the decision to the faculty member, the Provost, the Dean, the Chair of the Grievance Committee (if there has been a hearing), and the Chair of the Academic Assembly. The decision of the President may not be appealed.

The President or, at the President's request, the Provost or the appropriate Dean presents the Administration's recommendation to the Academic Affairs Committee of the Board, which in turn forwards its recommendation to the full Board for final action. The Board of Trustees retains authority over all faculty personnel review decisions; the decision of the Board is final and may not be appealed.

The President will report the action of the Board to the faculty member, the Chair of the Faculty Grievance Committee, the Chair of the Academic Assembly, the Provost, and the Dean.

3.12.4.2.5 Notice, Severance Salary, Benefits, Emeritus(a) Status, and Additional Assistance

A faculty member whose contract has been terminated because of the discontinuance of an academic program will receive notice, severance salary, benefits, eligibility for emeritus(a) status, and assistance with outplacement according to the provisions of §3.12.4.1.6.

3.12.4.2.6 Provision for Rehire

In instances of termination because of the discontinuance of an academic program or department, an eliminated position in the University will not be filled by a replacement within a period of three (3) years, unless the released faculty member, if otherwise qualified, has been offered reinstatement and given a reasonable time of at least twenty (20) working days in which to accept or decline the University's offer. A faculty member rehired under this provision will be reinstated at his or her previously earned rank and tenure, at an appropriate salary as determined by the Faculty Salary Plan (Ch. 4).

3.12.4.3 Termination by Reason of Disability

Termination for disability of a tenured faculty member or, prior to the end of the term of appointment, of a tenure-track faculty member, a regular term faculty member, a ranked part-time faculty member, or a special appointment faculty member will be based upon preponderant evidence that the faculty member cannot continue to perform the *essential or inherent duties and responsibilities of a faculty position* ("duties"), with or without reasonable accommodations by the University, upon exhaustion or declination of all authorized leaves.

3.12.4.3.1 Assistance at the Onset of a Disability

A member of the faculty suffering *an accident, illness, or other medical condition that prevents performance of his or her duties* (a "disability") may be eligible for certain time off, leaves of absence (Ch. 4), or insured benefits. A person suffering such a condition, or someone representing the person, should consult the appropriate Dean and the University's Department of Human Resources. The Dean will explore options, in consultation with the relevant department or program, for making reasonable accommodations to enable the faculty member to continue to fulfill his or her duties or will arrange for authorized leave. During authorized leave, the Dean (or the department chair) will make arrangements to assure that the requirements of the position are being met.

3.12.4.3.2 Continuing Assistance at the Expiration of Leaves

The University prohibits employment discrimination against a qualified member of the faculty with a disability. Upon expiration of all applicable leaves, the University will reasonably accommodate the disability of a faculty member who, with or without accommodations, can perform the duties of his or her faculty position.

3.12.4.3.3 Grounds and Procedures for Termination

If the University determines, based upon preponderant evidence, that a member of the faculty with a disability currently performing services cannot perform the duties of his or her faculty position, with or without reasonable accommodations, then that person will be terminated.

A faculty member on leave due to disability will be terminated without notice by the University if such person fails to return to service and perform the duties of his or her faculty position, with or without reasonable accommodations, on or before the expiration or declination of all authorized leaves. If a faculty member's authorized leaves expire at a time of the year that falls outside the faculty member's annual contractual term (§3.2.8), the faculty member must nonetheless demonstrate, on or before the expiration of leaves, the ability to perform his or her duties. If any portion of the process described below applies to a faculty member on leave and occurs after the expiration of all authorized leaves, the faculty member will nonetheless be terminated at the expiration of all leaves, subject to reinstatement.

In this context, the decision to terminate a faculty member by reason of disability will be reached by the University only upon the basis of

- a communication from the faculty member indicating that he or she will be unable to perform his or her duties because of disability or
- the evidence of contemporaneous deficits either in performance of the faculty member's duties or in skills necessary to perform the faculty member's duties because of disability, with or without reasonable accommodations by the University, as determined by the appropriate Dean.

If the Dean has evidence that reason for termination based on disability may exist, the following procedures will apply:

- a) The Dean will request a meeting with the faculty member to discuss the faculty member's disability and its effects on the performance of his or her duties.
- b) To obtain further information to ascertain whether the individual is able to perform his or her duties, the Dean may require a physical, psychological, or psychiatric examination of the individual at University expense by a licensed professional designated by the University (through the Department of Human Resources). If either the individual or the University desires, a second opinion may be requested from a licensed professional mutually agreed to by both parties and at the expense of the University. Failure of the faculty member to agree to the requested examination, without reasonable cause, will be noted in the Dean's written recommendation to the Provost (see d), below).
- c) If preponderant evidence exists to support the conclusion that the faculty member is unable to perform his or her duties, with or without reasonable accommodations, the Dean will request a meeting with the faculty member to discuss the situation and to develop a resolution that is acceptable both to the faculty member and to the University.
- d) If an acceptable resolution cannot be achieved through negotiation or if the faculty member fails to attend the requested meeting without reasonable cause, the Dean will report in writing his or her findings (including the faculty member's failure to attend the requested meeting), the basis for those findings, and a recommendation regarding termination to the Provost.
- e) The Dean also provides a copy of his or her recommendation to the faculty member and invites the faculty member to send a written reply to the Provost to be received within fifteen (15) working days of the faculty member's receipt of the Dean's report.
- f) After reviewing the Dean's report and the reply (if any) from the faculty member, the Provost notifies the faculty member that the proposed termination action will not be taken, requests a meeting with the faculty member to discuss the matter further to develop a resolution that is acceptable both to the faculty member and to the University, or notifies the faculty member of his or her intention to forward to the President a recommendation for termination.

3.12.4.3.4 The Right to a Review of the Evidence

If the Provost notifies the faculty member that he or she intends to recommend termination, the Provost also indicates the basis for the proposed action and informs the faculty member of his or her right to have the evidence for the Administration's proposed action reviewed confidentially by the Faculty Review Committee prior to a final decision by the President.

If the faculty member declines to request a review of the evidence, the Administration proceeds as specified in §3.12.4.3.5. If the faculty member desires such a review, he or she must so notify the Provost within fifteen (15) working days of receiving notification from the Provost. A faculty member requesting such a review must realize that such a proceeding may result in the disclosure of medical information to the Faculty Review Committee. In some cases, it may be necessary for the faculty member to provide written authorization of disclosure of information to the Faculty Review Committee in order for the review to occur.

If a review is requested, the Faculty Review Committee or a subcommittee of the Faculty Review Committee comprising at least three members of that Committee will consider evidence for the decision presented to it by the Dean. The faculty member will be given the opportunity to respond in person or, if that is not possible, in writing. At the conclusion of its review, the Faculty Review Committee (or subcommittee) will provide a written report of its findings and recommendations to the President according to the provisions of §3.12.4.3.5.

An allegation that the proposed termination represents an instance of unlawful discrimination will

be referred to the University's Equal Employment Opportunity Manager to be investigated according to the provisions of the University's Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5, Appendix 3-A). Allegations of unlawful discrimination will be considered and resolved before the Faculty Review Committee's review will occur. Any conclusion(s) reached by the Equal Employment Opportunity Manager on the basis of an investigation into charges of unlawful discrimination related to a proposed termination will be provided to the Faculty Review Committee if it is asked to review the evidence.

3.12.4.3.5 The Administrative Decision; Action by the Board of Trustees

The Provost forwards a recommendation for action to the President, along with a copy of the recommendation from the Dean, the reply (if any) from the faculty member, and any other relevant

materials. If there has been a review of the evidence by the Faculty Review Committee (or subcommittee), the President also receives a copy of the Faculty Review Committee's (subcommittee's) findings and recommendations.

In addition to considering the recommendations and other documents noted above, the President may consider any other documents pertinent to the case at the President's discretion. Within five (5) working days of receiving the recommendation of the Provost, the President will decide on a course of action and will communicate that decision in writing to the faculty member, the Chair of the Faculty Review Committee (if there has been a review of the evidence), the Dean, and the Provost. The President's decision may not be appealed.

The President or, at the President's request, the Provost or the appropriate Dean presents the Administration's recommendation to the Academic Affairs Committee of the Board, which in turn forwards its recommendation to the full Board for final action. The decision of the Board is final and may not be appealed.

The President then notifies the faculty member of the Board's action.

3.12.4.3.6 Severance Salary, Benefits, and Emeritus(a) Status

A faculty member whose appointment is terminated by reason of disability during an academic year will receive full salary and benefits through the end of that academic year.

Supplemental severance salary

A faculty member who has been terminated by reason of disability will receive supplemental severance salary based upon the following scale:

- *a faculty member in the first (1st) year of service at the University* will receive the equivalent of 90 days' salary;
- *a faculty member with two (2) through five (5) years of service at the University* will receive the equivalent of 120 days' salary;
- *a faculty member with six (6) or more years of service at the University* will receive the equivalent of one year's salary.

The amount of supplemental severance salary will be specified when the faculty member receives notice of termination. The University reserves the right to determine whether the supplement will be paid at one time or will accrue and be paid ratably for a period equal to the amount of time represented in the severance amount.

Benefits

The faculty member will receive any benefits to which he or she is entitled at the time of separation.

For faculty members with ten (10) or more years of continuous service to the University, the University will extend undergraduate tuition remission benefits at the University to any dependent children living and eligible for such benefits at the time of separation. The terms and conditions of the tuition remission will be in accordance with the institution's policy at the time of the dependent's admittance to the University.

Updated and Approved by the Board of Trustees May 13, 2016

Emeritus(a) status

A faculty member whose contract has been terminated who otherwise meets the requirements for Emeritus(a) status will remain eligible for that status according to the provisions of §3.1.7. Should such a faculty member be named Associate Professor or Professor Emeritus(a) and later return to full-time teaching at the University, the status of Professor Emeritus(a) would then be withdrawn, with the faculty member remaining eligible to be given Emeritus(a) status at such time as he or she again separates from service with the University.

Conditions

The following conditions and terms apply to the preceding provisions for severance salary, benefits, and emeritus(a) status.

- a) The faculty member must complete an exit interview with the Department of Human Resources. At that time, the University will provide information regarding additional resources, including state and federal agencies, that might be contacted for assistance.
- b) Taxes, reporting, and withholding, if any, will be applied.
- c) In offering these accommodations to a faculty member terminated by reason of disability, the University is acting in good faith with the understanding that the faculty member accepts the accommodations and the facts that regrettably brought the University to this point. If the University's anticipation of the faculty member's acceptance of these accommodations is in error and the faculty member's separation from service, pay, or benefits due to the faculty member on account of it, or the facts underlying it become a matter of controversy between the faculty member and the University, all accommodations not yet paid or performed, in whole or in part, will be rescinded and withdrawn without reinstatement. A controversy would mean suit or threat of suit, complaints to state or federal regulatory agencies, or instigation of any similar action or proceeding.

3.12.4.3.7 Provision for Rehire

The University reserves the right immediately to fill a faculty position that has been vacated by termination for reason of disability. However, for a period of three (3) years following the termination, if a faculty position becomes available that the faculty member desires, the duties of which the faculty member can perform with or without reasonable accommodations, and the position is one for which the faculty member is otherwise qualified, the University reserves the right to waive a search and rehire the faculty member provided that the faculty member

- a) demonstrates the ability to perform the duties of the position, which may include certification of appropriate licensed professionals selected by the University,
- b) successfully completes a probationary period in the position of one (1) academic year as a visiting faculty member at appropriate rank, with full pay and available benefits,
- c) agrees in writing that any medical or disability leave(s) provided by the University after rehire that are occasioned by the disability that led to the original termination will be unpaid and will extend only to the extent of FMLA (Family Medical Leave Act) leave then applicable, and
- d) agrees that exhaustion of FMLA leave occasioned by the disability that led to the original termination of the faculty member and an inability to return to service and carry out his or her duties will cause termination of employment without notice or additional severance salary or benefits.

If the faculty member meets the preceding conditions, agrees to the stipulations, and successfully completes the one-year probationary period, then the University will restore the faculty member to full faculty status including previously earned rank and tenure, at an appropriate salary as determined by the Faculty Salary Plan (Ch. 4).

3.12.5 Dismissal for Adequate Cause

Dismissal for adequate cause (“dismissal”) is a means of separation by which the University ends its employment relationship with a tenured faculty member or prior to the end of the term of appointment with a tenure-track faculty member, a regular term faculty member, a ranked part-time faculty member, or a special appointment faculty member. Dismissal can occur only for reasons that are related directly and substantially to the fitness of faculty members in their professional capacities as teachers, researchers or creative artists, and citizens of the University. Dismissal will not be used to restrain faculty members in their exercise of academic freedom.

3.12.5.1 Grounds for Dismissal

As indicated above, adequate cause for dismissal relates directly and substantially to the fitness of faculty members in fulfilling the duties of their appointments. Specific grounds for dismissal include but are not limited to

- a) demonstrated professional incompetence or dishonesty in teaching, research/creative activity, or service;
- b) willful, serious, and continued neglect of duties (§§3.6, 3.7, 3.8) in spite of two (2) or more written reprimands (§3.11.2.2) from the appropriate Dean;
- c) serious personal or professional misconduct that constitutes deliberate and material violation of the standards of professional conduct (§3.5);
- d) willful and material violation of the rights and freedoms of students, faculty colleagues, staff, or administrators;
- e) conviction of a felonious crime such that the faculty member’s fitness to discharge his or her duties is substantially affected;
- f) falsification or misrepresentation of professional credentials, employment record, or accomplishments, at the time of hire or subsequently (§3.3.2.1);
- g) moral turpitude—i.e., behavior so excessive that it not only affronts the moral sensibilities of persons in the University or the surrounding community but also would evoke condemnation by the academic community generally;
- h) accepting substantial employment outside of the University, including but not limited to the equivalent of a full-time faculty appointment at one or more other institutions, that imposes demands on a faculty member’s time that are incompatible with the duties and responsibilities of the faculty member’s University appointment and so represent a severe conflict of interest (§3.5.6).

The burden of proof to establish the existence of adequate cause for dismissal rests with the Administration. A faculty member accused of an action or actions that would constitute grounds for dismissal will be presumed innocent until adequate cause is established through dismissal proceedings as described below.

3.12.5.2 Suspension During Dismissal Proceedings

A faculty member who is subject to dismissal proceedings may not be suspended or assigned other duties in lieu of suspension until a final decision is reached except under the provisions of §3.11.2.5.

3.12.5.3 Steps Prior to Dismissal

An administrative decision to seek dismissal of a faculty member will be preceded by

- a) consultation between appropriate administrator(s) and the faculty member toward the goal of achieving a mutually agreeable settlement (§3.12.5.3.1),
- b) informal consultation by the Provost with the Faculty Review Committee (§3.12.5.3.2), and

- c) presentation to the faculty member of a statement of charges, framed with reasonable particularity, by the Provost (§3.12.5.3.2).

The Administration will proceed in accordance with the following procedures:

3.12.5.3.1 The Dean's Consultation with the Faculty Member

If an academic Dean has evidence that a faculty member has demonstrated or is demonstrating conduct that may constitute adequate cause for dismissal as specified above (§3.12.5.1), then the Dean will meet with the faculty member to discuss the concerns and to consider the faculty member's response. If requested by the faculty member, the Dean will provide the faculty member with a written statement of concerns.

At his or her discretion, the Dean may request further investigation into the matter by the University's Equal Employment Opportunity Manager or other appropriate University personnel before or after meeting with the faculty member. However, before moving beyond this stage in these procedures, the Dean will afford the faculty member a reasonable opportunity to respond to any information that the Dean believes would constitute adequate cause for dismissal and if possible to arrive at a mutually agreeable settlement.

3.12.5.3.2 Informal Consultation with the Faculty Review Committee

If the matter cannot be resolved through consultation with the faculty member and if the Dean believes that adequate cause for dismissal exists, the Dean forwards a recommendation for dismissal to the Provost. The Provost may meet with the faculty member, at the Provost's discretion. At any time, if the Provost and the faculty member reach a mutually agreeable settlement, the matter will be concluded.

If the Provost believes that the faculty member has demonstrated or is demonstrating conduct that may constitute adequate cause for dismissal and a settlement is not possible, the Provost will request of the Chair of the Faculty Review Committee that the Faculty Review Committee informally and confidentially consider the evidence. The faculty member will be notified of this action by the Provost. The Faculty Review Committee may recommend a settlement acceptable to both the faculty member and the Administration, administrative disciplinary actions short of dismissal (§3.11.2), that no administrative action be taken, or that dismissal proceedings be initiated.

If the Review Committee recommends that dismissal proceedings be initiated or if the Provost, even after considering an alternative recommendation of the Committee, determines that dismissal proceedings should be undertaken, action will be initiated under the procedures specified below.

After considering the recommendations of the Faculty Review Committee, the Provost notifies the faculty member

- that no action will be taken and the matter is concluded,
- that the Vice President intends to impose sanctions short of dismissal (according to the provisions of §3.11.2), or
- that the Provost intends to seek dismissal and will proceed as specified below.

3.12.5.4 The Hearing Before the Faculty Grievance Committee

If the Provost intends to seek the faculty member's dismissal, the Provost will provide the faculty member with a statement, framed with reasonable particularity, indicating the charges that provide grounds for the proposed dismissal action. At the same time, the Provost will inform the faculty member that a formal review hearing before the Faculty Grievance Committee will be initiated as specified below (§3.12.5.4).

An allegation that the proposed action is based upon unlawful discrimination will be referred to the University's Equal Employment Opportunity Manager to be investigated according to the provisions of the University's Policy Prohibiting Unlawful Discrimination or Harassment (§3.5.5, Appendix 3-A). Allegations of unlawful discrimination will be considered and resolved before the case is presented to the Faculty Grievance Committee. Any conclusion(s) reached by the Equal Employment Opportunity Manager on the basis of an investigation into charges of unlawful discrimination related to a proposed dismissal will be provided to the Grievance Committee if the case is presented to it.

The dismissal hearing will be conducted according to the following procedures:

3.12.5.4.1 Presentation of the Case to the Faculty Grievance Committee, the Date of the Hearing

The Provost presents to the Chair of the Faculty Grievance Committee the statement that was provided to the faculty member identifying the charges representing grounds for the proposed dismissal action, the terms of a proposed settlement (if any), and any written response previously provided by the faculty member.

The Chair of the Faculty Grievance Committee will set a date for the hearing to begin. Service of notification of hearing will be made at least fifteen (15) working days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time prior to the start of the hearing. If the faculty member waives a hearing but denies the charges or asserts that the charges do not support a finding of adequate cause, the Hearing Subcommittee (see below) will evaluate all available evidence and rest its recommendation upon the evidence in the record.

3.12.5.4.2 Constitution of the Hearing Subcommittee

A minimum of five (5) members of the Faculty Grievance Committee or alternates will constitute a Hearing Subcommittee (the "*Subcommittee*") for a proposed dismissal. Members of the Grievance Committee will recuse themselves from the hearing, either at the request of a party to the hearing or at their own initiative, if they deem themselves disqualified by bias or interest. Their places will be filled by alternates. Both the faculty member and the Provost may excuse one (1) Grievance Committee member from the hearing without stating cause. If additional faculty members need to be added to the Grievance Committee to constitute a Subcommittee, they will be chosen at large from among the tenured faculty and term contract faculty holding six-year contracts by agreement among the Chair of the Academic Assembly, the Chair of the Faculty Grievance Committee, and the President.

The Administration will be represented at the hearing by the President's designate. The administrative representative will observe but will not participate in the Subcommittee's deliberation or vote; he or she will maintain the confidentiality of the proceedings.

3.12.5.4.3 Confidentiality, Documents, and Record of the Hearing

The proceedings will be closed and confidential, subject only to the need of the faculty member or the Administration to comply with the procedures specified herein or to present evidence concerning the case in other judicial or administrative proceedings. Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration of the matter by the Board of Trustees. All notes taken by Subcommittee members will be destroyed at the conclusion of the Subcommittee's deliberations.

A verbatim transcript of the hearing will be taken, and a written copy will be made available to the faculty member without cost, at the faculty member's request. A copy of the transcript will be maintained by the University as part of the records of the case.

3.12.5.4.4 Conduct of the Hearing

The pre-hearing meeting

The Subcommittee will hold a pre-hearing meeting with the parties in order to (i) simplify the issues, (ii) effect stipulations of facts, (iii) provide for the exchange of documentary or other information, (iv) provide the Subcommittee with lists of requested witnesses and lists of documents to be produced as evidence, and (v) achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.

Updated and Approved by the Board of Trustees May 13, 2016

The faculty member and the Provost may provide the Subcommittee with the names of requested witnesses; however, the Subcommittee will determine which witnesses it will hear. The faculty member will be afforded reasonable opportunity to obtain documentary or other evidence. The Administration will cooperate with the Subcommittee in securing witnesses and making available documentary and other evidence. Both principals and witnesses must appear at the hearing if called by the Subcommittee.

The Subcommittee's preliminary consideration of the matter

Following the pre-hearing meeting, the members of the Subcommittee will adjourn from the presence of the parties to review the materials and requests presented to it, clarify the issues, identify any additional documentation that is needed, and determine the witnesses to be called and the order of oral presentations and argument.

The hearing

Both the faculty member and the Provost are entitled to appear in person at the hearing. If the faculty member declines to appear, the Subcommittee will evaluate all available evidence and rest its recommendation upon the evidence in the record.

The faculty member may be accompanied at the hearing by an advisor who is an employee of the University. The advisor may be present only when the faculty member is present, may speak only with the faculty member, and may not address the Subcommittee on the faculty member's behalf. The advisor may not be called as a witness in the hearing but may answer direct questions from the Subcommittee. Should an advisor violate or attempt to violate any of these conditions, the Subcommittee may excuse the advisor from the hearing at its discretion.

The faculty member and the Provost have a right to confront and cross-examine all witnesses. Witnesses other than principals will not be allowed to observe the process of questioning of other witnesses. Where witnesses cannot appear but the Subcommittee determines that the interests of justice require admission of their statements, the Subcommittee will identify the witnesses, disclose their statements, and if possible provide for interrogatories. In the hearing of charges of incompetence, the Subcommittee will hear testimony of qualified faculty members from this or other institutions of higher education.

The Subcommittee will grant adjournments to enable either party to investigate evidence about which a valid claim of surprise is made.

The Subcommittee will not be bound by strict rules of legal evidence and may admit any evidence of probative value in determining the issues involved. It may recall any principals or witnesses as it deems appropriate in the course of its deliberations.

3.12.5.4.5 Findings and Recommendations of the Subcommittee

At the conclusion of its deliberations and by majority vote, the Subcommittee will determine its findings of fact and, in accordance with its findings of fact, will recommend whether the existence of adequate cause for dismissal has or has not been established by a preponderance of the evidence in the record. The Subcommittee's findings of fact and recommendation will be based solely on the record of the hearing.

Within three (3) working days of its vote, the Subcommittee will report its findings of fact and recommendation to the faculty member, to the Chair of the Faculty Grievance Committee (if that person is not already a member of the Subcommittee), to the Provost, and to the President. If the Subcommittee concludes that adequate cause for dismissal has been established but that a penalty or sanction less than dismissal would be more appropriate, it will so recommend with supporting reasons.

3.12.5.4.6 The President's Decision; Action by the Board of Trustees

In addition to reviewing the recommendation of the Subcommittee, the President may review, at his or her discretion, any documents pertinent to the case. Within five (5) working days of receiving the Subcommittee's findings and recommendations, the President makes a final administrative decision that cannot be appealed. The President communicates his or her decision in writing to the faculty member, to the Chair of the Faculty Grievance Committee, and to the Provost.

If the President rejects the Subcommittee's recommendation, the President's report of the decision will state his or her reasons for doing so, and the faculty member will be given an opportunity to provide a written response to the President before the President recommends a course of action to the Board of Trustees.

The President or, at the President's request, the Provost or the appropriate Dean presents the Administration's recommendation to the Academic Affairs Committee of the Board. The Chair of the Faculty Grievance Committee will attend the meeting of the Academic Affairs Committee to provide the Grievance Committee's perspective. The report of the Subcommittee to the President, the report (if any) from the EEO Manager, the President's report, and the faculty member's written response (if any) will be made available to the Academic Affairs Committee. At its request, the Academic Affairs Committee may also review any other documentation developed in the hearing, including the transcript. The Academic Affairs Committee makes a recommendation for action to the Executive Committee of the Board or the full Board, at the discretion of the Chair of the Board; the action of the Executive Committee or the Board is final and cannot be appealed.

The President will report the action of the Board to the Chair of the Faculty Grievance Committee, the Provost, and the faculty member involved. Copies of the President's report will be placed in the faculty member's Academic Affairs and employee personnel files.

If the President takes an action short of dismissal, at the President's discretion a copy of the President's report will be placed in the faculty member's Academic Affairs and employee personnel files, in the next review dossier file, and, in the case of a tenure-track faculty member, in the dossier file for the tenure review (whenever it occurs).

3.12.5.4.7 Notice, Severance Salary and Benefits, Provision for Rehire

There are no requirements for provision of either notice or severance salary in cases of dismissal for adequate cause. On the recommendation of the Subcommittee or the President, the Board, in determining what (if any) payments will be made beyond the effective date of dismissal, may take into account the length and quality of service of the faculty member.

The faculty member will receive any benefits to which he or she is entitled at the time of separation.

There is no provision in University policy for rehiring a faculty member dismissed for adequate cause.

Appendix 3-A:

Policy Prohibiting Unlawful Discrimination or Harassment

UNIVERSITY OF REDLANDS

POLICY PROHIBITING UNLAWFUL DISCRIMINATION OR HARASSMENT

The University of Redlands is committed to providing a positive work and learning environment for employees and students, free of any form of unlawful discrimination or harassment. The University, consistent with its policies and practices, promotes equity and diversity by embracing "equal opportunity" as a campus-wide strategy, and the University's commitment to non-discrimination serves as a foundation for such efforts.

Discrimination on the basis of sex, race, national origin or ancestry, color, religion, pregnancy, childbirth or related medical conditions, age, disability, sexual orientation, marital or veteran's status, or other categories protected by Federal, State, and local ordinance or regulation is unlawful and considered a violation of the University of Redlands' Policy Prohibiting Unlawful Discrimination or Harassment.

It is the policy of the University of Redlands to immediately undertake an effective, thorough and objective investigation involving allegations of unlawful discrimination or harassment. Any employee or student determined by the University to be responsible for unlawful discrimination or harassment will be subject to appropriate disciplinary action, up to and including, termination or expulsion. The University will not tolerate or permit retaliation by any member of the administration, faculty, staff or student body against any person filing a complaint or participating in this process.

The University encourages all employees and students to **immediately** report any incidents of unlawful discrimination or harassment forbidden by this policy so that complaints can be quickly and fairly resolved. The University follows the guidelines for handling complaints as provided in the Procedures Addressing Unlawful Discrimination or Harassment. The Procedures indicate key contacts for filing a complaint. It outlines the process for informal and formal complaints, lists sanctions that can result if an employee or student is responsible for unlawful discrimination or harassment, protects against retaliation for filing a complaint or participating in the investigatory process involving a complaint and provides an appeal process.

PROCEDURES IN ADDRESSING UNLAWFUL DISCRIMINATION OR HARASSMENT

I. DEFINITIONS

This procedure applies to all members of the administration, faculty, staff, and student body; but does not apply to temporary employees. Temporary and introductory employees do not have access to the grievance proceedings noted in the personnel policies and available to the applicable members noted above. However, the University will act upon allegations of unlawful discrimination and/or harassment involving temporary and introductory employees as required by law.

This procedure also governs complaints of unlawful discrimination and/or harassment that occur during a Faculty Review Committee or Faculty Appeals Committee process. This procedure takes precedence over the appeal process for faculty reviews and faculty grievance proceedings when allegations of unlawful discrimination or harassment are involved. Allegations of unlawful discrimination or harassment will be investigated and resolved prior to the continuation of a related appeal on a faculty grievance hearing.

Although allegations involving temporary and introductory employees, University customers, vendors, or third parties are not governed by this procedure, managers, supervisors, or human resources should be notified of such cases in order to assist the University in pursuing and investigating allegations of unlawful discrimination or harassment as defined by policy.

In common English usage, discrimination simply means noticing differences between people or things that are otherwise alike, and making decisions based on those differences. However, acts of discrimination based upon the protected status as defined by Title VII are deemed unlawful. In this document, the term is being used to refer to unlawful discriminatory acts.

A. **Unlawful Discrimination** is favorable or unfavorable treatment of a person based on category, class, or group, rather than objective treatment on individual merit. Discrimination on the basis of sex, race, national origin or ancestry, color, religion, pregnancy, childbirth or related medical conditions, age, disability, sexual orientation, marital or veteran's status or other categories protected by Federal, State, local ordinance or regulation is unlawful and prohibited by this policy.

Examples:

- **"Seen One, Seen Them All":** *A person's belief, that all people in a particular group are the same. This can result in negative performance evaluations, withholding of promotions, or threats of termination.*

- **Disparate Conduct:** *Inconsistent application of rules and policies between members of a protected group and others. For instance, disciplining Asian employees or students for tardiness while ignoring tardiness among other employees or students in other groups. Application of rules or practices only to a protected person that are unrelated to knowledge, skills, abilities, and experience necessary or appropriate to perform a particular job.*
- **B. Unlawful Harassment** is disparate conduct affecting persons by reason of his or her membership in a protected category that is reasonably perceived as: (1) creating an intimidating, hostile, or offensive environment; (2) interfering with his or her work performance or access to educational activities and programs; or (3) adversely affecting his or her employment or educational activities.

Examples:

Coercion of a desired behavior by threat of punishment. For instance, grade retaliation, negative performance evaluations, withholding promotions, threat of termination, unwanted, inappropriate, and/or offensive advances, insistent requests for dates, persistent letters, phone calls, or other invitations- that are directly related to a person's membership in a protected category.

- C. **Sexual Harassment** is defined as unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature. Such actions violate Title VII of the Civil Rights Act of 1964 and Title IX of the Education Amendments of 1972. An offense occurs when submission to sexual advances is made, either explicitly or implicitly, 1) a term or condition of employment; 2) a basis for measuring job performance; 3) a condition for accessing educational activities or programs; or 4) a standard used in grading academic work.

Types

1. **"Quid pro quo"**- meaning this for that, or something for something. This form of harassment involves a person holding greater authority (e.g. a supervisor) exploiting a subordinate's position or standing. Cases may involve but are not limited to: (a) *threats* (e.g. a threatened response to a rebuff of a sexual advance results in a transfer, blocked promotion, firing, lower grade, rejection of leadership position, poor evaluation, etc.) or (b) *rewards* (e.g. favorable hiring or promotion decisions are made contingent upon submission to sexual demands).

Examples:

- *A professor or administrator implies that he or she can get an individual into an advantageous program in return for sex---or keep the individual out if he or she refuses.*
- *A subordinate employee is promised a promotion if he or she consents to sex with a supervisor.*
- *A student is given a better grade in return for sexual favors.*

2 Creating a hostile, intimidating, or offensive environment - may include but is not limited to the display of sexual objects, pictures, calendars, or the use of offensive comments, language, jokes, gestures, etc.

Examples:

- *A co-worker or student makes sexual jokes, or places sexual objects around the workplace or, in the case of a student, around their residence spaces.*
- *A professor or student is subjected to remarks about his or her intimate anatomy.*
- *A supervisor or student demeans the abilities of members of the opposite sex on the basis of gender.*
- *A delivery truck driver makes a sexual comment or gesture to an employee or student while making a delivery to the campus.*

Sexual harassment may be male-female, male-male, female-female, or female-male.

II. INFORMATION AND COUNSELING SERVICES

A person believing he or she is subject to unlawful discrimination or harassment should contact a resource person to receive information and advice. This process is intended to initiate a non-adversarial approach to the problem and helps individuals resolve situations when there may have been a misunderstanding. The EEO Manager should be consulted if alleged violations of this policy appear to be more than mere misunderstandings. It is important to note that one does not give up one's right to file a complaint by going through this process. Employees who are responsible for the conduct of others must notify one of the listed contact persons when they receive a complaint of alleged unlawful discrimination or harassment.

Contacts for counseling advice and information include, but are not limited to:

- Equal Employment Opportunity Manager, Human Resources, extension 3940
- Director of Multicultural Affairs, extension 6336
- Vice President/Dean, Student Life, or her/his designee, extension 4535
- Dean, College of Arts & Sciences, extension 4080
- Associate Dean, College of Arts & Sciences, extension 4080
- Dean, School of Business, extension 2200
- Associate Dean, School of Business, extension 5286
- Dean, School of Education, extension 6016
- Associate Dean, School of Education, extension 6040
- Campus Directors, School of Business
- Athletic Director, extension 4004
- Public Safety, extension 4000
- Chaplain, extension 4006
- Convenor, Faculty Women's Caucus, extension 2377
- Director, Administration & Operations, School of Business, extension 4160
- Director, Human Resources, extension 3942
- Director, Johnston Center, extension 4274
- Director, Race & Ethnic Studies, extension 6021
- Student Services, extension 4079, 4069

The Complainant has up to one hundred eighty (180) calendar days to file his or her complaint from the date of the last alleged incident. Victims are encouraged to report violations early before inappropriate or unlawful behaviors become severe or pervasive. The complaint may or may not be submitted in writing. The failure of a Complainant to make his or her complaint in a timely manner is not a waiver of the University's authority to investigate the alleged incident and seek appropriate remedies.

III. Complaint Procedure

It is the policy of the University of Redlands to immediately undertake an effective, thorough and objective investigation involving allegations of unlawful discrimination or harassment. To achieve this objective, the University has established an informal and formal process. A person alleging unlawful discrimination or harassment also has access to formal external processes that are described below as well.

The onus of conducting a fair and impartial investigation in the matters of unlawful discrimination is the responsibility of the EEO Manager. However, occasions may arise when circumstances require that an outside investigative consultant be retained to perform the elements of an investigation. This option will be exercised at the discretion of the President of the University or the Vice President of Finance and Administration in consultation with the EEO Manager.

Although The EEO Manager or designee exercise discretion during any investigation, a guarantee of confidentiality or anonymity cannot be made since the investigation necessarily involves discussion with other parties. Information about the complaint and each allegation within the complaint is revealed only as investigation and disciplinary processes require and consistent with protecting the welfare of administrators, faculty, staff, students, third parties, and the interests of the University.

Upon receiving a complaint of unlawful discrimination or harassment, the EEO Manager will conduct an inquiry to determine whether facts support the allegation. The inquiry may include interviews with third parties and review of applicable documentation. The EEO Manager may request that a member of the opposite gender join the inquiry team. If the EEO Manager finds facts that support the allegations of unlawful discrimination or harassment, he/she will consult with the complainant to determine whether the informal or formal complaint process will be initiated. The complainant may also choose to have the inquiry team complete the investigation and create a letter of findings and recommendations in lieu of an informal or formal investigative process. Should this option be selected, distribution of the letter of findings will adhere to the informal process stipulations.

The duty to provide a safe and healthy working and learning environment is a paramount responsibility of the University. The fact-finding process contributes to the University's ability to discover and respond to unlawful behavior. Therefore, failure or refusal on the part of the complainant, the accused, any witnesses and other individuals to cooperate in, or interference with a University investigation from any party may be subject to disciplinary action, up to and including, termination.

If the EEO Manager finds that facts do not support the allegation of unlawful discrimination or harassment as defined by policy, he/she will assist the complainant in exploring other available options.

Informal Process

The University wants to encourage members of the community to resolve complaints informally. However, either or both parties to a dispute have access to the formal process.

Complainant---individual making complaint or a/legation.

Accused--person accused of unlawful discrimination or harassment.

DETERMINING COURSE OF ACTION

The EEO Manager or designee will discuss options and facilitate the informal process with the complainant. Options include:

A) WRITTEN MEDIATION/CONCILIATION

Complainant and alleged perpetrator facilitate resolution through written correspondence.

B) PERSONAL MEDIATION(CONCILIATION)

Complainant and accused agree to meet. The parties discuss concerns, issues, and possible resolutions.

C) DEPARTMENT MEDIATION/CONCILIATION

Supervisor/department head hears complaint, proposes remedy, and implements resolution in collaboration with the complainant and accused.

D) RESOURCE PERSON MEDIATION/CONCILIATION

The EEO Manager suggests possible resource persons to both complainant and accused. The EEO Manager appoints a resource person. Complainant and accused agree to meet with an impartial resource person to discuss and mediate situation.

At the conclusion of an informal process to resolve the complaint, the EEO Manager or designee will prepare written documentation regarding the process and outcome. This documentation is for record-keeping purposes and a copy of the document will be maintained by the EEO Manager. This document does not become part of either party's employee or student file; however, the record of the complaint may become part of a record of a subsequent related action regarding either of the parties. A copy of the prepared document will be provided to both parties.

If the EEO Manager is the accused, the Director of Human Resources will conduct this process. If the President of the University or a member of the Board of Trustees is the alleged perpetrator, the Chair of the Academic Affairs Committee of the Board will oversee the details of this process. If the allegations are against the Chair of the Academic Affairs Committee of the Board, the EEO Manager and the President of the University will determine the course of action.

FORMAL PROCESS (INTERNAL)

Either party of an alleged incident of unlawful discrimination or harassment may file a formal complaint. The formal fact-finding process begins with the EEO Manager or the Director of Human Resources, designee investigating each allegation. The EEO Manager may convene a fact-finding committee to assist in the investigation. The fact-finding Committee is an ad-hoc committee of three (3) persons selected by the EEO Manager or Director of Human Resources. The EEO Manager may be a member of the committee. If a member of the committee becomes incapacitated or otherwise unable to participate and the deadlines set forth for completion are imminent, the member may be replaced at the discretion of the Director of Human Resources or the EEO Manager. Before proceeding, the Director of Human Resources or the EEO Manager will notify the complainant and accused of the substitution. In this event, all four members must be present during the deliberation phase of the process if the capacity or availability of the absent member is restored.

Committee members are drawn from the administration, faculty, or staff. Anyone asked to serve is required to disclose to the Director of Human Resources or EEO Manager any real or potential conflict of interest or bias related to the parties. Members shall be chosen from outside the departments where the complainant and accused are employed or enrolled.

This fact-finding process entails taking statements of the complainant including a chronological description of each incident, naming witnesses (if any), and listing remedies sought to date. The EEO Manager then informs the accused that a complaint has been filed and outlines the nature of each allegation. The EEO Manager or designee conducts interviews with the complainant, the accused, any witnesses and other individuals who have been designated by the complainant or the accused to have knowledge of an allegation. This process will be conducted in a timely manner.

If the EEO Manager is the subject of the fact-finding process, the Director of Human Resources or her or his designee will assume the duties and responsibilities assigned to the EEO Manager in this policy. If allegations are made against the President of the University or a member of the board of Trustees, the Chair of the Academic Affairs Committee of the Board will manage the course and direction of the investigation. If the allegation concerns the Chair of the Academic Affairs Committee of the Board, the EEO Manager and the President of the University will determine the course of action.

CLOSING THE INVESTIGATION

The EEO Manager or designee issues a written report containing a summary of findings and may include a disciplinary recommendation (if the complaint is substantiated). The report is given to the applicable Dean or Vice President over the department or college of the complainant and accused. The parties are informed promptly by either the EEO Manager or the applicable

supervisor, department head, Dean, or Vice President regarding the closure of the investigation and are then copied with the report. The report is made part of the EEO investigation file, which is created by the University for the investigation of the complaint.

IV. SANCTIONS AND DISCIPLINARY ACTIONS

Any person violating the University's Policy Prohibiting Unlawful Discrimination or Harassment is subject to a range of sanctions, in accordance with University policies, including, but not limited to, dismissal or expulsion. Violators may also be subject to civil or criminal action independent of the University's internal procedures and sanctions.

Sanctions include, but are not limited to:

A) VERBAL WARNING

The facts are reviewed in private with the accused, and the accused will be told what action will be taken if another violation occurs.

B) WRITTEN WARNING/WRITTEN REPRIMAND

The facts of the violation are reviewed with the accused in the presence of the next higher level of administration, and a written record of the meeting is prepared and placed in the employee's personnel file and his or her academic affairs file, review dossier field, or the student file, as appropriate.

C) SUSPENSION, DISMISSAL, OR EXPULSION

1. Administrators and Staff

The sanctions described in the employee policies then in effect will generally apply. Further, in certain circumstances, when an unlawful action threatens the safety of employees or students, a violator may be dismissed immediately, without notice, and without following the steps prescribed under verbal and written warnings. This action is taken by the appropriate Dean or Director.

2. Faculty

The written report generated by the EEO Manager or designee will be forwarded to the appropriate academic Dean. The Dean will review the report and recommend appropriate sanctions, if any, as described in the *Faculty Handbook* then in effect. The formal and informal processes referenced above and the right to appeal described below (Section V) are in lieu of all procedures for investigations and hearings described in the *Faculty Handbook*.

Except in the case of sanctions involving a dismissal, applicable sanctions as outlined in the *Faculty Handbook* may be imposed without further proceedings. The VPAA will review the recommendations made by the Dean and will accept, reject, or modify the recommendation.

3. Students

The sanctions described in the Code of Student Conduct then in effect for their particular college will apply.

V. RIGHT TO APPEAL

If the report and subsequent sanctions are viewed as adverse and unacceptable to either the complainant or accused, a written appeal may be brought to the applicable Vice President within fourteen (14) calendar days of the date the party receives the report. Reasons for rejecting or modifying a determination under appeal are prejudicial error in the form of procedural error, violation of University policy, inadequate consideration, or improper sanction. An error is prejudicial if it is reasonably probable that a result more favorable to the appellant would have been reached in the absence of the error. Inadequate consideration occurs if the EEO Manager used irrelevant evidence or failed to use the relevant evidence as a basis for judgment in determining his or her findings and recommendations. Alternatively, inadequate consideration occurs when a decision is not supported by substantial evidence in the record. Within fourteen (14) calendar days following the submission of an appeal, the Vice President shall accept, reject, or modify the determination.

Either party may appeal to the President within fourteen (14) calendar days of the Vice President's response. Within twenty-one (21) calendar days following the submission of an appeal to the Office of the President, the President shall accept, reject, or modify the determination. In these cases, the decision of the President is final.

Should an appeal be lodged while the administrative appeal designee is out of town, the appeal will be considered filed within the guidelines of this policy, and the calendar days for response will begin on the first day of arrival back to the University.

In all cases, the right to appeal is forfeited in the event that employment with the University is terminated. Individuals seeking redress beyond the internal University process may consult the *Formal Complaint Process (External)*, *Section VI*, or seek private legal counsel at their own expense.

VI. FORMAL COMPLAINT PROCESS {EXTERNAL}

The complainant may choose to lodge a complaint directly with the Department of Fair Employment and Housing (DFEH, a state agency), the Equal Employment Opportunity

Commission (EEOC, a federal agency), Office of Civil Rights (OCR, a federal agency), or the Office of Federal Contract Compliance Programs (OFCCP, a federal agency). These contacts will, hereafter, be referenced as "agency."

If a complaint is filed, it is likely the agency would ask the complainant if the University has an internal process to address complaints and, if so, whether he or she utilized the process. Usually, the agency requests that a complainant use the internal process as the first course of action. Nevertheless, the agency retains the option of accepting the complaint even if the internal process has not been utilized.

Should the agency accept the complaint, it becomes the agent for the complainant, and the complaint is accessed under the guidelines of the governing agency. In these cases, the University's contact with the complainant is through the agency, and vice versa. Finally, agency resolution are reported in writing, and the University and agency make the terms of the resolution a part of the complainant's file, created for the investigation of the allegation(s).

VII. PROHIBITION OF RETALIATION

It is unlawful and a violation of this policy for any covered employee or student bringing a complaint or assisting in the investigation of a complaint to be adversely affected in his or her terms and conditions of employment or education. Complaints of such retaliation will be promptly investigated. If such a complaint is found to be valid, the person responsible for the retaliation will be subject to sanctions and disciplinary action (See Section IV).

VIII. LIMITS AND EXCLUSIONS

Time limits imposed in the policy may be altered for good cause upon the concurrence of the EEO Manager and appropriate Dean or Vice President and time limits shall not affect the University's ability to take appropriate and mandated actions to remain in compliance with applicable laws or policies and procedures. The foregoing procedures supersede every other University policy heretofore, whatever its nature e.g. verbal, written, memorandum of understanding (MOU), or agreement that pertains to process in addressing allegations of unlawful discrimination or harassment. All other policies and procedures addressing unlawful discrimination or harassment are void.

Appendix 3-B:

**Procedures of the Institutional Review
Board**

Appendix 3-B: Procedures of the Institutional Review Board

2. Annually, the President of the University, in consultation with the Vice President for Academic Affairs, shall appoint four (4) individuals from the faculty and one (1) member not affiliated with the University to the Institutional Review Board (IRB) to oversee use of animals and human participants in research and teaching. The faculty members of the IRB shall consist of at least one member from a humanities department, one from a social science department, and one from a natural science department. At least one member shall be from the faculty of the School of Education or the School of Business. The President shall appoint one of these four to be Chair. The IRB shall select one member to be the PreBoard Reviewer. The member serving as the PreBoard Reviewer must be available on a year-round basis to consider applications from members of the professional Schools.
3. The IRB shall meet at times published in the University calendar to review proposals for use of animals and human participants in teaching and research. Three (3) members constitute a quorum. For purposes of these Procedures, a review by the Board or the PreBoard Reviewer shall mean consideration and a vote to approve, disapprove, or request revision or additional information. If a member of the IRB or student(s) sponsored by a member of the IRB submits a proposal, that member will be excused from voting. All actions of the IRB must be supported by at least three of the five members. Each of the five IRB members must receive a copy of a proposal at least one calendar week in advance of a vote on that proposal. In case of necessitated absence, a member of the IRB may submit a vote by proxy. The IRB actions shall be available to the University community by the publishing of minutes within a week after each meeting (and a list of exemptions and expedited reviews determined by the PreBoard Reviewer). These can be obtained by contacting the Chair.
4. All studies must receive initial IRB review unless they are exempt under the provisions of federal regulation.¹ After a study has received IRB approval, subsequent identical studies with the

'OPRR Reports: Protection of Human Subjects' (Title 45; Code of Federal Regulations, Part 46).

Unless otherwise required by action of the IRB, research activities in which the only involvement of human subjects will be in one or more of the following categories are exempt from this policy:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as
 - (i) research on regular and special education instructional strategies, or
 - (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, or observation of public behavior, unless
 - (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and
 - (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (2) above, if
 - (i) the human subjects are elected or appointed public officials or candidates for public office; or
 - (ii) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects that are conducted by or subject to the approval of federal departmental or agency heads and which are designed to study, evaluate, or otherwise examine:
 - (i) public benefit or service programs;
 - (ii) procedures for obtaining benefits or services under those programs or procedures;
 - (iii) possible changes in or alternatives to those programs or procedures; or
 - (iv) possible changes in methods or levels of payment for benefits or services under those programs.
- (6) Taste and food quality evaluation and consumer acceptance studies

same principal investigator that occur within two (2) years of the conclusion of the previous study will not require full IRB review but will require expedited review or exemption by the PreBoard Reviewer. Proposals submitted by the PreBoard Reviewer or by students sponsored by the PreBoard Reviewer will be reviewed by the entire IRB.

Procedures for Obtaining Institutional Approval for the Use of Animals and Human Participants

The IRB (or the PreBoard Reviewer) will review all projects involving animals² and human participants.³ Projects may be approved, disapproved, approved with modifications, or identified for pending action that will require the submission of additional information requested by the IRB. The IRB will inform investigators of its decision in writing.

1. Criteria for Approval

Projects will not be approved if they do not conform to the Institutional Guidelines for Treatment of Animals and Human Participants in Research (page 3) or the Institutional Guidelines for Animal Use and Care (page 6).

2. Categories of Review

Full Board Review. A review by the entire IRB will be required for all initial studies, and for subsequent studies that do not meet the criteria outlined below.

Expedited Review. Some studies (including, but not limited to, collection of hair/nail clippings, excreta, data using non-invasive procedures typically employed in clinical practice, voice recordings, notes) that clearly and obviously satisfy the Institutional Guidelines for Treatment of Human Participants in Research (page 3) or the Institutional Guidelines for Animal Use and Care (page 6) may receive expedited review by the PreBoard Reviewer if a similar study conducted by the same principal investigator within the previous two (2) years has been previously assigned an approval number.

Exempt. Some studies (including, but not limited to, some surveys, field interviews, naturalistic observations, educational evaluation and testing) that involve only minimal risk to participants⁴ and animals may be exempt from full IRB review. In these cases, the principal investigators must still submit an application requesting exempt status.

3. Review Procedure

Five (5) completed copies of the Application to Use Human Participants in Research or the Institutional Review Board Application to Use Animals in Research and Teaching must be submitted to receive full IRB review; two (2) completed copies must be submitted for expedited and exempt reviews. Applications to use human participants submitted for full or expedited review must include a copy of the proposed informed consent form. The IRB may waive the

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- (i) if wholesome foods without additives are consumed or
 - (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe or agricultural, chemical, or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

In addition, those studies already in progress or approved before the implementation of these procedures shall not be required to be submitted for IRB review.

²Following the lead of the National Research Council (NRC) and other organizations, the term *animal* in all documents of the University of Redlands' IRB refers to non-human vertebrates. However, as stated by the NRC, many of the general principles in their Guide could apply to invertebrates. Procedures involving invertebrates should be designed and performed using the most humane protocols available.

³Excepting those ruled exempt under the provisions of fn. 1, above, and in Section 2. "Categories of Review," below.

⁴E.g., according to the criteria in fn. 1, above.

requirement to obtain written consent from some or all subjects if it finds either

- (a) That the only record linking the subject and the research would be the consent document and the principal risk would be potential harm resulting from a breach of confidentiality. Each subject will be asked whether the subject wants documentation linking the subject with the research, and the subject's wishes will govern; or
- (b) That the research presents no more than minimal risk of harm to subjects and involves no procedures for which written consent is normally required outside of the research context.

Previously approved projects that have undergone material changes to research design, subjects, or subject pools must be resubmitted for IRB consideration.

4. Appeal

A member of the University faculty whose research proposal is rejected by the IRB may appeal that decision in writing to the Vice President for Academic Affairs. The appeal must reach the Vice President within ten (10) working days of the faculty member's receipt of IRB's decision.

Upon receipt of an appeal, the Vice President will confer with the Chair of the IRB to understand the IRB's concerns. At the discretion of the Vice President, the Vice President may meet with the faculty member or with the IRB to discuss the case and may request that the IRB reconsider it. However, the ultimate decision remains in the hands of the IRB.

INSTITUTIONAL GUIDELINES FOR TREATMENT OF HUMAN PARTICIPANTS IN RESEARCH⁵

1. It is the investigator's responsibility to ensure that the participants' dignity and welfare are protected and that federal, state, and professional standards governing the conduct of research are met. Approval by the IRB does not preclude the necessity of obtaining approval from other governing agencies related to the study. For example, researchers studying patients in a hospital also may be required to obtain approval from the person or committee overseeing such practices at that hospital.

2. Participation in any research project must be voluntary. Participants have the right to decline to participate in any study; participants may terminate their participation in any study at any time. The investigator has the responsibility to ensure that participants understand these rights.

3. Studies must be evaluated to ascertain the degree to which participants are at risk, and any potential risk to participants must be offset by reasonably expected benefits of the research to participants or its reasonably expected contribution to knowledge and the importance of the knowledge. If the risk/benefit ratio is unacceptable, alternative designs must be considered or the study will not be approved and must not be conducted. Research that is redundant or trivial is not an appropriate use of energy and resources and will not be approved.

4. If participants are deemed to be at risk, the investigator must obtain informed consent⁶ prior to their participation. Informed consent requires the obligations and responsibilities of both the investigator and participants to be stated in language that is easily understandable by each. The investigator must honor all obligations detailed in the informed consent procedure (page 5). Participants must be informed of any aspects of the research that might influence their choice to participate; any inquiries about any aspects of the study must be answered to the satisfaction of the participants. Anything other than full disclosure requires additional steps to ensure that the participants' welfare and dignity are protected. Research involving children or people with impairments will require special informed consent procedures to be approved in advance by the IRB.

⁵Adapted and paraphrased. Source: American Psychological Association (1990). Ethical principles of psychologists (Amended June 2, 1989). *American Psychologist*. 45, 390-395.

⁶Guidelines for Written Informed Consent are found on page 7

5. If the methodological requirements of a study require the use of deception, the risk/benefit ratio must be assessed (as in 3 above). Before such a study is conducted, the investigator must (a) determine whether deception is, in fact, a methodological necessity, (b) investigate the feasibility of using alternative procedures that do not involve deception, and (c) ensure that participants receive a full and sufficient explanation for the use of deception as soon as deception is no longer necessary.
6. During the conduct of a study, the investigator is responsible for the ethical treatment of research participants by collaborators, assistants, students, and employees, all of whom also must maintain ethical standards of treatment.
7. It is the responsibility of the investigator to protect the participants from physical and mental discomfort, harm, and danger during the course of research. Procedures for contacting the investigator for a reasonable period of time following the conclusion of a study should be established and communicated to the participant in the event that questions or concerns about his or her role in the study arise.
8. At the conclusion of the study, the investigator will, in a timely fashion, provide all participants with a complete disclosure of the nature of the study; any misconceptions and questions will be settled at this time. Procedures for contacting the investigator for a reasonable period of time following the conclusion of a study should be established and communicated to the participant in the event that questions or concerns about his or her role in the study arise.
9. The investigator has the responsibility of ensuring and maintaining participants' confidentiality and/or anonymity. Participants must be assured that the information they provide to an investigator during the course of a study is confidential or anonymous unless otherwise agreed upon in advance. All informed consent forms must be retained in a locked storage compartment separate from the study's data in order to ensure confidentiality and anonymity. If others may have access to consent forms and data, participants must be informed that others indeed may gain access to this information. Moreover, in this case every effort must be exerted to maintain confidentiality, and these steps must be explained to participants as part of the informed consent procedure.
10. The University shall respect the right of students of conscientious refusal to participate in human experimentation. When a student expresses conscientious objections to engaging in a study or exercise that uses human participants, the student and the instructor will attempt to negotiate an alternative that is in the instructor's judgment an effective substitute.
11. Instructors shall make known in their syllabi any uses of human participants in a course, and students shall make known any reservations about participating in the use of such participants by the second class after receiving the syllabus in order to facilitate planning for alternatives.
12. Students and faculty unable to reach agreement on accommodation of conscientious refusal may file an appeal for mediation with the appropriate Academic Dean.

Elements of Informed Consent

Researchers must obtain the informed consent of their participants, or the informed consent of parents or legal guardians for participants who are less than 18 years of age. The principal investigator should have two copies of the consent form signed by the participant who will keep one for future reference, if needed.

In the case of questionnaire research, it is generally not necessary to include an informed consent signature as return of the questionnaire implies consent by the participant.

The informed consent statement must include the following:

1. Statement of who is doing the study (class, research organization, principal investigator,

etc.). (Should be the same as item 11 below)

2. Statement of the purpose of the study.
3. Statement of the use that will be made of the data.
4. Accurate description of the methodology in lay language.
5. Statement indicating the length of time the participant will be involved.
6. Statement of risks/benefits, if any, to the participant.
7. Statement of anonymity and data confidentiality. If data is to be analyzed in aggregate, please so specify.
8. Statement that participant may withdraw from the study at any time without prejudice. For example: If extra credit is given, withdrawal will not penalize participant from receiving course credit.
9. Statement that participant may choose not to respond to any or all items of a questionnaire.
10. Statement offering to answer any questions the participant may have about the research before and after it is carried out.
11. Name, title, address, and phone number of principal investigator(s) and names of all collaborators, or if a class project, the name of the class.
12. Line for the signature of the participant (except in questionnaire/survey research).
13. (a) Statement that participants are 18 years of age or older
or
(b) If participants are under 18 years old, separate statements of informed consent, appropriately worded for participants (i.e., children or adolescents) and their parents.

Institutional Guidelines for Animal Use and Care⁷

1. Animals shall be used only for the purpose of seeking potentially significant knowledge (in research) or for the purpose of significantly advancing students' knowledge (in teaching). The potential benefits of the knowledge shall be weighed against the necessity of using animals to obtain it, the amount of suffering animals would experience, and the number of animals that would be used. The use of animals that is redundant or trivial is not an appropriate use of energy and resources and will not be approved.
2. Care and use of animals shall be in accordance with the National Research Council's *Guide for the Care and Use of Laboratory Animals*⁸ and *The Biomedical Investigator's Handbook*⁹ and the laws and regulations referenced within these publications. Laws and regulations notwithstanding, an animal's immediate protection is the responsibility of the scientist. Investigators studying free-living animals should take precautions to minimize interference with individuals as well as the populations or ecosystems of which they are a part

⁷Adapted, with revisions and additions, from the American Physiological Society, *Statements on Animal Usage*, the American Psychological Association, *Ethical Principles of Psychologists, Principle 10: Care and Use of Animals*, and the Animal Behavior Society, *Guidelines for the Use of Animals in Education*

⁸*Guide for the Care and Use of Laboratory Animals*, National Research Council, 1996.

⁹*The Biomedical Investigator's Handbook for Researchers using Animal Models*. (2nd edition). Foundation for Biomedical Research, 1987.

3. All procedures involving animals shall be closely supervised by a scientist trained in research methods, experienced in the care of laboratory animals, and dedicated to the welfare of animals.
4. All experimental procedures (surgical and nonsurgical) must be carried out in such a way as to minimize pain and distress to the animal. For example, appropriate anesthetics must be used to eliminate sensibility to pain during surgical procedures. Techniques to avoid infection and minimize pain must be followed during and after surgery. The postoperative care of animals shall be such as to minimize discomfort and pain, and in every case be at least equivalent to accepted practices in veterinary medicine.
6. If a study requires the death of an animal, the most rapid, painless, and humane method of euthanasia consistent with the study must be used.
7. When animals are used by students, it is the responsibility of the instructor to ensure that all students under his/her supervision have received explicit instruction in experimental methods and in the care and handling of the species being used. Student work shall be under the direct supervision of an experienced teacher or investigator. Responsibilities and activities of students shall be consistent with their competencies and maturity. Instructors are ultimately responsible for the welfare of all animals used by their students.
8. Only animals that are lawfully acquired shall be used in laboratory research and teaching.
9. The University shall respect the right of students of conscientious refusal to participate in activities involving the use of animals. When a student expresses conscientious objections to engaging in a study or exercise that uses animals, the student and the instructor will attempt to negotiate an alternative that is in the instructor's judgment an effective substitute.
10. Instructors shall make known in their syllabi any uses of animals in a course, and students shall make known any reservations about participating in the use of such animals by the second class after receiving the syllabus in order to facilitate planning for alternatives.
11. Students and faculty unable to reach agreement on accommodation of conscientious refusal may file an appeal for mediation with the appropriate Academic Dean.

Appendix 3-C: Best Practices for Informal Mediation

Best practices for Chairs, Program Directors, Deans, or other supervisors on handling complaints about a faculty member in your department, program, or school that do NOT involve criminal conduct or Title IX issues (that is, issues that you think you can resolve by listening to the concerns and, if necessary, mentoring the faculty member who is the focus of the concerns):

In the meeting with the student(s), staff member(s), or faculty member(s) who have concerns:

- Listen carefully and try to be understanding but neutral. Do not agree that the faculty member in question has done anything wrong until you've heard their side of the story.
- If a student is expressing concerns about pedagogical policy such as due dates, grading standards, etc., ask to see the course syllabus. This will provide context as to whether or not the policy is clear and in line with standard practice in the department.
- As part of the discussion, ask the person or people with concerns what outcome they are looking for and/or what advice they'd give to the faculty member under discussion. This can make the person with the concern feel like you're paying attention (which might be all they really want) and give you some concrete ideas for mentoring the faculty member under discussion.

Possible actions:

- 1) You might decide that the faculty member under discussion has done nothing wrong.
 - Clearly but tactfully tell the person or people making the complaint that you think the faculty member under question has done nothing wrong and explain your reasoning. They might be angry, but can always take the issue to someone else, and you've done your job.
 - You might want to let the faculty member under discussion know that someone has expressed concerns and explain what those concerns are. Make it clear that you don't think the faculty member has done anything wrong, but you just wanted to give them a heads-up in case the complainer goes to someone else. Make it clear that you intend to support the faculty member.
- 2) You decide the faculty member in question needs some mentoring.
 - Treat this as a *professional* situation, not a *social* situation. Be mindful of any power dynamic between you and the faculty member, especially if that person is an adjunct or untenured.
 - Within 24 hours of getting the initial complaint/concern, contact the faculty member during his or her normal working hours in person, by phone (use their professional contact number), or by e-mail to set up an appointment.
 - Explain that someone has brought some concerns to your attention and that you'd like to get their side of the story and work with them to resolve the concerns.
 - Arrange to meet as soon as possible but during normal working hours.
 - Arrange to meet in a professional location such as the faculty member's office, your office, or a conference room.

In the meeting:

- Try to be clear about the concerns and why you think there is an issue while still being supportive. You want to work with the faculty member, so you want him or her to be open to mentoring and not defensive.
- Listen to the faculty member's side of the story or interpretation of the concerns.
- Make some suggestions (including those proposed by the person with the complaint) to start the discussion.
- Solicit ideas from the faculty member about what they think they can do to resolve the concerns.

Try to end the discussion with some sort of plan for what the faculty member will do to try to address the concerns.

Chapter 4

FACULTY SALARY PLAN, LEAVES, AND OTHER POLICIES APPLICABLE TO FACULTY MEMBERS

This chapter provides information concerning certain University policies that apply specifically to members of the faculty. Other University personnel policies that apply to all employee groups, including the faculty, are contained in the document *Personnel Policies and Procedures* published through the Office of Human Resources. Official, up-to-date information on such policies is available in Human Resources and on the University's Web page.

4.1 The Faculty Salary Plan¹

Faculty Salary and Rank

Faculty salaries are determined by earned academic rank and level (see above, §3.9). Therefore, faculty members who successfully complete a performance review and are promoted in rank or advanced in level will receive promotion or advancement raises. Achieving tenure is not, in itself, a promotion in rank or level and will not, on its own, occasion a salary increase.

The Faculty Salary Plan pertains to the following academic ranks and levels²: Tenure Track

Faculty

Assistant Professor - Level I Assistant Professor
- Level II Assistant Professor - Level III

Associate Professor - Level I Associate
Professor - Level II

Professor - Level I Professor - Level II
Professor - Level III

Term Contract Faculty

Lecturer – Level I Lecturer – Level II
Lecturer – Level III

Senior Lecturer – Level I Senior Lecturer –
Level II Senior Lecturer – Level III Senior
Lecturer – Level IV Senior Lecturer – Level V

Clinical Professor – Level I Clinical Professor –
Level II Clinical Professor – Level III

Senior Clinical Professor – Level I Senior Clinical
Professor – Level II Senior Clinical Professor – Level III
Senior Clinical Professor – Level IV Senior Clinical
Professor – Level V

Updated and approved by the Board of Trustees May 13, 2016

Artist Professor – Level I
 Artist Professor – Level II
 Artist Professor – Level III

Senior Artist Professor – Level I
 Senior Artist professor – Level II
 Senior Artist Professor – Level III
 Senior Artist Professor – Level IV
 Senior Artist Professor – Level V

Base Salary Targets

The “base salary” is a faculty member’s annual salary as determined by his or her rank and level, exclusive of any additional compensation (e.g., overload pay). Base salary targets for each rank and level are established by the Administration for a nine-month faculty contract in relationship to relevant external salary benchmarks (e.g., the annual AAUP salary study). The overall “salary scale” is the combination of base salary targets inclusive of the ranks and levels identified above. The salary scale is adjusted annually to reflect observed movement of the external salary benchmarks, other local conditions, and our own institutional hiring experience. If in any one year the full extent of such movement in external benchmarks cannot be matched (e.g., because of budgetary difficulty) there will be attempts to bring the salary scale back in line with external benchmarks at the earliest opportunity in subsequent years. In any event, priority will be given first to promotions in rank, second to promotions in level, and third to advancing the scale, so that internal equity is maintained. In all matters of compensation and budget, final authority rests with the University Board of Trustees.

Advantaged Disciplines

At certain times in specific disciplines that the academic marketplace values at a premium—“*advantaged disciplines*”—the University may offer a salary higher than the current base salary target so as to hire and retain fully qualified faculty members for the programs involved. The salaries of all full-time faculty members with equivalent credentials to those hired with salaries above target—and who teach at least half of their load in the advantaged discipline—will be reviewed by the appropriate Dean. If necessary, the Dean will adjust the salary of such faculty to ensure equitable compensation with recently hired colleagues; rank and level will be considered in this evaluation. All such adjustments and salaries higher than targets will be reviewed by the Dean with the appropriate governance committee and are subject to the approval of the President. In all such cases, the “advantaged discipline” will be determined narrowly (i.e., by area of expertise or earned degree) and not broadly (e.g., by department or program designation).

Additional Stipends and Awards

In addition to providing salary and other compensation, the University maintains a system of short-term awards for excellence in teaching, research, and service. A Dean also may offer a temporary stipend or other incentives as needed to attract a strong candidate at the time of hire. Any such stipend, however, may not carry over beyond the first evaluation (i.e., the two-year review). The holder of an endowed chair will be paid a stipend over and above his or her annual base salary so long as the faculty member continues to hold the chair. Annual adjustments to the salary scale do not apply to stipends.

Periodic Review of the Salary Plan

The Faculty Salary Plan will be evaluated periodically for effectiveness, fairness, and internal and external equity. The review will be conducted by the Administration and an appropriate faculty committee.

¹The Faculty Salary Plan was approved by the Board of Trustees prior to the 1998-99 academic year, following a recommendation from the Academic Assembly in May 1998 and a subsequent recommendation from the Administration. Because of the then-existing structure of faculty salaries, it was necessary to phase in full implementation of the Faculty Salary Plan over a number of years. The timing and details of that implementation were dependent upon annual budgets, as approved by the Board, and were not matters of contract. This Plan applies primarily to teaching faculty. Library faculty salaries are determined according to the same ranks and levels using a plan derivative from the Faculty Salary Plan. The salaries of Physical Education and Athletics faculty are set internally within that department

Minimum qualifications for appointment to ranks and levels are specified in §3.9.2.2.

4.2 Leaves, Pregnancy and Adoption Assistance

From time to time members of the faculty may experience needs that can be met only if the University temporarily reduces their workload or excuses them altogether from University duties for a period of time. The University attempts to accommodate such needs by providing several types of leaves, both paid and unpaid, as described below. Members of the faculty who anticipate needing a leave are expected to discuss their situation with their Dean as soon as possible to provide ample opportunity for the University to meet their needs and still make any necessary accommodations to ensure that the needs of their students and faculty colleagues are also met during the period of the leave. Leaves require coordination with the Office of Human Resources.

4.2.1 Faculty Leave of Absence

A faculty leave of absence is a voluntary leave that is granted to a faculty member for a specific length of time at the discretion of the Provost upon the recommendation of the appropriate Dean. In no case will an indefinite leave of absence be granted. The leave may be requested by the faculty member or suggested by the Administration, but in either case there must be mutual agreement. Leaves of absence typically are unpaid; only unusual circumstances would enable the University to extend compensation for the period of the leave.

Prior to recommending a leave for a faculty member, the Dean will consult with others (e.g., the person's department, Human Resources) as appropriate. The conditions of the leave—including its duration, whether the time spent on leave will count towards the next review or sabbatical, and the date by which the faculty member must notify the University that he or she will be returning to service—will be specified when the leave is granted or as modified in subsequent correspondence from the Dean, with the approval of the Provost.

Faculty members who have been granted leave without pay will be expected to arrange for direct and prompt payment of group insurance premiums for themselves and their dependents during that time, pursuant to COBRA health insurance coverage regulations (see *Personnel Policies and Procedures*). Typically, upon written request, a deduction will be made from an employee's final paycheck prior to the leave to cover the employee's share of medical and other insurance premiums for the duration of the leave. The employee will not lose any benefits accrued before the leave. A faculty member contemplating a leave of absence should consult in advance with Human Resources regarding the implications of the leave for University benefits.

The employee's tuition remission privileges are not applicable during the period of a Faculty Leave of Absence. Dependent tuition remission privileges normally will be continued during a leave that does not exceed ninety (90) calendar days. Any exception to this policy requires the approval of the President or an administrator designated by the President.

Faculty members who intend to return to service following a leave must so notify the Dean by the agreed upon date. If such notification is not received, the faculty member will be considered to have resigned from employment at the end of the specified period of leave. Failure to return to service upon the scheduled expiration of an administrative leave or extension of a leave will result in separation from the University at the end of the leave or extension by deemed resignation.

4.2.2 Faculty Pregnancy and Adoption Assistance

In compliance with California and Federal laws, the University treats absence due to pregnancy, childbirth, and related medical conditions as any other disability for purposes of leave.

Statutory leaves

The following leaves may be available to a faculty member, depending upon circumstances. The durations of these leaves differ, and they can overlap.

Family and Medical Leave (“FMLA”) – Employees who have been employed for a minimum of one

(1) year and have worked for a minimum of 1,250 hours are entitled to a maximum of three (3) months’ unpaid leave under the Federal Family and Medical Leave Act. FMLA covers a serious health condition of the employee, child, spouse, or parent, the birth of a child of the employee, or the placement of a child for adoption or foster care. It includes any period of incapacity due to pregnancy, including prenatal examinations or severe morning sickness. Additional details regarding the FMLA are available in the *University Personnel Policies Handbook* or the Office of Human Resources.

Pregnancy Disability Leave (“PDL”) – If an employee becomes disabled because of pregnancy, childbirth, or a related medical condition (including prenatal care and severe morning sickness), she will be entitled to a maximum of four (4) months’ PDL leave without pay. The first twelve (12) weeks of the PDL leave will also count as leave under FMLA. For those overlapping weeks, the two leaves will be concurrent. The PDL will expire when the doctor releases the mother from disability or at the end of four (4) months of PDL, whichever comes first.

California Family Rights Act Leave (“CFRA”) – Provides an additional twelve (12) weeks (60 working days) of unpaid leave beyond PDL. CFRA leave is taken immediately after PDL.

The Office of Human Resources must certify any of the above leaves. Therefore, it is crucial that an employee planning to avail herself or himself of any of the above leaves consult with Human Resources prior to the onset of the leave. Employees who have been granted any unpaid leave of absence other than Family and Medical Leave will be responsible for and expected to arrange for direct and prompt payment of any group insurance premiums for themselves and their dependents during that time, pursuant to COBRA health insurance regulations.

University assistance

Because of the nature of the duties and responsibilities of a faculty contract, the University is able to offer additional assistance to members of the faculty who are undertaking significant responsibilities associated with the birth or adoption of a child.

The following policies apply to members of the faculty who are eligible for University benefits and who give birth to a child, whose spouse or domestic partner gives birth to a child, or who adopt a child aged six (6) years or younger, where the faculty member is a primary caretaker of the child.

Disability benefits during the confinement period

The *confinement period* is a period of time for which a physician certifies that an individual should not work as a result of childbearing. The confinement period extends until the physician releases the person to return to work (usually six to eight weeks after the birth). In coordination with state disability insurance benefits (see *Personnel Policies and Procedures*), a faculty member’s salary is continued during the confinement period, except as indicated immediately below. If the faculty member is certified by a physician as disabled for longer than eight (8) weeks, state disability insurance benefits will continue until the faculty member is released by the physician to return to work, up to a total of one (1) year. The University will continue to supplement state disability benefits for a period of sixty (60) working days from the onset of the period of disability.

If the faculty member has previously elected Long-Term Disability (“LTD”) insurance (see *Personnel Policies and Procedures*) and remains disabled beyond the ninety (90)-day waiting period, LTD benefits if approved will take effect and will coordinate with state disability benefits up to a maximum combined income of 60% of the faculty member’s regular gross earnings. Once LTD benefits take effect, the University can no longer supplement the faculty member’s income.

Options after the confinement period or in cases of adoption of a child.

i) Unpaid leave:

Following the confinement period or adoption of a child and upon request to the appropriate Dean, a faculty member who seeks to be excused from University duties will be granted up to six (6) months' leave without pay. Employees who have been granted any unpaid leave of absence other than Family and Medical Leave will be responsible for and expected to arrange for direct and prompt payment of any group insurance premiums for themselves and their dependents during that time, pursuant to COBRA health insurance regulations.

The Office of Human Resources must certify an unpaid leave. Therefore, it is crucial that an employee planning to avail herself or himself of an unpaid leave consult with Human Resources prior to the onset of the leave.

ii) Alternate assignment with full salary continuation:

If a faculty member becomes a primary caregiver for a child (e.g., by giving birth, by becoming a father, by adopting a child), the faculty member will have no mandatory teaching responsibilities for one semester (or for a comparable period of time for faculty members in the School of Business or the School of Education; Library faculty members and physical education and athletics faculty members will be excused from comparable duties) and for that time will be given a time-flexible alternate assignment within the faculty member's area of expertise.

The alternate assignment is to be negotiated by the faculty member with the appropriate Dean, taking into account the needs of the faculty member and the faculty member's department or school and comparable alternate assignments previously approved for other faculty members in similar circumstances. At his or her request, the faculty member may bring a faculty colleague into the conversation with the Dean. The decision of the Dean regarding the details of the alternate assignment is final.

The period during which the faculty member undertakes an alternate assignment may last no longer than six (6) months. Benefits will continue during this period on the current shared basis, including the University's contributions to the Retirement Plan.

The terms of the agreed-upon alternative assignment will be stated in a letter of understanding to be signed by the Dean and the faculty member.

Delay of contract or tenure review

A faculty member eligible under this policy may voluntarily delay contract or tenure review by one (1) year, upon request to the Dean.

4.2.3 Faculty Medical Leave

The nature of faculty contractual duties and effective collaboration among faculty colleagues and the Deans' Offices have enabled the University to be flexible in dealing with disabilities suffered by faculty members due to illness or accident.

Policy

- a) Brief absences (typically one week or less) are handled informally within the department or school. The faculty member is expected to take the initiative to reschedule missed classes (or provide other opportunities for students to make up missed work), reschedule advising appointments, or make arrangements with colleagues to cover other responsibilities.
- b) Longer absences or planned limited-term absences, such as scheduled surgery, should also be handled within the department or school, with notification to the Office of Human Resources. Colleagues should collaborate to ensure that necessary work is covered. Where it is necessary and at the discretion of the Dean, the Dean's Office will provide financial assistance to the department to pay for external replacements or, in extreme cases, to provide stipends to University colleagues who take over parts of the faculty member's workload. The faculty member should continue to fulfill as many parts of his or her duties as possible.
- c) Long-term absences are handled within the framework of the University's Family and Medical Leave Act policy, as described in *Personnel Policies and Procedures*. A faculty member needing a long-term medical leave should consult with the appropriate Dean and with the Office of Human Resources as soon as the condition becomes known. Within the limits of University policy, a medical leave is granted at the discretion of the Dean, in consultation with Human Resources and others (e.g., the department chair) as appropriate.

While on medical leave, the faculty member continues to receive the equivalent of his or her full University salary. However, the faculty member will be expected to apply immediately for applicable external assistance and, in extreme cases, for coverage under any existing long-term disability insurance. Any such monies received will accrue to the University to help defray the cost of the faculty member's salary.

- d) During a medical leave, the faculty member's duties are covered through the department or school as indicated above, with the Dean providing additional financial resources as necessary. A faculty member on medical leave is excused from his or her University duties, and therefore should have, at most, a limited need to be on campus. Any work that is currently assigned to the faculty member will be reassigned, and no new tasks will be assigned during the period of the leave. Should a new task inadvertently be assigned to the faculty member while on leave, he or she should immediately contact the department chair or the appropriate Dean.

In some cases, a faculty member on medical leave who will return to full-time status will be permitted to work temporarily on a limited basis, upon the recommendation of the appropriate Dean and the approval of the Provost. In this case, the University must receive a written statement from the physician specifying the kind of work that can be performed and any restrictions that the faculty member must observe.

Limits to faculty medical leave

The University has been more generous in dealing with faculty medical disabilities than is required by law, and as the preceding paragraphs make clear, the University intends to continue this practice. However, the University's responsibilities extend to our students and to other faculty members who over time can be severely disadvantaged by an individual's continuing absence or inability to fulfill his or her duties. Therefore, it is necessary for the University to set limits to medical leaves according to the following guidelines:

- a) In determining whether to grant a requested medical leave, the University may take into consideration the employee's history of previous leave(s) (whether paid or unpaid) and in particular his or her record of returning to service following such leave(s).
- b) Prior to granting any medical leave, the University may require certification from a licensed professional concerning the faculty member's condition and the likelihood of his or her ability to return to service on or before the expiration of the leave.
- c) A medical leave will be granted only on the expectation that at the end of the leave period the faculty member will return to service.

- d) A medical leave will be granted only for a specific period of time; under no conditions will an indefinite faculty medical leave be granted.
- e) If the faculty member is unable to return to service either prior to or upon the expiration of a paid medical leave, the faculty member and the Dean will discuss the faculty member's situation. At his or her request, the faculty member may bring a faculty colleague into the conversation with the dean. The Dean and the faculty member will negotiate, in consultation with Human Resources and others (e.g., the department chair) as required, the appropriateness of the University's granting additional leave. No more than twelve (12) months of paid leave may be taken consecutively. An academic Dean who has evidence, after consultation with the faculty member and others as appropriate, that the faculty member will not be able to return to service following a paid medical leave will decline to grant additional leaves (beyond leave mandated by the University policy - see *Personnel Policies and Procedures*) and will proceed as indicated in *Handbook* §3.12.4.3.

4.2.4 Faculty Research Leave

Faculty members may request research leave to take advantage of opportunities to pursue research, creative activity, or other activity related to their professional development that requires their full-time attention. A research leave is granted at the discretion of the Provost upon the recommendation of the Dean. Prior to making such a recommendation, the Dean will consult with others (e.g., the person's department, Human Resources) as appropriate. The conditions of the leave—including its duration, whether the time spent on leave will count towards the next review or sabbatical, and the date by which the faculty member must notify the University that he or she will be returning to service—will be specified when the leave is granted or as modified in subsequent correspondence from the Dean. A research leave typically involves external funding and is without pay; however, under some conditions the University can continue to pay all or a portion of the faculty member's salary (e.g., through external funding) and benefits.

Faculty members who have been granted research leave without pay will be expected to arrange for direct and prompt payment of group insurance premiums for themselves and their dependents during that time, pursuant to COBRA health insurance coverage regulations (see *Personnel Policies and Procedures*). Typically, upon written request, a deduction will be made from an employee's final paycheck to cover the employee's share of medical and other insurance premiums for the duration of the leave. The employee will not lose any benefits accrued before the leave. A faculty member contemplating a leave of absence should consult with Human Resources regarding the implications of the leave for his or her University benefits.

The faculty member's tuition remission privileges and dependent tuition remission privileges will continue for the duration of the research leave.

Faculty members who intend to return to service following a research leave must notify the Dean by the agreed upon date. If such notification is not received, the faculty member will be considered to have resigned from employment at the end of the specified leave period. Failure to return to service upon the scheduled expiration of a research leave or extension of a leave will result in separation from the University.

Faculty members contemplating the possibility of a research leave are advised to consult in advance and as soon as possible with their colleagues, with the Dean, and with the Office of Human Resources (to determine the implications, if any, regarding benefits).

4.2.5 Faculty Sabbatical Leave

Sabbatical leaves are granted by the Board on the recommendation of the President (see below for procedures). Sabbatical leaves are intended to help faculty members develop professionally. Such leaves may be devoted to research, other scholarship or creative work, or significant improvement of teaching. In any case, a sabbatical application should propose a body of work that extends substantially beyond normal expectations (e.g., beyond keeping up with one's field(s) or periodically revising and updating one's courses) for someone carrying a regular academic load. Sabbaticals are not awarded automatically; they are granted to faculty members who develop projects that promise clear benefits both to themselves and to the University. The number of sabbaticals awarded in any one year may be limited by the University's budget; faculty members may also be asked to delay applications or defer sabbaticals to accommodate departmental or institutional staffing needs.

Eligibility for sabbatical leaves

After completing six (6) years of full-time service, ranked faculty members (§3.1) become eligible to apply for either a one (1)-semester or half-year sabbatical³ at full pay or a two (2)-semester or one (1) full-year sabbatical at 75% salary.

If a faculty member is requested to defer a sabbatical to accommodate the needs of the University, the University will advance the time of the next sabbatical, if possible, to return him or her to the normal schedule.

Alternatively, a two-semester or one-year sabbatical at 75% salary may be split into two halves taken in different years.

Eligibility for split sabbaticals – tenure-track faculty members

After four (4) years of full-time service at the University, members of the tenure-track faculty (§3.1.1) who have successfully completed a four-year, pre-tenure review or who have been awarded tenure during their fourth year and library and physical education faculty who have successfully completed a four-year review may apply for a one (1)-semester (one-half year) *split sabbatical* at 75% salary. Then, after a total of six (6) years of full-time service and upon completion of a successful tenure review, faculty members who have taken the first half of a split sabbatical become eligible (and are expected) to apply for the second half of the split sabbatical.

Eligibility for split sabbaticals – tenured faculty members

In any seven-year period following the initial cycle of six years of service and sabbatical leave, eligible faculty members may apply for the first half of a split sabbatical in the third year of full-time service following their previous sabbatical. The first semester of a senior-level split sabbatical can then be taken during the fourth year of the seven-year cycle of teaching and sabbatical leave. The faculty member would then be eligible to apply in the sixth year for the second half of the split sabbatical, which would be taken during the seventh year.

Faculty members who elect not to complete the second half of the split sabbatical for personal reasons or who do not produce a proposal that is acceptable to the Faculty Review Committee, administrators, or Board of Trustee members will not be further compensated because they have already benefited by being supported by a leave three years earlier than they would otherwise have been eligible to take.

Replacements

Normally, the workload of a faculty member on sabbatical is expected to be redistributed among other members of the faculty. Requests for additional replacement assistance need to be discussed by the department chair or program director with the appropriate Dean's Office when a sabbatical application is submitted.

The primacy of the approved sabbatical project

The University grants sabbaticals to support full-time projects of research or artistic creativity and professional development. Therefore, faculty members anticipating a sabbatical leave must consult with the appropriate Dean before accepting any external professional obligation during the period of the sabbatical (e.g., teaching at another institution). The Dean will evaluate the faculty member's proposal to undertake the external obligation in light of policies described in §3.5.6 and normally will approve such an arrangement only if it contributes to the approved sabbatical project. The decision of the Dean is final.

Incurred obligations

A faculty member who accepts a sabbatical leave (including a one-semester split sabbatical) incurs an obligation to return to the University for one (1) year of full-time service following the sabbatical leave. This obligation will be waived only under unusual circumstances, with the written approval of the appropriate Dean and the Provost.

³ Distinctions between one-semester/two-semester and half-year/full-year leaves are related to differences in faculty contracts.

Before going on leave, a faculty member is expected to return students' papers or other work from the preceding term and arrange with colleagues to cover any duties relating to student advising, program oversight, or other such continuing responsibilities. Faculty members are expected to notify student advisees that they will be away and inform them of arrangements they have made for their advising during the time of the leave. Since office space is at a premium, faculty members on leave for a full year may be asked to allow their offices to be used by someone else during the period of the leave.

Faculty status

Faculty status continues as normal during a sabbatical leave, and the University will continue its contributions to the faculty member's retirement program. Other fringe benefits may be continued at the election of the faculty member, with both the faculty member and the University paying their standard contributions. A sabbatical leave will not interfere with an individual's rate of advancement on the salary plan or review schedule.

Application process

The Office of Academic Affairs will announce the deadlines for applications for sabbatical leaves, including split sabbatical leaves, each year. Faculty members who are eligible for an upcoming sabbatical are strongly encouraged to begin two to three years in advance of the sabbatical exploring opportunities for external grants that would support their research.

Sabbatical application forms may be obtained from the Office of Academic Affairs. The application should include a narrative of up to five pages describing the proposed project and its relevance to the field of study as well as to the responsibilities and long-term plans of the faculty member. The statement should summarize the project and its methodology, describe the preparations already completed, detail the work to be accomplished during the leave, and specify the expected results (e.g., a book, a publishable article, a gallery show, a new course manual or computer program). It should conclude with a bibliography of works relevant to the proposal (if applicable) and indicate whether the faculty member has applied for outside funding for this project. The application also should include a current CV.

The application should be submitted to the appropriate Dean by the announced deadline. Applications received after the deadline will not be considered (unless there are extenuating circumstances). The Dean will present applications received by the deadline to the Faculty Review Committee, which then returns a recommendation to the Dean, the Provost, and the President for administrative review. Final approval rests with the Board of Trustees. Faculty members will be notified of the final decision by the Board of Trustees.

Sabbatical report

By the end of the first six weeks of returning to full-time service following the leave, the faculty member must submit a sabbatical report to the appropriate Dean, who will forward that report to the Office of Academic Affairs. The report should take the form of a substantial narrative describing the completed work in detail (e.g., describing a manuscript or a body of artistic work that was completed during the leave). In addition, a one-page précis of the report must be submitted at this time to be included in the faculty member's Academic Affairs file, Dossier file for the next review, and subsequent sabbatical applications.

Failure to submit a report will render a recipient ineligible for subsequent sabbaticals and will be noted in a letter from the Dean or the VPAA that will be placed in the Academic Affairs and Dossier files.

4.3 Liability Coverage

In discharging the responsibilities described in this *Handbook*, members of the University faculty are acting within the scope of their contractual duties. Actions of faculty members within the scope of their contractual duties allow the University to extend to them insured or uninsured protection. However, faculty members may incur individual liability for actions that fall outside the scope of those prescribed duties (e.g., disclosing information that should not be disclosed outside the faculty review process), in which case the University may not be allowed to extend insured or uninsured protection.