FACULTY HANDBOOK AND BYLAWS

Saint Martin's University
(effective July 2025)

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INTRODUCTION

Founding Principles and Enduring Values

The Saint Martin's University *Faculty Handbook* and *Faculty Bylaws* are founded on the paradigm articulated by the American Association of University Professors (AAUP) and the Association of Governing Boards of Universities and Colleges (AGB), which states that the Board of Trustees, the Administration, and the Faculty have distinct areas of responsibility, but also have intersecting, imbricated, and interdependent roles in the governance of the University.

The Faculty, for example,

> has primary responsibility for such fundamental areas as curriculum, subject matter, and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process.
>
> —American Association of University Professors,
> "Statement on Governance of Colleges and Universities"

These distinct but intersecting, imbricated, and interdependent responsibilities exist in part to sustain the academic integrity of the University as an institution of higher learning. The faculty has primary responsibility for generating and revising policies related to faculty self-governance and the University's academic curriculum: areas of primary responsibility include defining faculty status and ranks, selecting qualified faculty and recommending their appointment to the provost through the College/School dean, defining procedures and criteria for faculty advancement, determining if conditions warrant dismissal of faculty and thereafter recommending action to the University president, and evolving a grievance/appeals processes.

Policies are subject to approval by the University's academic leaders (chairs, deans, provost, and University president, where appropriate, as outlined in the *Faculty Bylaws*) and final approval by the Board of Trustees.

In evolving, activating, and adhering to these processes and policies, the faculty is guided by generally-accepted and enduring values such as the principle of academic freedom, collaboration and consultation among constituents within the University, and fundamental fairness in decision making as it relates to the various aspects and procedures involving faculty work life. Fundamental fairness also refers to the balance or impartiality of proceedings that is essential to due process.[i]

These enduring values and their activation through policies, processes, and procedures are vital to participation by faculty in the University's governance and to the faculty's collective responsibility, along with other members of the community, to realize the University's mission.

Finally, as a Catholic Benedictine Institution, Saint Martin's also has as an overarching principle the virtue of Moderation, by which we express our identity as educators, citizens, spiritual beings, and members of the human family. Moderation as articulated here connotes a rational and reasonable negotiation among a professor's duties (e.g. instruction, scholarship, service) and within the context of a healthy, meaningful life outside of one's professional responsibilities.

Revisions to the *Faculty Handbook* and *Faculty Bylaws*

A. The faculty, in coordination with its academic leaders and through its representative committee(s), has primary responsibility for revising and updating the *Faculty Handbook* and *Faculty Bylaws* and for submitting these documents for approval and inclusion within the University's governance documents to the University president for final approval by the Board of Trustees.

B. The University president has the right to propose changes to the *Faculty Handbook* and *Faculty Bylaws* directly to the Board of Trustees after informing faculty in Faculty Assembly about the proposed change and its rationale. This right notwithstanding, the president may elect to present proposals to the faculty through the process regarding proposed changes to be followed by all other constituents as outlined below, if they choose.

C. In exceptional circumstances, when a non-academic administrator (university leaders who do not hold faculty status or rank) wishes to recommend a change to the *Faculty Handbook* and *Faculty Bylaws*, they must do so through the Office of the Provost, who will forward the proposed change to the Faculty Affairs Committee for further consideration along with their recommendation. Decisions made by the Faculty Affairs Committee, whether to reject or accept and forward such recommendations to the Senate, are not subject to appeal. If the recommended change is accepted and forwarded by the Faculty Affairs Committee, the Senate follows approval procedures as outlined below in A.

Revision Process

A. Revisions to the *Faculty Handbook* and *Faculty Bylaws* may be proposed to the chair of the Faculty Affairs Committee (*Handbook*, 2.1.4.). Changes may be proposed by members of the faculty, by Faculty Committees, or by academic leaders such as deans and the provost. All proposed revisions must be submitted in writing and include a rationale.

When a proposed change (or changes) is (are) initiated by a faculty member, a Faculty Committee, or academic leaders, the chair of the Faculty Affairs Committee will convene a meeting of the committee within ten working days to discuss the proposed change(s), and may

(a) Accept the proposed change, inform the petitioner or committee, as appropriate, in writing, and submit the committee's recommendation to Faculty Senate;

(b) Request the petitioner or committee chair, as appropriate, to appear before the Faculty Affairs Committee to discuss and justify the proposed change;

(c) Recommend a modified version of the proposed change, inform the petitioner or committee, as appropriate, in writing, and recommend a modified version to Faculty Senate;

(d) Reject the proposed change and inform the petitioner or committee, as appropriate.

Consideration by the Faculty Affairs Committee should normally take place within 14 days of receiving the proposal unless extenuating circumstances require additional time.

If the Faculty Affairs Committee acts in accordance with (c) or (d), the petitioner or committee requesting the change may request a meeting with the Faculty Affairs Committee to discuss the proposal in its original or modified form, and/or to explore whether there may be a mutually acceptable alternative. If the Faculty Affairs Committee and the petitioner cannot reach agreement, that is, after the petitioner exhausts the possibility of mutually acceptable alternatives, they may appeal to Faculty Senate.

If the Faculty Affairs Committee rejects the proposed change, the committee chair will inform the Senate about the committee's decision, but the Senate is not normally obliged to consider the proposal unless an appeal to do so is made by the petitioner despite rejection by the Faculty Affairs Committee.

The Faculty Senate, upon receiving a recommendation for a revision to the *Handbook* and/or *Bylaws* from the Faculty Affairs Committee, may

(a) Accept the proposed change either in its original or modified form and take the same to the full faculty for a majority vote before forwarding the faculty-ratified revision to the provost;

(b) Request the petitioner and/or the chair of the Faculty Affairs Committee to appear before Senate to discuss the proposed change and elaborate on the Faculty Affairs Committee's recommendation;

(c) Recommend a further modification to the proposed change to the full faculty for a vote before forwarding the faculty-ratified revision to the provost;

(d) Reject the recommended change(s) altogether

The Senate must act on proposals submitted within 21 days, though this timeline may be extended for extenuating circumstances. If the Senate endorses the proposed change, the faculty president will share the proposal and its recommendation with the Faculty either electronically or in Faculty Assembly and seek an endorsement of the same by the full faculty by means of a vote. A quorum is required and a majority
vote serves as the faculty's endorsement of the proposed change.

The Faculty Senate must convey the faculty's decision regarding the proposed change, whether yay or nay, to the provost in writing within ten working days after a decision by the full faculty. If the faculty approves the proposed change or a modified version, upon receiving this recommendation for a change to the *Faculty Handbook* and/or *Faculty Bylaws*, the provost must submit the same to the University president with their recommendation and, with the president's recommendation, to the chair of the Academic Affairs Committee of the Board for consideration at their next scheduled meeting.

B. The University president may propose changes directly to the Board of Trustees for consideration after convening a meeting of the full faculty to discuss the proposed change as vital to the University by providing a rationale for the same. The president is normally expected to give the Faculty a minimum notice of 14 days to convene a meeting to discuss the proposed change.

At the conclusion of this discussion, faculty may elect, either in open assembly or in an executive session of the full faculty, to seek input from members and accept recommendations from the floor regarding

next steps, including the possibility of a vote on the proposed change(s) recommended by the University president. The Senate typically acts within twenty-one (21) days of receiving a proposed change, though this time frame may be extended for extenuating circumstances.

The faculty president must share the faculty's decision, if one is taken in Faculty Assembly, with the provost, the University president, and the chairperson of the Academic Affairs Committee of the Board.

Board Approval

A. The Academic Affairs Committee of the Board, in considering any faculty-endorsed change under revision process A described above, along with recommendations regarding the same by the provost and the president, may

   (a) Accept the proposed change and recommend its acceptance by the Board of Trustees;

   (b) Request the petitioner, the president of the faculty, the provost, and/or the president of the University, to join its deliberations in considering the proposed change;

   (c) Recommend a modified version of the proposed change to the faculty president for further consideration by the full Faculty;

   (d) Reject the proposed change

B. The Academic Affairs Committee or the full Board may consider proposed changes brought to it directly by the University president (under revision process B above).

Final decision on accepting or rejecting proposed changes to the *Faculty Handbook* and *Faculty Bylaws* by any constituent rests with the Board of Trustees.

Implementation

Changes to the *Faculty Handbook* and/or *Faculty Bylaws,* once approved by the Board of Trustees, will take effect from the following July 1, unless an earlier effective date is deemed necessary by the Board.

Addendum

The entire *Handbook* and *Bylaws* will be assessed for their effectiveness by the Faculty Affairs Committee and provost on behalf of the faculty, deans, and academic staff during the 2029-30 academic year, the Committee will make necessary revisions in consultation with the faculty and the provost and present the revised documents to the faculty, and subsequently to the provost, University president, and Board of Trustees, for approval. Subsequent assessments will typically be undertaken in decennial cycles.

Saint Martin's University offers undergraduate and graduate degrees in liberal arts disciplines and professional fields, through traditional face-to-face and online and hybrid formats, in four

Colleges/Schools on its main campus in Lacey, Washington, and select professional degrees and certificates at the Extension Campus at Joint Base Lewis McCord (JBLM) and in partnership with some high schools and community colleges.

The University is accredited by the Northwest Commission of Colleges and Universities; individual Colleges/Schools and programs are also accredited by specialist accrediting bodies, as appropriate.

H1. DEFINITIONS

H1.1. Colleges, Schools, Divisions, and Academic Offices

H1.1.1. Colleges and Schools

The Colleges and Schools of Saint Martin's University are:

Saint Martin's College of Liberal Arts and
Sciences School of Business
College of Education and Counseling
Hal and Inge Marcus School of Engineering

The voting membership of each College/School Faculty consists of all faculty holding regular faculty appointments within the College/School. For a definition of regular faculty, see *Handbook* 1.4.1.

Colleges and Schools are encouraged to work closely with their deans to develop Bylaws to determine procedures that are specific to their College/School (E.g. the conduct of College/School Assembly, if applicable, or chairs council; creation of College/School committees such as a College EPCC). College/School *Bylaws* have to be recommended for approval to the Faculty Affairs Committee and the provost who must together ensure that procedures are consistent with policies and principles outlined in the *Faculty Handbook* and *Faculty Bylaws* of the University.

The criteria and procedures by which additional Schools or Colleges may be formed, through collaboration and consultation between the faculty and its academic leaders before approval by the president and Board of Trustees, is outlined in the *Faculty Bylaws*, 1.1.1.

H1.1.1.1. The Saint Martin's College of Liberal Arts and Sciences (CAS)

Spanning the arts, humanities, natural sciences, and social sciences, the Saint Martin's College of Arts and Sciences offers majors and minors in these disciplines as well as the majority of the Core curriculum for undergraduates at Saint Martin's University. Individual programs such as Nursing and Social Work are accredited by their oversight commissions. The College also provides preparation for careers in various professions.

H1.1.1.2. The School of Business (SoB)

The School of Business prepares students at the undergraduate and graduate levels for professional success by building on the University's broad liberal arts curriculum and delivering a rigorous and diverse business and accounting curriculum. Saint Martin's University's School of Business is accredited by the Accreditation Council of Business Schools and Programs (ACBSP).

H1.1.1.3. The College of Education and Counseling (CEC)

The College of Education and Counseling prepares graduates, through programs at the undergraduate and graduate levels, for careers in elementary and secondary education and counseling psychology.

Education programs are accredited by the Professional Education Standards Board and the Teacher Education program is accredited by the Teacher Education Accreditation Council (TEAC).

H1.1.1.4. The Hal and Inge Marcus School of Engineering (HIMSE)

The Hal and Inge Marcus School of Engineering (HIMSE) prepares undergraduate and graduate students with the education and training necessary for further studies and professional engineering licensure. The Bachelor of Science degrees in Civil Engineering Program and in Mechanical Engineering Program are accredited by the Accrediting Board for Engineering and Technology (ABET). HIMSE is seeking accreditation for additional programs.

H1.1.2. Divisions and Institutes

H1.1.2.1. The Saint Martin's University-JBLM

Divisions are, by definition, not self-standing units, though they may be led by a dean or director. Regular faculty members who teach in Divisions are typically housed in one of the four Colleges/Schools of the University.

The Saint Martin's University-JBLM provides life-long learning opportunities through Certificates and Degree programs for adults and non-traditional learners at military bases. The Division is authorized on its extension campuses to offer courses, programs, and degrees that have been approved by faculty to be offered in its four Colleges and Schools on the Lacey campus.

The dean of the Division works with the appropriate College/School deans and department chairs in identifying adjunct faculty appointments. Adjunct faculty appointments in the Division are endorsed by department chairs and deans and approved by the Office of the Provost. Regular faculty in any of the four Colleges/Schools may teach courses in SMU-JBLM (in load), and regular faculty appointments at point of hire may include teaching commitments at SMU-JBLM or on extension campuses.

Any new credit-bearing courses, degrees, and programs of study, including ongoing initiatives, which are expected to transition into regular programs in SMU-JBLM, have to be approved by the regular faculty through standard program approval procedures outlined in the *Faculty Bylaws*.

H1.1.2.2. The Spiritual Life Institute

The Spiritual Life Institute, an intensive five-day learning program hosted annually in the summer by Saint Martin's Religious Studies Department, offers students an opportunity to dialogue on the history, ethics, and beliefs of the world's religious traditions. The Institute draws theologians, scholars, and social justice advocates, who share their insights with participants in order to inspire awareness, challenge preconceived notions and shed light upon the spiritual journey in an increasingly globalized world.

The Institute is open to the public. Participants may register for Continuing Education Credit or attend without receiving credit. The Institute reports to the provost who approves its budget and expenditures. The director of the institute is typically drawn from faculty in the Religious Studies Department. The director submits an Annual Report of the institute's activities to the provost by September 1st each year.

H1.1.3. Academic and Academic Support Offices

Academic and Academic Support Offices are typically overseen by a director or dean who works closely with faculty and academic leaders to support faculty work life and to ensure the development of students beyond the classroom. The University may re-organize Academic Support Offices as needed to maximize student
success and to support faculty in their roles as teacher-scholars and scholar-teachers. Directors of Academic Support Offices may be drawn from the regular faculty and typically serve three-year renewable terms, or they may hold staff status, in which case, they are evaluated every five years.

Directors of University-wide academic support offices which serve the University community across Colleges/Schools report to the provost. Academic support functions within individual Colleges/Schools report to the dean of the College/School. Academic support functions within a department report to the department chair.

The following Academic Offices report to the Office of the Provost.

H1.1.3.1. Faculty Center for Excellence in Teaching and Scholarship

The Faculty Center for Excellence in Teaching and Scholarship supports the educational mission of the University by providing opportunities for growth and renewal for faculty in all realms of their professional lives and through all the stages of their careers.

The Center offers workshops and programs focused on Teaching and Learning, supports faculty as they develop their scholarship and creative activity, advances innovation and collaboration among faculty in teaching and learning, assists faculty with grant writing, promotes opportunities for intellectual engagement and conversations about faculty work life in all its dimensions, and enables faculty to acquire skills in new and developing areas such as Communication Technology. The Center hosts workshops for faculty, disseminates materials about advancements in pedagogy, and works with individual faculty members and departments to advance teaching and learning by attending to evidence-based research on these subjects. The Center also serves as a hub for those who want to discuss new trends, models, projects, and resources that support the teaching and learning experience.

The Center is led by a faculty director (or two faculty co-directors with distinct areas
of responsibility) who is (are) appointed for three-year renewable terms.

H1.1.3.2. The Center for Student Learning, Writing, and Advising

The Center for Student Learning, Writing, and Advising provides advising as well as academic learning resources to help students strengthen study skills and to encourage the use of new learning strategies. The Center’s services are available to all Saint Martin's University students. The Center is led by a staff or faculty director who reports to the provost and serves in five-year renewable terms which are subject to review prior to subsequent renewals.

The Writing Center is directed by a faculty director who leads Writing Center functions and daily operations, including overseeing peer readers; they serve three-year renewable terms and reports to

the provost.

Learning Support

Peer tutoring services are available in specific subject areas, such a math, science, engineering, accounting, and world languages. Students may be referred by faculty to receive supplemental help with difficult course content, to develop more effective approaches to studying, and to strengthen self-directed learning behaviors. Students may also be referred to work directly with LC staff to create individualized academic improvement plans. A two-credit UNI 195 course is offered each semester for students who want to build more effective learning and study strategies to support their academic success.

Academic Early Alert

The academic early alert program is coordinated by an Advisor of Studies for First-year and pre-major Students, who works closely with faculty and students to provide ongoing outreach services to support student success. The Advisor of Studies reports to the Provost.

Tutoring in Academic Disciplines

Students may use tutoring services in specific subjects, such as Mathematics and Engineering, to supplement their classroom work and to maintain or improve their academic standing in classes. Students may be referred by faculty, or elect to use the Center's assistance provided through peers or faculty in order to practice or review course materials.

Writing Support

Writing support is provided by trained peer readers who discuss with students their academic and professional writing. In an atmosphere removed from the classroom, student readers ask questions and make suggestions that help writers generate topics, develop a thesis, organize material and clarify ideas. Services during the semester are offered weekdays and are free of charge, mostly in one-hour sessions. Students are welcomed through appointments as well as through a drop-in format. Faculty may also recommend that individual students consult the Center in completing writing assignments.

Advising

The Center provides academic advising to students through an Advisor of Studies who reports to the provost. Additionally, faculty members may be appointed to the Center to serve as Advisors to students prior to their entry into the University and as they undertake their Core courses.

H1.1.3.2.1. Office of Disability Support Services

The Office of Disability Support Services is dedicated to providing a variety of services for students with disabilities at Saint Martin's University. Qualified students are encouraged to schedule a personal interview with the Disability Support Services coordinator to determine the level of accommodations needed. Students are encouraged to work closely with university faculty, staff, and the DSS Office in ensuring appropriate accommodation and their ongoing success.

The Center is led by the director of the Center for Student Learning, Writing, and Advising.

H1.1.3.3. O'Grady Library

The O'Grady Library provides vital instructional support and acts as an essential element in the University's curricular, teaching, and research functions. As the University's major information resource, the Library enhances and extends students' classroom and laboratory experience, and facilitates the research conducted by faculty and students. The University Library is an integral part of Saint Martin's mission to sustain an atmosphere in which information and ideas are readily accessible and freely exchanged.

The O'Grady Library also supports the educational goals of Saint Martin's University by providing non- credit bearing instruction, services, resources, facilities, and technologies that facilitate access to information in order to foster inquiry, creativity, discovery, and the acquisition of knowledge. The Library is led by a Dean of the O'Grady Library and Learning Resources or Library director.

H1.1.3.4. The Office of Graduate Admissions

The Office of Graduate Admissions coordinates the recruitment and admission of students into the University's graduate programs by working closely with deans and directors in the Colleges and Schools. The Office also works closely with faculty and deans in the Colleges/Schools to organize and coordinate events such as Graduate Student and Graduate Assistant orientations, and other graduate-program related events.

A Graduate Council of Advisors works closely with the Office of Graduate Admissions on policies and procedures relating to graduate programs. The Graduate Council includes all the directors of the University's graduate programs. The Office of Graduate Admissions works with graduate program personnel to ensure the implementation of those policies and procedures.

H1.1.3.5. The Office of the Registrar

The Office of the Registrar supports faculty and students by ensuring adherence to academic policies and procedures and by assisting students in their progress from admission into the University to graduation. The Registrar oversees a range of activities which include registering for courses, maintaining academic records and responding to requests for transcripts, certifying degrees and attendance, certifying Veterans' benefits, and collaborating with faculty and staff on faculty, College, and University committees.

H1.2. University Offices which Work Closely with Academic Affairs

Faculty, deans, the provost, and Academic Support Offices work closely with all offices within the University, but have especially deep collaborative relationships with the following offices:

H1.2.1. The Benedictine Institute

Working in collaboration with University departments and programs, the Saint Martin's Benedictine Institute leads the University in upholding and promoting its Benedictine heritage. Both on campus and off, it builds and enhances awareness of the values that, for so long, have guided the Saint Martin's community. As an integral part of University life, the Institute contributes to the intellectual and spiritual development of Saint Martin's and many faculty and academic staff are involved in and contribute to the

Institute's programs and initiatives.

H1.2.2. Office of Admissions

The Office of Admissions works closely with faculty and academic offices to recruit students into the University's undergraduate academic programs. Faculty members and academic leaders support the
recruitment efforts of the Admissions Office by participating in events such as Spirit Day and by visiting high schools to present information about the University's programs and commitment to the holistic development of students in and outside the classroom. The Chief Enrollment Officer regularly updates deans, the provost, other University Officers, and the faculty president on recruitment efforts and results during the course of the academic year and into the summer.

H1.2.3. Office of Finance

The Office of Finance supports the overall academic and learning mission of Saint Martin's University by stewarding and supporting programs and initiatives through the strategic allocation of budgetary resources and through responsible stewardship of the University's overall resources. The VP for Finance works closely with the provost on academic budgets and on chairing the University's Advisory Budget Committee.

H1.2.4. Office of International Programs and Development

The Office of International Programs and Development (OIPD) serves the Saint Martin's University community by offering a variety of international programs which foster an appreciation for cultural diversity. The Office provides services related to language, culture, and academic exchange by recruiting and mentoring international students and by organizing the University's Study Abroad and international initiatives.

H1.2.5. Office of Institutional Effectiveness

The Office of Institutional Effectiveness (OIE) provides decision and planning support services to enhance effectiveness. Currently staffed by the Director of Assessment & Accreditation and the Associate Director of Institutional Research OIE provides University leaders, faculty, and staff with timely, objective, and accurate information to help create a learning environment in which students can succeed academically, creatively, culturally, socially and spiritually. The office supports regional and program specific accreditation efforts, facilitates administration and analyses of national and local surveys, promotes institutional assessment activities, coordinates and conducts macro-analyses of those assessment activities, and provides institutional research for official data reporting and analyses for Saint Martin's University. Additionally, OIE serves as the designated office of official data reporting and analysis for Saint Martin's University.

H1.2.6. Office of Integrated Technology Services

The Office of Integrated Technology Services (ITS) actively supports the educational goals of the University

by providing services, resources, facilities, and technology in order to provide access to information and knowledge. By working closely with faculty, academic offices, deans, and the provost, the department supports faculty and students through state-of-the-art administrative systems which facilitate teaching and learning and services that encourage intellectual inquiry.

H1.2.7. The Office of Marketing and Communication

The Office of Marketing and Communications supports the academic life of the University through publications and public relations endeavors and by working closely with faculty, department chairs, deans, and the provost. The Office supports departments and programs in communicating with the University's internal and external audiences, and ensures that the University continues to expand its reach and reputation.

H1.2.8. The Office of Student Affairs

The Office of Student Affairs supports the development of students through experiential co-curricular programming and prepares them for personal and professional success through activities outside the academic classroom. Programs sponsored and organized by the Office foster an awareness of difference that encourages students to work towards a just society; students are encouraged to understand their moral obligation to a multicultural world and to become faithful, compassionate, and conscientious stewards of their communities.

H1.2.9. The Office of Human Resources

The Office of Human Resources works with faculty, deans and department chairs to provide comprehensive support and guidance on matters pertaining to faculty recruitment, hiring, policies and procedures, and the handling of sensitive confidential manners.

H1.3. Academic Leadership/Leaders

H1.3.1. The Provost

The Office of Academic Affairs is led by the provost who oversees all academic programs and academic co- curricular activities, coordinates academic projects and events, recommends faculty sabbaticals, leaves, and advancement, supports faculty development, plans the academic budget, and works with deans, directors, and other University offices to ensure that academic excellence defines the teaching experience of faculty and the learning experience of students at Saint Martin’s University. The provost thus oversees the curricular, instructional, academic co-curricular, faculty, and research functions of the University. The provost serves as an Officer of the University and at the discretion of the University president.

College/School deans report to the provost as do the heads of various academic support functions, such as the Library and the Registrar. The provost is responsible for maintaining records of academic policies and procedures and the official tenure and promotion file of faculty, for notifying individual faculty about their eligibility for tenure, promotion, and sabbaticals, and the faculty as a whole about important impending deadlines.

The provost normally holds an earned terminal academic degree in one of the academic disciplines within the University from a regionally accredited university and must carry significant experience in prior academic leadership. Because the provost has faculty status, they are encouraged to teach a course every four years, if time permits, and if their home department has teaching needs in their area of expertise.

H1.3.1.1. The Provost's Council

The Provost's Council includes the following members:

- College /School Deans
- The Chief Accreditation and Assessment Officer
- The Dean of the O'Grady Library and Learning Resources
- Academic Associate Dean of Joint Base Lewis McChord
- Chief Officer of International Programs and Development

The Extended Provost's Council includes the following members:

- The Registrar
- Dean of Admissions & Enrollment
- Administrative Associate Dean of Joint Base Lewis McChord
- Director of Institutional Research
- Associate VP of Instructional Technology

Others who may be invited to attend Provost's Council meetings include Directors of the University-wide programs, associate deans of the Colleges/Schools, and the president of the faculty,

The provost may appoint assistant or associate provosts to support the work of the provost's office.

H1.3.1.2. University Council of Chairs

Chairs in all the Colleges/Schools may be called upon to meet in a University Council of Chairs by the provost. The UCC is an *ad hoc* Advisory body whose composition changes as departmental leadership changes and whose purpose is to share information across Colleges/Schools. The UCC usually includes the deans and associate deans of Colleges/Schools, SMU-JBLM, Library & Resources Center, and OIPD and may include program directors.

H1.3.2. Academic Deans

Colleges and Schools are led by academic deans who serve as academic leaders of a College or School and report to the provost. The dean structure, as it pertains to Saint Martin's University's Colleges and

Schools, derives from a long tradition in higher education and the University's particular identity as a Benedictine
University founded by the Saint Martin's Order of Monks and the Benedictine Abbey.

Academic deans serve on the provost's Council of Advisors and as first among the Faculty in their respective College or School. deans normally hold an earned terminal academic degree from a regionally-accredited university in one of the academic disciplines within the College/School to which they are appointed, and must carry significant experience in prior academic leadership at the level of chair or above. Because deans have
faculty status, they are encouraged to teach a course every two years, if time permits, and if their home department has teaching needs in their area of expertise.

The dean supports the Faculty in promoting excellence through teaching, learning, and scholarship, represents the interests of the College/School to University leaders, and communicates directions and priorities set by University leaders to the faculty. Deans support faculty members in the latter's attention to pedagogical excellence, advocate for faculty development and a healthy faculty work life, encourage faculty as they explore curricular developments and the creation of new programs, and support chairs in their oversight of academic programs. Deans are responsible for working with the faculty to ensure academic excellence. Deans also ensure appropriate standards for the periodic evaluation of faculty in the areas of teaching, scholarship, and service, and make recommendations on faculty advancement through rank and tenure. Deans also conduct workshops to train chairs in managing departmental budgets; deans prepare and administer the annual budgets of their College/School and work closely with the Office of Institutional Advancement and other offices on fund raising initiatives.

Deans are selected by the provost, typically through a national search, and are recommended to the president for appointment; deans report to the provost.

Appointments to the position of College/School dean are typically made for five-year renewable terms, renewed by the provost after successful reviews conducted during the fifth year of each appointment cycle. The review process is led by the provost and outlined in the *Bylaws.*

The Responsibilities and Duties of Academic Deans

The duties of deans may vary slightly, depending on the College or School, but in general, deans share several responsibilities, which are described below.

At the University level, through their service on the Provost's Council, they may be asked to engage in strategic planning, budget discussions, and hiring decisions. They may be invited to join cabinet meetings and to report on developments in their College/School. They are also required to play a role in external relations, including fund raising, student recruitment, alumni relations, economic development, marketing, and public relations.

Internally in their Colleges and Schools, deans support and promote educational programs, research, and service by faculty. Deans must be effective advocates for their College/School and faculty, both within the University and externally. Deans should manage and steward the resources of their College/School: fiscal, facilities, and human. They are also responsible for working with their faculty on planning.

The deans have direct responsibility for:

- Engaging faculty, staff, and students in discussions of College/School issues and assuring a positive, high-quality, and equitable work environment; joining and supporting faculty in strategic intellectual discussions about future academic directions within the College/School;
- Reporting regularly to faculty about developments in the College/School, including fund raising and other efforts, typically during College/School Assembly;
- Advocating for the College/School and positioning it for success within the University's broader long-term planning;
- Raising private funds for scholarships, grants, professorships, programs, facilities, and other College/School needs, normally spending 25-30 percent of their time on such activities;
- Playing an oversight and leadership role in accreditation, assessment reports, and other processes that are central activities in the College/School; Deans who oversee professional programs and Colleges/Schools are responsible for leading them through successful accreditation or reaccreditation, as appropriate;
- Participating in Provost's Council in discussions of institutional planning and policy, and in so doing representing the College's/School's interests effectively;
- Supporting departments and programs in their hiring needs and representing these to the provost;
- Conducting annual orientation sessions for department chairs and program directors;
- Communicating regularly with departments and their chairs regarding decisions and directions;
- Communicating regularly with the provost regarding developments and needs in the College/School;
- Conducting annual performance evaluations of their staff direct reports;
- Keeping track of department chair and program director terms; notifying faculty when terms are due to expire;
- Keeping track and notifying faculty of schedules for the advancement and post-tenure review of Faculty within the School/College;
- Keeping track and notifying department chairs of schedules for departmental review and review of departmental tenure and promotion guidelines;
- Managing all relevant paperwork in a timely manner and responding to requests from the provost and other University offices;
- Serving on University Committees as requested by the provost and University president;
- Promoting interdisciplinary and inter-college collaboration and cooperation in teaching as well as scholarly activity;
- Developing external relationships for the purposes of (1) enhancing student placement and internship opportunities; (2) providing meaningful community outreach opportunities for students and faculty;
- Assisting the Office of Admissions and Graduate Program Directors with recruitment activities of the College/School;
- Promoting the visibility of the College in the region, state and nation;
- Providing oversight and coordination of the College/School website;
- Undertaking other duties described elsewhere in this *Handbook* and in the *Bylaws*, including contributing to hiring, tenuring, and promoting faculty;
- Preparing and submitting an Annual Report for the College/School to the provost by June 1 of each academic year.

With the approval of the provost, deans may select associate or assistant deans to assist in the

administrative responsibilities of the College/School.

Deans, associate deans, and assistant deans may teach courses in their areas of expertise, if their teaching commitments do not impede or interfere with their administrative responsibilities. Associate and assistant deans are academic leaders who report to a dean. The responsibilities of an assistant or associate dean are typically evolved by the dean to whom the position reports.

The Saint Martin's University-JBLM is led by an associate dean who reports to the provost. The JBLM associate dean works closely with College/School deans and department chairs in selecting SMU-JBLM faculty and on scheduling their courses at JBLM.

Acting or Interim Deans

Acting or interim deans may be appointed by the provost, when in the provost's assessment such appointments are in the best interests of the Colleges/Schools, and their departments,

Programs, students, and faculty members. Acting/Interim deans shall have the same responsibilities and authority as deans, but usually will not serve more than two fiscal years or parts thereof.

H1.3.2.1. Dean's Council of Chairs

Chairs in the Colleges/Schools may meet regularly in a College Council of Chairs and program directors with their College/School dean. The Council is an *ad hoc* Advisory body whose composition changes as departmental leadership changes and whose purpose is to share information and discuss matters of importance to departments. The Council in individual Colleges/Schools may invite the Dean of the Saint Martin's University-JBLM to meetings, as appropriate, because the dean of SMU-JBLM works closely with chairs on a variety of tasks related to courses and programs on extension sites. Program directors may be invited to join meetings of the Council. The Council is chaired by the dean of the College/School.

H1.4. The Faculty

As a Catholic Benedictine institution, and in keeping with a time-honored and unique tradition in US Higher Education, Saint Martin's University recognizes the necessity and importance of tenured and tenure-track faculty members to advance and nurture the university's character, mission, and purpose (for a definition of Tenure, see *Handbook*, 3.1.).

The University employs adjunct faculty in full- or part-time capacity to meet its curricular and programmatic needs, especially in its online and extension campuses, as well as to initiate new programs, but strives to appoint and retain a significant core of tenure-track and tenured faculty on its main campus in Lacey.

While the University regards adjunct assignments as necessary, both programmatically and for financial reasons, it values the academic standing of tenure in institutions of higher education, attention to the holistic development of students in and outside the classroom through its committed faculty and staff, and the responsibilities which attend to tenure as vital to the long-term development of students well beyond the time they spend taking classes. The University aims, therefore, as resources permit, to achieve the minimum ratio recommended by AAUP of seventy-five percent full-time faculty credits to

twenty-five percent adjunct faculty credits on its main campus in Lacey.

All regular faculty appointments are recommended for appointment by the provost, subject to budgetary support, to the president. Tenured faculty appointments are approved by the Board upon recommendation by the University president, provost, and the Board's Academic Affairs Committee. Department chairs work closely with deans in identifying disciplinary, departmental, and College/School needs; deans then forward recommendations on behalf of the department or School/College to the provost. Processes and procedures for appointing faculty are outlined in the *Bylaws*, 1.3.1 and 1.3.2. Adjunct faculty appointments are recommended by the chair and dean to the provost, who makes the appointment.

The terms and conditions of every appointment to a faculty position shall be stated in writing and shall be consistent with the provisions in this *Handbook*. A copy of the appointment letter/contract shall be supplied to the faculty member and a copy placed in his or her personnel file, which will be held in the Office of the Provost. Any special standards applicable to the faculty member shall be included in the appointment letter/contract. Subsequent modifications of the conditions in the appointment letter/contract typically occur as a result of the faculty review process or in consultation with the faculty member and their department chair and College/School dean. Modifications have to be approved by the provost and subsequently, the University president. Letters of appointment specifying terms will replace annual contracts for regular faculty from 2015-16.

Policies and procedures to be followed in record keeping at the pre-employment stage as well as post- appointment of faculty are outlined in the *Bylaws* along with information about individuals who maintain rights of access and hold responsibility for maintaining confidentiality with regard to personnel files of the Faculty.

H1.4.1. Regular Faculty

Persons who are tenure-track or tenured, full or part-time, hold faculty ranks (as described below), receive University benefits, and have voting rights in full Faculty Assembly, the Faculty Senate, Faculty Committees (as appropriate), their home College/School Assembly, and their home department.

Teaching responsibilities of the regular faculty include courses in the Saint Martin's Core and courses in their disciplinary majors and minors. The faculty also holds primary responsibility for advising and mentoring students in their disciplines/departments.

The regular faculty is selected by disciplinary peers through national searches, then endorsed by their College/School dean, approved by the provost, and appointed by the Board upon recommendation by the president.

The academic ranks of assistant professor, associate professor, and professor acknowledge a faculty member's teaching expertise and scholarly credentials evidenced through their earned terminal academic degree from a regionally accredited university, continuing credibility and currency in their academic discipline among peers beyond their immediate colleagues at SMU, service to the University community, and leadership among their peers.

Exceptions to the doctoral requirement may be made if the faculty member has the appropriate degree, broadly accepted in the field as a terminal degree, and a proven record of scholarly, creative, or

professional achievement signifying currency and credibility among their academic peers in their area of disciplinary expertise.

Faculty with non-U.S. doctorates may be exempt, after verification of the same for equivalency and parity with accredited terminal degrees in their field of expertise, from the "accredited" requirement.

The following policies apply in appointing regular faculty; all determinations regarding these are made at the point of hire and are noted in the Letter of Appointment given to the appointee at that time:

- Appointees who have earned tenure at a comparable institution, may be appointed with tenure and rank, as appropriate, and at a comparable point on the salary scale when the position has been advertised as a senior tenured appointment; in instances where the integrity of the advertised position (e.g. as entry level tenure track) needs to be maintained, but the search yields a qualified candidate who has previously achieved tenure at a comparable institution, the appointee may be appointed at a comparable rank to the one they held previously, but will be placed on a shortened track that reduces the tenure time frame by half; the appointee would be eligible to apply for tenure in their third year at Saint Martin's in this instance;

- Appointees who have served at a comparable institution in a tenure-track position, may receive credit up to a maximum of two years at Saint Martin's towards tenure; they may be placed at a comparable point on the salary scale that reflects their years of full-time teaching experience;

- Appointees who have served full time in non-tenure-track positions at comparable institutions may not receive credit towards tenure, but may be placed at a higher point on the salary scale in recognition of their full-time teaching experience;

- Appointees with part-time and/or pre-doctoral (or pre-terminal degree) teaching experience do not normally receive teaching credit and are typically placed at the starting point of the tenure and salary scale.

The regular faculty is responsible for all aspects of the University's curriculum for all Board- authorized degrees; all credit-bearing courses and academic programs in the University's Colleges, Schools, and Divisions, are approved by the regular faculty through their representative committees and/or through the full faculty. Credit-bearing courses are typically taught by individuals holding faculty status.

Procedures for the approval of credit-bearing courses and academic programs are outlined in the *Faculty Bylaws*, 1.1.3.

Regular Faculty typically hold full-time appointments, but under certain circumstances faculty may hold part-time appointments; this designation does not refer to faculty with part-time administrative duties, but refers only to regular faculty with half-time or three quarter-time contracts. For regular part-time faculty, a general guiding principle of pro-rating is applied for determining schedules for third-year review, tenure, and advancement. Regular part-time faculty undergo post-tenure review every five years, following the same schedule as other regular faculty.

If part-time faculty teach additional courses beyond their contractual appointment, they are

compensated by a pro-rated increase in pay, up to a maximum of full-time, rather than at an adjunct rate. Regular part- time faculty maintain regularly scheduled office hours of lengths pro-rated to those required of full-time faculty. Regular part-time faculty receive available medical and retirement benefits and available faculty development funds at full, non-pro-rated, rates**.**

H1.4.1.1. Assistant Professor

A person appointed to the rank of assistant professor shows evidence of effective teaching and currency/credibility in their academic discipline beyond their SMU peers through scholarly engagement and or creative activity. Specific qualifications ordinarily include an appropriate earned terminal academic degree from a regionally accredited university, or its professional equivalent.

H1.4.1.2. Associate Professor

A person appointed to the rank of associate professor has ordinarily held the rank of assistant professor in an accredited college or university for at least six years. Appointment to this rank ordinarily presupposes an earned terminal academic degree from a regionally accredited institution and evidence of disciplinary currency and credibility as evidenced by scholarly activity in study/research/publications.

H1.4.1.3. Professor

The rank of professor indicates the faculty's recognition of the distinct professional accomplishments in teaching and scholarship of their colleagues as well as their engaged citizenship within the SMU community. This rank is conferred on a faculty member who has shown themselves to be an outstanding instructor for a period of not less than six years at the rank of associate professor, has had at least ten years of successful teaching experience at an accredited college or university, holds an earned terminal academic degree from a regionally accredited institution, has academic credibility and currency in their field of expertise among peers beyond their colleagues at SMU through significant scholarly or creative accomplishments, has engaged in meaningful service to their department, College/School, and/or University, and has made noteworthy contributions to their field.

H1.4.2. Non-Tenure-Track Faculty

Non-tenure-track faculty are unranked faculty who may or may not be entitled to receive employee benefits. There are three categories of non-tenure-track faculty: lecturers, instructors, and visiting faculty. Non-tenure-track faculty are endorsed by their disciplinary peers through department chairs. The College/School deans and the SMU-JBLM associate dean work to identify teaching needs and to vet candidates for appointments to non-tenure-track positions. Non-tenure-track faculty are evaluated annually prior to reappointment; evaluations are coordinated by department chairs and may include consideration of student evaluations and classroom visits by peers.

Non-tenure-track faculty ordinarily presupposes the following qualifications: an appropriate master's degree from an accredited university or its professional equivalent for undergraduate classes; evidence of commitment to continued professional growth appropriate to their responsibilities.

Non-tenure-track faculty teaching assignments are determined by the department chair at the time of

the faculty member's appointment, and contracts/appointment letters or teaching assignments are not guaranteed to be renewed for subsequent terms, semesters or years, as appropriate. Non-tenure-track faculty members are not eligible to apply for tenure, but department chairs and deans may recommend certain categories of non-tenure-track faculty for promotion to the provost for approval.

H1.4.2.1. Lecturers

Lecturers are non-tenure-track faculty members who are under contract to teach 9 credit hours or less per semester and are not eligible for benefits. Lecturers do not normally have voting rights on faculty committees, their home College/School Assembly, or their home departments, but are invited to attend faculty gatherings such as College/School and University Assembly, professional development workshops and conferences, student and faculty convocations, and other community events such as lectures, presentations, and cultural performances.

H1.4.2.2. Instructors

Instructors are non-tenure-track faculty members who are under contract to teach more than 9 credit hours in a semester and are eligible to receive employee benefits. Instructors are appointed by the provost based on recommendations by deans or the Chief International Programs Officer. Appointment as an instructor may be for a semester, single year, or multiple years, and is renewable, subject to demonstrated continuing effectiveness in teaching and recommendation by the chair, dean or Chief International Programs Officer as applicable.

Instructors will attend department meetings and may serve on ad hoc committees and task forces. Instructors have the right to vote for representatives from their ranks to the Non-Tenure-Track Faculty Committee, Faculty Senate, Faculty Welfare Committee, and Faculty Development Committee. These representatives have full voting rights on their committees. Terms of service on Senate or any committee will not exceed the term of their contract. When a representative resigns in the middle of a term, the Non-Tenure-Track Faculty Committee will appoint a qualified replacement for the remainder of the term.

H1.4.2.2.1. English as a Second Language (ESL) Instructors

ESL Instructors are eligible to be considered for renewal subject to annual review and a positive recommendation to the provost by the Chief International Programs and Development. The process and timeline to be followed for Annual Review and renewal is outlined in the *Bylaws* 4.5 and 5.2. ESL Instructors on 9-month or 10-month contracts are expected to teach, conduct ESL placement testing, contribute to mentoring and advising during their contractual period and to attend meetings, workshops, departmental retreats and field trips, as appropriate. ESL Instructors who are on full-time appointments teach fifteen contact hours weekly.

H1.4.2.2.2. Laboratory Non-Tenure-Track Faculty

Laboratory non-tenure track faculty serve during the academic year in a specialized laboratory (Biology, Chemistry, Engineering, Physics, etc.). Laboratory non-tenure-track faculty are eligible to be considered for renewal subject to annual review and a positive recommendation to the provost by the department chairperson and dean of the College/School.

H1.4.2.3. Visiting Faculty

Visiting faculty are non-tenure-track faculty members who teach full- or part-time for a predetermined length of time and receive term or terminal contracts that extend between one and six years; visiting appointments may not be extended beyond the sixth year, for which the visiting appointee will receive a terminal, non-renewable contract. Full-time Visiting faculty, those teaching more than 9 credits per semester, are eligible to receive benefits. Visiting faculty with earned terminal degrees from regionally accredited universities may be appointed at any rank applicable to regular faculty, based on their years of teaching experience and/or prior faculty standing at colleges or universities. Deans will rely on recommendations by the department chair regarding the rank for visiting faculty appointments and in recommending the same to the provost.

The visiting faculty title is typically used to fill temporary teaching needs, such as sabbatical or leave replacements or to replace regular faculty who have been temporarily seconded into administration or have undertaken significant administrative duties which require them to be released from teaching one or more courses, to bring scholars from other institutions to enhance disciplinary expertise in specific areas, or to appoint individuals to positions that connote the rank of tenured faculty but which do not include all its rights and privileges.

H1.4.3. Professors *Emeriti*

Regular faculty members may earn *emeritus* status after retirement in recognition of meritorious service to the University. Regular faculty who have already retired may be recommended by any other regular faculty member. This recommendation goes to the department chair. After consulting with the department, the chair will forward their recommendation to the dean, who presents in writing the case for granting emeritus status to the provost.

This title acknowledges that:

a. The rank denotes a position of honor and is granted in recognition of long-term, distinguished dedication to the students and the University community through excellence in a combination of teaching, service and scholarship appropriate to their faculty position. By definition, it is not automatically accorded; nor may faculty members themselves apply for this rank. Sitting deans, the provost, and other full-time academic leaders who have never served as regular teaching faculty may not be granted professor *emeritus* status, since the title, though subject to final approval by the Board of Trustees, constitutes recognition by faculty peers of meritorious service to the University by colleagues in their roles as faculty.

b. Upon receiving a recommendation from the department chair (see Bylaws 1.3.3), the dean of the College / School recommends candidates for *Emeritus* status to the provost, who in turn recommends the candidate for professor e*meritus* to the president, who makes a recommendation to the Board of Trustees, who make the final decision in these cases.

Professors e*meriti* are honorary members of the faculty, with attendant rights and privileges such as the right to represent Saint Martin's University, the right to take part in academic cultural and social events at the university with whatever financial exemptions other faculty members enjoy, the right to take part in commencement exercises and alumni events, and listing in the academic catalog. Professors *emeriti*

are
entitled to continued access to university email, library privileges, campus parking, and complimentary use of the Charneski Recreation Center. They do not typically retain voting privileges or serve on standing committees of the University but may be invited to serve on *ad hoc* committees and task forces.

H1.4.4. University Administrators and Academic Leaders with Faculty Status and/or Rank

H1.4.4.1. The University President

The president of the University is an *ex officio* member of the faculty with full rights of attendance and participation in Faculty Assembly but without voting rights. At the invitation of committee chairs, they may attend but are not eligible to vote in Faculty Committees. The University president does not normally attend executive sessions of the Faculty Assembly but may do so when invited by the faculty president.

Voting restrictions do not prevent or preclude collaboration and informative discussions by faculty leaders and the president on matters of shared importance. The president may carry academic rank and tenure.

H1.4.4.2. The University Provost

The provost holds faculty status and rank within a University department and College/School and is an *ex officio* member of the faculty with full rights of attendance and participation in Faculty Assembly but with restricted committee membership and voting rights: they may not vote in elections through which faculty representatives are elected to the Faculty Senate or to faculty, university, or Board Committees. The provost does not normally attend executive sessions of the Faculty Assembly but may do so when invited by the faculty president.

Because the provost is required to make, endorse, or reject decisions independently of Faculty Committees and recommend action to other constituents, such as the president or Board, they do not typically vote on decisions in Faculty Committees which forward these decisions to the Office of the Provost for subsequent action. However, this voting restriction does not prevent or preclude collaboration and informative discussions by Committees/Committee chairs and the provost on matters of shared importance.

The provost must be tenure-eligible and tenured in accordance with the criteria for advancement outlined in the *Faculty Handbook*.

During the president's physical absence from campus, the provost typically serves as the president's designee on issues or matters that may arise. Section 2.b. of the Board of Trustees *Bylaws* states that "If the president is unable to perform his or her duties, the duties of that office shall be performed by the Provost / Vice President for Academic Affairs unless the Board of Trustees determines otherwise."

H1.4.4.3. College/School Deans

Deans of the College of Arts and Sciences, the School of Business, the College of Education and

Counseling, and the Hal and Inge Marcus School of Engineering, hold faculty status and rank and serve as *ex officio* members of the Faculty. College/School Deans do not normally attend Executive sessions of the Faculty Assembly either at the College/School level or at the University level, but may do so when invited by the faculty chair of the College/School or by the faculty president, as appropriate.

As *ex officio* members of the faculty, they retain full rights of attendance and participation in their College/School Faculty Assembly, but hold restricted committee membership and voting rights: they may not vote in elections through which faculty representatives are selected for service on faculty, College/School, University, and Board Committees.

Because deans may be required to make, endorse, or reject decisions made by departments, faculty committees, or other faculty units, and to recommend actions to the provost, deans may not vote in committees within their College/School which forward these decisions to the Office of the Dean for subsequent action. However, this voting restriction does not prevent or preclude collaboration and informative discussions by Committees/Committee chairs and the deans on matters of shared importance.

The College/School Council of Chairs is chaired by the Dean of the College/School, as appropriate.

College/School deans typically hold an earned terminal degree in a discipline within the College/School in which they serve as dean. They must be tenure-eligible with academic expertise in a discipline within their College/School in accordance with criteria outlined in the *Faculty Handbook* and may be tenured.

The University may also designate leaders of other academic / academic support offices, such as the Saint Martin's University-JBLM or the Library, as deans. Deans of academic support offices may or may not hold faculty status and may or may not be tenured and/or tenure eligible. The determination regarding their academic status is made by the provost in consultation with faculty leaders at the time of their appointment.

Deans in non-academic University offices do not normally hold faculty status.

H1.4.4.4. Faculty Seconded to Administration

A faculty member who accepts administrative or non-instructional assignments at the College/School or University level retains their earned academic status and rank. If they maintain at least a fifty percent teaching commitment annually while undertaking administrative responsibilities, they retain status as a voting member of the faculty. The faculty may, however, at the College/School level or at the University level, restrict voting rights on specific occasions, as appropriate, when warranted by the decisions or action being taken that relate to the administrative assignments undertaken by the faculty member.

Faculty seconded to administration also retain the right of retreat to full faculty status and responsibilities at the conclusion of their administrative assignment or, if a decision is made sooner, at the end of the semester or academic year.

H1.4.5. Teaching Librarians

As colleagues and counterparts to the Regular Faculty, Teaching Librarians enjoy certain rights and

privileges that attend to faculty ranks: the protection of academic freedom, the resources for development, the duties of service and currency/credibility in their discipline, and representation as well as participation as voting members of appropriate Faculty committees. Teaching Librarians may also serve on University committees and attend and vote in Faculty Assembly. Staff Librarians, as full staff members, are covered by the employee handbook.

Teaching Librarian Rank and Status

Teaching Librarians are appointed with a specific rank and status dependent upon their qualifications.

- Rank reflects the individual's cumulative record of achievement and level of responsibility and may be as Teaching Librarian I, Teaching Librarian II, or Senior Teaching Librarian. Teaching Librarians hired in Continuing Appointments as Teaching Librarian I are renewed subject to annual performance reviews and are eligible to apply for promotion to the next highest rank after a specified period as outlined in the *Faculty Bylaws*.

- Status represents the term of appointment of a Teaching Librarian either for a specific period of time or as a Continuing Appointment; Teaching Librarians in Continuing Appointments are eligible to apply for promotion in accordance with terms and procedures outlined in the Faculty Bylaws. Appointment status is dependent upon the needs of the University and the qualifications of the Teaching Librarian.

Rank and status are specified on the Letter of Appointment at point of hire.

The appointment and promotion policies of Teaching Librarians in Continuing Appointments are designed to contribute to academic and scholarly excellence. Teaching Librarians are responsible for developing library resources and collections and for providing access to these resources to students, faculty, and staff and for providing information literacy instruction to students. Teaching Librarians also serve on University and faculty committees and task forces, and act as partners with the Faculty and their academic leaders. The title of Teaching Librarian thus designates their role as academic personnel.

Teaching Librarian Duties

The professional duties of Librarianship constitute the primary responsibility for Teaching Librarians, who report to the Director/Dean of the Library. Teaching Librarians advance in rank as described below in categories that parallel the advancement of Faculty. They submit Annual Summaries to the Dean/Director, and in a process that parallels that of Regular Faculty, Teaching Librarians in continuing positions undergo annual evaluation, and a more comprehensive evaluation in their first and third years in preparation for advancement. Continuing Teaching Librarians who hold the rank of Teaching Librarian I are eligible to apply for promotion to Teaching Librarian II during their sixth full-time year of service; those who hold the rank of Teaching Librarian II are eligible to apply for promotion to Senior Teaching Librarian in their sixth year of full-time service as Teaching Librarian II. Promotion takes effect at the start of the following academic year. All promoted Continuing Teaching Librarians undertake comprehensive post-promotion reviews every five years.

In some circumstances, Teaching Librarians may be hired with an academic departmental affiliation that has been approved by the Department faculty/Chair and the appropriate Dean.

Teaching Librarian I

This rank is for librarians who have received the appropriate graduate degree from a program

accredited by the American Library Association or an equivalent graduate library science/information studies degree and have little or no professional experience in librarianship. Generally, appointment to Teaching Librarian I will be made for those individuals with fewer than two years of experience as a Librarian.

Teaching Librarians at this rank are expected to fulfill their teaching and librarian duties at a consistently high level. Teaching Librarians at this rank become familiar with library functions, operations and policies, demonstrate an interest in and an ability to contribute to the workings of the University community, show evidence of an interest in pursuing their own professional development and in making contributions to the profession beyond Saint Martin's University.

Teaching Librarian II

This rank is for librarians who generally have at least six years of demonstrated competence as a Teaching Librarian I, or have established an equivalent record in comparable professional positions at other institutions.

Teaching Librarians promoted to or appointed at the rank of Teaching Librarian II have met the position responsibilities and expectations of Teaching Librarian I, have demonstrated the ability to master the foundations, theory and practice of librarianship, to develop an understanding of library operations beyond their immediate assignment, and the role of serving the wider teaching and research community. They have demonstrated the capacity for continued growth and development in the profession.

Teaching Librarians at this rank demonstrate the professional skills and techniques of the trained and experienced Librarian. Those holding the rank of Teaching Librarian II contribute to and/or initiate projects and programs within their units, and may contribute to projects outside the assigned units as members of a Library, University task force, council or committee. They perform assigned position responsibilities in a consistently excellent manner, contribute constructively to recommendations concerning library functions, and show evidence of professional development which includes participation in professional activities beyond the Saint Martin's work environment.

Senior Teaching Librarian

Senior Teaching Librarians should have demonstrated substantial growth in their profession and have made sustained and significant contributions in professional activities beyond the work environment at Saint Martin's. Such activities should enhance the individual's value and contributions to the University and the research and learning community at Saint Martin's. Senior Teaching Librarians also demonstrate sustained and substantive leadership and service within the University community.

Senior Teaching Librarians demonstrate sustained excellence in professional performance and achievement, and contribute significantly toward the development and implementation of projects and programs in their assigned units. They contribute to and/or initiate projects with broad scope outside their assigned units, either individually or as members of a committee or task force. They are accountable for performing assigned responsibilities in a consistently excellent manner, for making thoughtful and innovative recommendations concerning library functions, operations, and policies, and for the implementation and success of new or existing policies, programs, and services. Senior Teaching Librarians contribute to the University, the research and learning community through service on councils, committees or task forces. They show evidence of sustained, substantive professional development, which includes significant participation in professional activities beyond the Saint Martin's

work environment. Senior Teaching Librarians may be called upon to serve in leadership roles such as that of Director or Dean of the Library.

Salary Increases

The University has evolved a Step system by which longevity of service overall and within ranks is recognized through annual increases for Regular Faculty, ESL Instructors, and Teaching Librarians. Step salary increases for Teaching Librarians typically occur every year, effective at the start of the following year. If financial reasons prevent the University from awarding Step increases in any given year, increases will accrue for that year and will be included in the awarding of a Step increase in the following year.

Step increases in salary do not accrue during leaves of absence and periods of absence from Saint Martin's University.

Terminations without Prejudice

Teaching Librarians are subject to termination without prejudice due to disability, permanent or protracted revision of the University curriculum, academic program / department/school/college closure, bona fide financial exigency, or bona fide financial crisis.

Dismissal for Cause

Teaching Librarians may be dismissed for cause; reasons for “dismissals for cause” include but are not limited to the following:

(1) Serious academic dishonesty;

(2) Deliberate and serious violations of the rights and freedoms of fellow faculty members, students, staff, librarians, or university leaders;

(3) Acts of moral turpitude;

(4) Violation of University policy substantially related to performance of librarian responsibilities;

(5) Use of professional authority to exploit others;

(6) Conviction of a felony which directly relates to the fitness of the librarian to engage in librarian duties and/or administration;

(7) Continued gross neglect of duties despite oral and written warnings;

(8) Professional incompetence and ineffectiveness;

(9) Failure to fulfill contractual obligations.

H1.5. Academic Principles

Faculty members who believe that serious violations of the principles of academic freedom and academic integrity have occurred, or have been committed by their colleagues or academic leaders, may grieve to the

Faculty Affairs Committee. The appeals process is outlined in the *Faculty Bylaws*, 10.4.

Complaints regarding harassment and discrimination are reported to the Chief Human Resources Officer.

Violations of the University's Conflict of Interest and Conflict of Commitments Policy by faculty members are reviewed and resolved by the provost.

H1.5.1. Academic Freedom

Saint Martin's University seeks to advance the common good and holds to the tenet that the common good depends upon the free search for truth and its free exposition: "institutions of higher education are conducted for the common good . . . The common good depends upon the free search for truth and its free exposition" (*Statement of Principles on Academic Freedom and Tenure*, 1940).

Academic freedom applies to both teaching and research. Saint Martin's University is cognizant of the insistence by the courts on due process within the academic community and recognizes academic freedom as a right honored by the First Amendment to the Constitution. The University notes with approval Justice Brennan's opinion for the Supreme Court in Keyishian v Board of Regents 385 U.S. 589 (1967):

> Our nation is deeply committed to safeguarding academic freedom, which is of transcendent value to all of us and not merely to the teachers concerned. That freedom is therefore a special concern of the First Amendment, which does not tolerate laws that cast a pall of orthodoxy over the classroom.

The faculty of Saint Martin's University has full freedom in research, subject to disciplinary ethics and the satisfactory performance of their other academic duties as judged by their chairs, dean, and provost. Research undertaken for pecuniary reward must have the prior approval of the University through the provost.

Academic freedom in the classroom protects the rights of the faculty member in teaching and of the student in learning. The faculty of Saint Martin's University have full freedom in classroom discussions and exercises as outlined in the AAUP statement on professional ethics (see Appendix A), provided that they do not jeopardize the academic freedom or civil rights of the students.

Academic Freedom extends to a faculty member's right to select instructional delivery modes for their classroom in coordination with their department chair, based on the appropriateness of the delivery mode to the subject being taught, its programmatic relevance, student needs, and their own pedagogical strengths. Individual faculty appointed to teach in a specific delivery mode or at extension sites (such as online, for example), must adhere to their contractual obligations.

Academic freedom entitles individual faculty members to host co-curricular guest lecturers and speakers related to their classes, teaching responsibilities, or disciplinary expertise without restriction by University leaders except with regard to the availability of space and funds to support such activities. Faculty are expected to notify their chair when a guest speaker who is likely to generate significant crowds and/or national media attention is scheduled on campus, so that the University can, through its Public Safety Office prepare to manage large audiences, if applicable, and through its Communications and Marketing Office, inform constituents, as appropriate.

Members of the faculty are members of the community and members of a Catholic institution of higher education.

As members of a Catholic institution of higher education, faculty members are expected to respect the teachings of the Catholic Church, even though they need not accept these teachings as their personal religious creeds. Faculty members measure the urgency of these obligations in light of their responsibilities to the subject, to the students, to the profession and to the institution. When faculty members speak or act as private persons they must avoid creating the impression that they speak or act for the University. As citizens engaged in a profession that is fundamentally dependent upon freedom for its vigor and integrity, faculty members have a particular obligation to promote conditions of free inquiry and to advance public understanding of academic freedom.

H1.5.2. Academic Integrity

Academic Integrity stands at the heart of intellectual life and refers to values such as eschewing plagiarism, maintaining high academic standards in teaching and scholarship, and conducting research and academic publishing with honesty and rigor. The faculty models Academic Integrity through the above values for their colleagues and students. Saint Martin's University views academic integrity as integral to its mission.

A short summary of faculty responsibilities related to Academic Integrity is included in *the AAUP Statement of Professional Ethics:*

> 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.

Advances in technology, the prevalence of social media, and the advent of new instructional delivery modes have increased the need to attend to Academic Integrity and to the imperative to ensure that policies and procedures are regularly updated to keep up with the pace of change in the Academy. The faculty holds primary responsibility for updating policies and procedures relating to Academic Integrity for their faculty colleagues as well as for students. Social-media related recommended codes of conduct are included in the *Employee Handbook* Appendices.

The Academic Standards Committee of the faculty exercises primary jurisdiction in attending to Academic Integrity among students; the Faculty Affairs Committee hears grievances brought to it by faculty members or academic leaders against any faculty colleague with regard to violations of Academic Integrity. Procedures for the former are outlined in the *Student Handbook*; procedures for handling allegations of academic misconduct among faculty, academic staff, and academic leaders are outlined in the *Faculty Bylaws.*

H1.5.3. Non-discrimination and Inclusive Diversity

In accordance with its mission statement, its Benedictine heritage, and its academic character, Saint Martin's University supports values which promote open-mindedness and sensitivity to and respect for differences. It values and promotes diversity as an essential foundation for a healthy learning community.

A collegial environment is a prerequisite to the success of its mission. The University is committed to the creation and maintenance of a tolerant learning and working environment free from discrimination, fear, hate, and exclusionary forms of conduct and harassment.

Faculty and staff members may not discriminate against students, other members of the University community, visitors, or applicants, because of race, ethnicity, national origin, ancestry, creed, color, gender, sexual orientation, age, religion or mental, physical or sensory disability, marital status, military, or veteran status.

The faculty explicitly condemns unlawful harassment, including sexual harassment by its members; elaborations regarding the University's Anti-Harassment and Non-Discrimination Policies are outlined in greater detail in the *Employee Handbook*.

H1.5.4. Conflict of Interest and Conflict of Commitments

General Principle

As a general principle, Saint Martin's University's policy regarding conflict of interest and conflict of commitments is based on the premise that honesty and professional integrity are expected of all members, and it would be a violation of this trust if the interests of the University are disregarded in the course of
performing professional duties. Also inconsistent with University policy is the use of one's official position and influence to further either personal gain or that of families or associates, whether in the conduct of University responsibilities internally or in facilitating access to University resources and facilities to others. In general, personal responsibility, integrity, and high ethical standards are the principal guides in avoiding conflicts of commitment, and the University expects that all members of the faculty and their academic leaders will conduct their activities, within the University as well as outside the University, in a manner that reflects credit on themselves, the academy, and the University. The responsibility to recognize potential conflicts and prevent them rests with individuals. Faculty with questions regarding conflict of interest situations are encouraged to seek guidance from the Office of the Provost.

Examples and Process on Conflict of Interest and Conflict of Commitments

The University recognizes that it is virtually impossible to provide specific rules covering all possible situations that could constitute conflict of interest or conflict of commitments. The *Employee Handbook,* the *Faculty Handbook*, and the *Faculty Bylaws* establish the spirit in which interactions of members within the University and of members with entities outside the University should be undertaken.

All regular faculty members and academic leaders are required annually to submit a disclosure of their external activities and financial interests, if applicable. Examples include:

- A faculty member accepting salaried employment at another institution while a full– time employee of SMU; faculty may not spend more than one day in a seven–day work week on consulting activities, and faculty ownership or management of private enterprises is subject to

review and limitations;

- A faculty member, or a member of his or her family, having an interest in, or serving as an officer, director, or consultant to, or being otherwise employed by, any organization or company having or seeking to have financial dealings with the University, or having an interest in any organization that is in direct competition with a service provided by the University;

- A faculty member, a member of his or her family, or an organization in which that faculty or family member that has a significant ownership interest or other material interest, receiving a financial or other benefit from knowledge or information confidential or proprietary to the University.

- Influencing or participating in negotiations, or entering into a contract, to purchase goods and/or services for the University from an organization in which the faculty member, or a member of his or her family, has a financial interest or a consulting or other relationship.

- Influencing or participating in negotiations or aiming to influence directions and decisions within the University that directly benefit a family member.

- The use for personal financial gain of privileged or confidential information emanating from the University, or assisting an outside organization in obtaining a preferred position with respect to such information.

- Acceptance of gratuities, gifts, or travel of more than nominal value (in excess of $100.00) from an individual or a group, or from others seeking information from, or association with, the University.

Conflicts of interest in themselves do not necessarily imply wrongdoing, but must be recognized, recorded, and managed. However, the use of University resources (equipment, space, staff, or student time) or the University name for personal gain is always prohibited.

Certain activities are generally not to be construed as conflicts of interest, and need not be reported; these instances include:

1. Receiving royalties for published scholarly works and other writings;
2. Accepting honoraria for papers and lectures;
3. Accepting prizes and awards for professional achievement.

Process

Conflicts of commitment must be eliminated; conflicts of interest must be managed or avoided. Chairs and/or deans should review and discuss reported conflicts of commitment and interest with faculty members each year; reported conflicts and their resolution should be reviewed by the dean after initial review is conducted by a chair.

If agreement between the faculty member, chair, and on the resolution of a reported conflict cannot be reached, the faculty member may seek review and a decision by the provost.

H1.6. Learning and Teaching Formats/Instructional Delivery Modes

Saint Martin's University delivers instruction in traditional face-to-face formats as well as online, and in synchronous and asynchronous modes. Saint Martin's makes many kinds of instructional delivery modes available to students and sees all delivery modes as potentially valuable learning formats, traditional, face-to- face teaching and learning is the primary mode of instructional delivery for students who enter as residents or commuters into the University's undergraduate programs on our main campus in Lacey, WA.

- Synchronous Learning describes real-time interaction between students and faculty that occurs independent of location. Synchronous learning may be face-to-face or online.

- Asynchronous Learning involves interaction between faculty and students that occurs independent of time or location.

Faculty appointments made specifically to teach in online formats and/or on satellite campuses will be bound by the contract / appointment letter agreed to at the point of hire. Adjunct faculty contracts typically specify instructional delivery modes and / or teaching locations. Unless specified in their appointment letter, Regular Faculty hired into the University's Colleges/Schools on the Lacey campus may select the instructional delivery that best suits their subjects, meets the needs of their students and programs, and matches their personal pedagogical strengths, and are expected to do so in collaboration with their department chairs, College/School deans, and the provost. The faculty, College/School deans, and provost are responsible for ensuring that in honoring a faculty member's academic freedom to select their preferred modes of instructional delivery, the commitment of the University on its main campus in Lacey to provide education primarily through face-to-face synchronous education is maintained.

H1.6.1. Traditional Face-to-face Teaching and Learning

The traditional classroom environment where students and the instructor meet in the same room is an example of synchronous education; such instruction is also referred to as "on-ground" or "on campus" instruction. Traditional face-to-face instruction is the primary teaching and learning mode on the Lacey campus.

H1.6.2. Distance/Online Education, Teaching, and Learning

Distance/Online Education may be synchronous or asynchronous and defines modes of instructional delivery that do not constitute face-to-face instruction. Distance/Online courses have to be designated as such from the start so that students are adequately prepared to engage with materials and the delivery mode. Distance Learning / Online education may be provided on SMU's Lacey campus as well as satellite campuses. Faculty who teach or are contracted to teach in online mode must demonstrate expertise in teaching online.

H1.6.3. Hybrid Instruction, Teaching, and Learning

Hybrid teaching incorporates instructional delivery that includes face-to-face meetings with students and online teaching and learning. Instruction may be entirely synchronous or partially asynchronous.

The differentiating factor between hybrid instruction and the use of online resources in technology-

enhanced, synchronous, face-to-face instruction (as defined in 1.6.4. below) is that the proportion of credit- bearing hours in a hybrid/blended course through face-to-face versus online formats is specified in advance,

and instruction occurs in a planned pedagogical manner in which at least fifty percent of activities occur face-to-face. Hybrid instruction occurs on SMU's Lacey as well as satellite campuses.

H1.6.4. Technology-enhanced / Technology-Infused Courses

Individual faculty members, both regular and adjunct faculty, may use online resources such as primary texts, MOOCs, social media, podcasts, and class capture via Learning Management Systems such as Moodle or software such as Tegrity, to supplement classroom learning and/or may substitute engagement with online resources for particular face-to-face class meetings. The adoption of these tools in synchronous instruction results in technology- enhanced or technology-infused courses. The University supports faculty members in their infusion of technology into their classrooms.

H2. GOVERNANCE

The faculty works closely with their academic leaders and the University president in their responsibility for **Faculty (Self) Governance** and in their participation in **Shared Governance.** The faculty's responsibility for self-governance is exercised directly through University Assembly of the full faculty or through the following elected bodies which work closely together on all matters pertaining to academic and faculty life: The Faculty Senate and its chair, the faculty president, Faculty Senate Committees

H2.1. Faculty (Self) Governance: University Level

H2.1.1. University Assembly of the Full Faculty

Assembly refers to gatherings of the full faculty, whether at the University level (University Assembly) or at the College/ School level (College or School Assembly). The term "meeting" is used to describe all other kinds of formal gatherings (e.g. Departments, Committees, Task Forces, etc.).

The full Faculty meets in Assembly at least twice each semester. All members of the community who have faculty status may attend and participate in Faculty Assembly. Regular faculty members are required to attend faculty Assembly. Other personnel who also attend Assembly include the Registrar and the Director of the Center for Learning, Writing, and Advising. Faculty Assembly is conducted in accordance with Robert's *Rules of Order.* Privilege of motion, second, and debate shall be afforded to all members of the faculty (regular and adjunct faculty) during Assembly. Voting shall be restricted to members of the regular faculty.

Faculty may invite other University leaders or staff to attend Faculty Assembly or segments of the Assembly from time to time to report on aspects of University life that have a bearing on the faculty's work and responsibilities. Examples of such guests in Assembly include the Chief Admissions Officer, the Chief Student Affairs Officer, the Registrar, the Chief Financial Officer, or the Chief International Programs Officer.

Faculty may initiate additional Faculty Assemblies by petitioning the president of the faculty to convene the faculty in an extraordinary meeting; petitions have to specify the context for the extraordinary Assembly and be supported by a majority of the regular faculty. As a courtesy, the faculty president will inform the provost or University president of the scheduled meeting and its context.

The president of the faculty may convene a full Faculty Assembly when necessary to discuss important University business (E.g. to propose and recommend a change in the *Handbook* to the Board). The University president or provost may call for a Special University Assembly of the faculty, if necessary, to inform faculty members about important business or developments that require their attention; the University president and provost will typically coordinate their call for a Special University Assembly of the faculty by collaborating with the faculty president and Faculty Senate.

The full faculty is represented through the Senate and the faculty president who chairs the Senate, and Faculty Senate Committees.

H2.1.2. The Faculty Senate

Except when the Faculty Assembly is in session, the Senate exercises powers typically vested in the faculty and represents the will of the faculty. The Faculty Senate is the voice of the faculty and the centerpiece of faculty governance and of faculty participation in shared governance.

The Faculty Senate consists of elected Senators drawn from the regular faculty of each College and School and an adjunct faculty representative. It serves as the representative body of the faculty for conducting faculty and academic business, the agent for overseeing and coordinating the faculty committee structure, and a forum for discussing issues affecting the faculty and the University.

The Faculty Senate promotes a climate of academic freedom, academic integrity, and inclusive diversity; equity in tenure, promotion, workload, and salary distribution; an optimal learning environment throughout the University; and an environment conducive to fundamental fairness, social and economic justice, and Benedictine hospitality.

The specific powers, procedures, and policies of the Senate are enumerated in the *Faculty Senate Constitution* and *Faculty Senate Bylaws* (Appendix B).

The Senate consists of the faculty president (presiding officer); president-elect; six faculty senators elected from and by the Colleges and Schools; five faculty senators elected at- large by the Faculty Assembly; and one adjunct faculty representative, elected from and by the adjunct faculty.

H2.1.3. The Faculty President

The faculty president-elect is elected by the faculty on an annual basis and is accountable to the faculty, serving as their representative and voice on issues of importance to them; they also preside over Faculty Assembly and meetings of the Faculty Senate. The election of the faculty president occurs at the last regularly scheduled Faculty Assembly of the year and begins immediately.

The faculty president typically receives a six-credit reduction in their teaching load per semester (from a standard full- time load of twelve semester credits each semester) in the academic year during which they serve as faculty president. Regular full-time faculty with teaching commitments of nine semester

credits each semester receive a three-credit reduction in their teaching load per semester in the academic year during which they serve as faculty president.

The faculty president:

a. Chairs and holds Faculty Assembly on a regularized basis and extraordinary meetings of the faculty when petitioned to do so by a majority of the regular faculty;
b. Chairs meetings of the Faculty Senate;
c. Establishes the Faculty Assembly and the Faculty Senate agendas;
d. Oversees elections for all standing faculty committees;
e. Appoints *ad hoc* Faculty Committees;
f. Coordinates elections which identify faculty representatives to serve on University committees;
g. Consults with the faculty regarding issues of importance to faculty work life and responsibilities
h. Assists, through an appropriate faculty committee, in recommending equitable faculty salaries, benefits, and working conditions to the provost
i. Represents faculty concerns to other University constituencies (i.e., the University president, the provost, deans, and trustees).
j. Aids in inter-committee coordination and prioritization of issues and concerns.
k. Serves as a liaison between faculty and academic as well as University leaders.

H2.1.4. The Faculty Affairs Committee (FAC)

The Senate serves as the voice of the faculty and represents its interest to members and academic as well as University leaders; it functions as a legislative body on academic issues and programs primarily through its committees. The Faculty Affairs Committee reports to Senate but also serves as a judicial body of the full faculty on appeals and grievances and in an advisory capacity to faculty and academic leaders. In its judicial capacity, it maintains confidentiality with regard to its proceedings, reports its findings to the University president with a copy to the provost, and informs Senate about its conclusions.

<u>In a custodial capacity</u>, the Faculty Affairs Committee develops, maintains, and recommends revisions of the *Faculty Handbook* and *Faculty Bylaws* and adjudicates all matters and disputes pertaining to faculty self-governance and violations of academic freedom and academic integrity by faculty or their academic leaders. In attending to faculty governance, the FAC collaborates with academic leaders, as appropriate.

<u>As a judicial body</u>, the committee acts as a hearing committee in cases involving faculty grievance whether between faculty members or between faculty and their academic or University leaders as well as on appeals of non-renewal, termination, tenure and promotion decisions; (upon request of the provost, the committee recommends faculty privileges for visiting professors and administrative officers). The committee also adjudicates in instances where a complaint of academic dishonesty is filed against a faculty member or academic leader by a fellow faculty member or academic leader. In doing so, the committee researches and reviews the case, informs the provost about its findings, and recommends a course of action to the provost. The provost makes a determination. See the Grievance process outlined in *Bylaws*, 10.4.

<u>As an Advisory body</u>, the Faculty Affairs Committee may also advise the Senate, the provost,

deans, chairs, and faculty, as needed.

The FAC consists of the following elected representatives from among the tenured regular faculty: three faculty members elected from the College of Liberal Arts and Sciences, one faculty member from each of the other Colleges/Schools. The Committee elects its own chair yearly who presides as a non-voting member except in the case of a tie vote. Nominations are made by members of the College/School; elections are by the full faculty. **Members serve three-year terms.**

H2.1.5. Faculty Senate Committees

Faculty Senate Committees are staffed by elected faculty representatives and chaired by a regular faculty member, except where designated otherwise. Though committees vary in size, all four Colleges and Schools are represented on each committee. If a College/School does not present a candidate to be elected to a committee as represented below, a faculty representative-at-large will be elected from the full roster of the faculty, with attention to the status and rank required the relevant committee.

All the faculty committees represented below report to the Faculty Senate and members are typically elected through Senate in full Faculty Assembly. As of 2020, there are ten standing faculty Senate committees and a number of *ad hoc* Task Forces and committees authorized by the faculty and/or elected by the full faculty. Faculty members typically serve on no more than two standing faculty committees.

Staff colleagues may be invited to serve on faculty committees, and individual committees will determine if non-faculty members may carry voting rights.

Student representatives may be invited to join faculty committee deliberations or to serve on committees, with each committee determining individually if student representatives will have voting rights.
Undergraduate student representatives will typically be elected through ASSMU.

Graduate student representatives will be selected in consultation with the Office of Graduate

Admissions. <u>Important Qualifier</u>

Regular faculty may serve on only <u>ONE</u> among the following faculty committees at a time:
Advancement Committee
College/School Tenure and Promotion Committee
Faculty Affairs Committee

In the event that a College or School is unable to elect faculty as designated above to serve on each of the above committees (because of the limited number of tenured and ranked faculty in the College/School), the School/College may elect a representative to serve on either the Advancement Committee or the College/School tenure and promotion committee and the Faculty Affairs Committee concurrently, but they must recuse themselves from consideration of the file in case of an appeal.

Committee structures and procedures are detailed further in the *Faculty Bylaws,* 2.2.2.

H2.1.5.1. Academic Computer Advisory Council (ACAC)

The Academic Computer Affairs Council oversees the policies and procedures of academic computer operations and facilities. The Council reports to the provost.

Membership: Two faculty representatives are elected from the College of Liberal Arts and Sciences and one each from each of the other Colleges/Schools.

In addition, the following persons have membership and voting rights and responsibilities on the

Council: Computer Center Manager
Dean of the O'Grady Library and Learning Resources
A representative appointed by the University president

The Council chair is selected by the Council membership annually.

Faculty representatives are elected to serve three (3) year, renewable terms, staggered to ensure continuity, and may serve two continuous terms but must step off the committee for a year before being eligible for re-election for subsequent terms.

Duties and Responsibilities:

1. Recommend policies relative to academic computer acquisition and use;
2. Develop and recommend short and long range plans for academic campus resources;
3. Review, prior to authorization, academic proposals for acquisition and use of computing hardware and software (purchases exceeding $500);
4. Participate in reviewing and, where appropriate, developing proposals related to computers; and
5. Review budgeting requests for computing acquisitions and make recommendations to the Provost.

H2.1.5.2. The University Core Curriculum Committee

The Saint Martin's Core provides a foundation of courses which are collectively designed to expose students to diverse ways of thinking and to provide the intellectual, spiritual and ethical base for meaningful, satisfying and productive lives. In consultation with the Director of the Core, the Core Committee defines the qualifications of Core courses; implements, oversees and evaluates the Saint Martin's Core; and may initiate revisions to the curriculum to ensure that it is current and responsive to changes in the academy as well as evolving needs of students.

Other Duties and Responsibilities:

The Committee, in consultation with the Director of the Core:

a. determines the need for, and solicits the creation of, new courses designed to meet the needs of the Core program;
b. coordinates faculty development opportunities that specifically target the Core;
c. provides for the resolution of student appeals and requests for exceptions to the core

program, in consultation with department chairs as needed;

d. reviews course for inclusion in the Core and recommends courses for inclusion in the program to the Faculty Senate. Courses approved by the committee are submitted to the faculty for a three-week comment period; comments are resolved by the committee. If a comment remains unresolved, the action is put to a vote of the faculty senate;
e. systematically reviews the Core program every five years.

When the Committee recommends a significant change requiring the Board of Trustees' approval, the recommendation is forwarded to EPCC; if approved, EPCC forwards the proposed change to the Senate and full faculty for approval. The provost makes final decisions on recommendations made by the Core Committee and forwards these, as appropriate, to the University president or Board of Trustees.

The Full faculty elects the Committee from its regular faculty; the full faculty also elects a chair from the College of Arts and Sciences who serves as Director of the Core. The Core Committee consists of the following elected representatives from among the regular faculty: three members elected from the College of Arts & Sciences (one each from the Social Sciences, Humanities, and Sciences/ Mathematics), one member from each of the other three Colleges/Schools, the Registrar, and a representative from the Library, and the Director of the First Year Experience, who serves as a non-voting ex officio member. **Faculty representatives serve three-year terms.** The director of the Saint Martin's Core typically serves a three-year term which may be renewed by the full faculty in Assembly. Since the director oversees the foundational liberal arts curriculum of the University, they typically receive a three-credit reduction in teaching (from a full-time load of twelve semester credits) each semester.

H2.1.5.2.1. The Director of the First Year Experience

The Director of the First Year Experience is elected by the full faculty; they are drawn from the regular faculty in the College of Arts and Sciences. The Director of the First Year Experience typically receives a three-credit course release (from a full-time load of twelve semester credits) each semester.

The Director of the Saint Martin's Core and the Director of the First (and Second) Year Experience report to the provost and regularly submit reports and updates to the Senate and/or full faculty; they also attend provost Council meetings when invited. They also liaise regularly with the Office of Student Life on co-
curricular learning that is embedded in the Saint Martin's Core or offered in conjunction with it.

H2.1.5.3. Educational Policies and Curriculum Committee – University level

Membership on the University EPCC consists of the following:

- Ex Officio: A dean appointed by the provost for a three-year term, Registrar, Library Director, and Accreditation Liaison Officer
- Elected: Six members of the faculty elected for three-year, staggered terms.
- One from each of these academic areas: Business, Education, Engineering, Humanities, Science and Mathematics, and Social Sciences.

Only elected committee members enjoy voting rights and responsibilities. The committee elects its chair

from among its elected members on an annual basis. The provost attends EPCC meetings as a non-voting member.

The EPCC chair, or the committee's designee, serves on the Academic Standards Committee. The University EPCC reviews and may initiate changes in the academic policies and academic standards prescribed under the Academic Policies and Procedures section of the official University Catalog (see H2.3.1.1). The committee also reviews and may initiate changes in the University curriculum. Procedures regarding deliberations of the Educational Policies and Curriculum Committee are determined by the committee itself.

H2.1.5.4. The Advancement Committee

The Advancement Committee oversees the faculty tenure and promotion process and evaluates and ranks sabbatical applications before submitting recommendations to the provost.

The Advancement Committee represents the faculty's recommendation to the provost and University president on all applications for promotion and tenure. The committee is responsible for ensuring that faculty are aware of all deadlines, guidelines, policies and procedures related to the advancement and sabbatical application processes**.**

When a department, in consultation with the appropriate tenure and promotion committee and College/School dean, proposes revisions to its tenure and promotion guidelines, the Advancement committee vets the guidelines before passing them on to the provost. The committee solicits submissions of a portfolio from all candidates eligible to apply for tenure and promotion and vets each application before making a recommendation to the provost.

Individual members of the committee also serve on third-year review committees of tenure-track faculty.

The committee consists of the following elected representatives from among the regular tenured faculty: three members elected from the College of Arts & Sciences, and one from each of the other three Colleges/Schools. At least three of the six members have to be full professors. Faculty representatives serve three-year terms. The committee elects its own chair yearly. Faculty members who are themselves applying for advancement may not be present during any discussions on advancement. If a sitting member of the committee applies for advancement, an appropriate substitute will be elected to serve during the advancement proceedings. Sitting members applying for sabbatical will recuse themselves from discussion of all sabbatical applications.

H2.1.5.5. Faculty Committee on Academic Assessment (FCAA)

The Faculty Committee on Academic Assessment (FCAA) fosters a Saint Martin's education which enriches the students with:

- A high level of contact between students and faculty
- Classes that develop reciprocity and cooperation among students
- Active learning
- Habits that reflect the best uses and amounts of time for particular tasks
- An understanding and acceptance of the challenge to meet high expectations

- Classes that acknowledge the diversity of talents and means of learning.

Various assessment measures are utilized by the University, including course evaluations by students of the courses they undertake. A number of University-wide surveys are also undertaken each year, sponsored by offices such as the Office of Institutional Effectiveness and the Retention Committee. Survey results are shared with faculty and their academic leaders when the collected data includes academic information pertaining to faculty, courses, majors, programs, academic departments, and academic advising/support. The faculty understands the challenges which attend to adequately measuring effectiveness and the importance of attempting to do so, a balance recognized by AAUP:

> The AAUP has long recognized that the practical difficulties of evaluating student learning do not relieve the academic profession of its obligation to attempt to incorporate such evaluation into measures of teaching effectiveness. The Association's 1975 *Statement on Teaching Evaluation* contains the following comments on "student learning":
>
> Evaluation of teaching usually refers to the efforts made to assess the effectiveness of instruction. The most valid measure is probably the most difficult to obtain, that is, the assessment of a teacher's effectiveness on the basis of the learning of his or her students. On the one hand, a student's learning is importantly influenced by much more than an individual teacher's efforts. On the other, measures of before-and-after learning are difficult to find, control, or derive comparisons from. From a practical point of view, the difficulties of evaluating college teaching on the basis of changes in student performance limit the use of such a measure. The difficulties, however, should not rule out all efforts to seek reliable evidence of this kind.

The Faculty's assessment of teaching and learning effectiveness thus occurs within the framework of standards recommended by AAUP:
(http://www.aaup.org/AAUP/comm/rep/MandatedAssessments.htm)

While faculty at SMU recognize and understand the importance of addressing and meeting the criteria of outside accreditors such as the NWCCU, TEAC and ABET, the primary focus of this committee is not on accreditation, *per se*, but on:

1. Helping faculty to develop genuine, rigorous and appropriate measures of the effectiveness of our teaching both across the University's curriculum as a whole and in our diverse disciplines, in the disparate courses of study we offer, and to students who come to us with a range of abilities, needs and challenges.

2. Helping the Core Committee to develop realistic goals for enhancing teaching effectiveness and student learning across the University's curriculum – and recommending review of and/or changes in that curriculum as appropriate.

3. Helping academic program directors and department chairs to develop realistic goals for enhancing teaching effectiveness and student learning across their program/departmental curricula – and recommending review of and/or changes in such curricula as appropriate.

4. Helping individual faculty members with developing realistic goals for enhancing teaching effectiveness and student learning in the courses they teach. Providing faculty with workshops, mentoring and other programs and resources designed to enhance their pedagogical effectiveness.

Further, the Committee studies curricula to determine if students are being taught such things as 1) process writing 2) critical thinking, 3) Benedictine values, and 4) both global and historical awareness throughout their college careers in a broad array of courses and programs. Such tasks will require the committee to work closely with the Core Committee, the EPCC, and the Provost's Council. Working closely with these constituents and individual faculty, the FCAA leads the faculty's ongoing efforts to gauge and enhance teaching effectiveness and student learning in curricular/academic programs and departments. The committee also liaises with the Director of Institutional Assessment as needed.

Membership on the committee will consist of three faculty elected from the College of Arts and Sciences and one each from each of the other Colleges/Schools**.** The committee liaises with the Director of Institutional Assessment and the Chief Institutional Effectiveness Officer as well as other faculty and academic leaders. **Faculty representatives serve three-year terms.**

H2.1.5.6. Faculty Development Committee

The Faculty Development Committee provides a range of faculty development services to individual faculty members, to academic departments and divisions, and to the faculty as a whole; develops and implements an ongoing faculty development program; defines policies and procedures to be followed by faculty members, departments and divisions in requesting funding for faculty development projects and/or travel; helps facilitate the selection of recipients of the Monks of Saint Martin's Abbey Outstanding Faculty Award.

The FDC consists of the following elected representatives from among the faculty: three members elected from the College of A & S, one each from the other three Colleges/Schools, and one representative from the adjunct faculty, elected from and by the adjunct faculty. At least three of the committee's six members are typically tenured faculty. **Representatives serve three-year terms.**

H2.1.5.7. Faculty Library Committee

The Faculty Library Committee consists of the Dean of the O'Grady Library and Learning Resources or director (as chair) and two librarians as well as the following elected representatives from among the regular faculty: three members elected from the College of Liberal Arts & Sciences, one each from each of the other three Colleges/Schools. Faculty representatives are elected for three (3) year, staggered terms.

The library committee provides direction and assistance to the Dean of the O'Grady Library and Learning Resources or director in:

- the development of policies;
- the evaluation of current programs and services, as well as planning for new ones;
- the allocation of funds for collection development purposes; and
- the formulation of budget and staffing requirements related to the operation of the Library.

H2.1.5.8. Faculty Welfare Committee

The Faculty Welfare Committee recommends to the Faculty Senate equitable faculty salaries, benefits, and

working conditions for faculty. The committee also works with Institutional Research to facilitate the University's participation in national surveys pertaining to faculty work life.

The FWC consists of the following elected representatives from among the faculty: three members of the tenured faculty elected from the College of A & S, one tenured faculty member each from the other three Colleges/Schools, and one representative from the adjunct faculty, elected from and by the adjunct faculty. **Faculty representatives serve three-year terms.** The committee elects its chair from among its members.

H2.1.5.9. Institutional Review Board

While Saint Martin's University recognizes and affirms the need for academic freedom in the conduct of research, and the value of well-designed, responsible activities which involve human subjects, the Faculty recognizes, and accepts its responsibility to assure the protection of any human subjects so involved. The use of human subjects in research or investigational activities imposes both ethical and legal responsibilities upon the institution, the project director, and the investigator(s) for assuring that the rights and welfare of those subjects are adequately protected. Saint Martin's University thus requires that the project director, the investigator(s), all participants, and the University utilize policies established by the Institutional Review Board, which also monitor activities to insure that such protection occurs.

H2.1.5.10. Ad Hoc Committees of the Faculty

The faculty, through its Senate, may create *ad hoc* committees to deal with specific issues.

Note: Faculty Committees may invite non-academic colleagues (staff, administrators, or academic leaders) to join specific meetings of Faculty Committees on an *ad hoc* basis or to serve as members on *ad hoc* committees or task forces in order to draw on the expertise of colleagues in specific areas. Individual committees may extend voting rights to non-faculty members, as appropriate.

H2.1.5.11. Faculty Athletics Representative (FAR)

The role of the Faculty Athletics Representative (FAR) is mandated in NCAA legislation, Bylaw 6.1.4. The FAR serves as a point of contact between their campuses and the NCAA in the regular conduct of intercollegiate athletics programs. The FAR is also recognized as the representative of the institution and its faculty in the relationship between the NCAA and the local campus. (NCAA Bylaw 4.02.2). The FAR is one of five institutional representatives authorized to request an NCAA legislative interpretation on behalf of the institution. The University President, Director of Athletics, Senior Woman Administrator, and Compliance Coordinator (or their designate) are the other individuals permitted to do so. (NCAA Bylaw 5.4.1.2.1.2)

In keeping with NCAA regulations, the University president designates a faculty member to serve as FAR for the University and its Athletics Programs. The FAR serves a three-year term, renewable at the discretion of the president. Specific responsibilities of the FAR are determined by the University, but the FAR serves as a liaison between the University's constituents and the Athletics Department and represents the University at NCAA conferences.

According to one of FAR's *Guiding Principles*, the role of the FAR is "to ensure that the academic institution establishes and maintains the appropriate balance between academics and intercollegiate

athletics."
The FAR at Saint Martin's University is expected to familiarize themselves with all aspects of NCAA membership by the University and with the FAR's *Guiding Principles*, and to report in Faculty Assembly about their role in serving as FAR.

H2.1.5.12. Adjunct Faculty Committee

The Adjunct Faculty Committee recommends to the Faculty Senate changes in institutional practices to better serve, include, and support adjunct faculty. The AFC consists of the following elected representatives from among the Adjunct faculty who are currently teaching courses, and from the regular tenure track faculty: three Adjunct faculty elected by their colleagues, and two Regular faculty members elected by their colleagues.

Faculty representatives serve three-year terms. The Committee elects its chair from among its members.

H2.1.5.13. Anti-Racism Committee

The Anti-Racism Committee recommends to the Faculty Senate changes in institutional practices to better hire, serve, and retain BIPOC faculty; to support faculty professional development on anti-racism; and to support the continued development of anti-racist curriculum. This faculty committee will coordinate with the university DEI committee.

The ARC consists of the following representatives from among the faculty: three members elected from the College of A & S, one each from the other three Colleges/Schools and two positions elected from the faculty at large. As a minimum two of the ARC members must be tenured. Representatives serve three-year terms with no limit on the number of terms.

H2.2. Faculty (Self) Governance: College/School Level

H2.2.1. College/School Assembly

The Faculty in each College/School typically meets in Assembly twice a semester or as needed during the academic year, in addition to Special Assemblies as may be convened by the dean for important matters that require input from the full faculty. Colleges/Schools elect**, for a one-year term,** a faculty chair**, a tenured member of the Regular Faculty** who works closely with the dean in setting an agenda for the College/School Assembly, and who serves as chair *pro tempore* in leading the Assembly.

College/School Assembly is typically called by the College/School Chair of the faculty in consultation with the dean. The dean may call a Special Assembly of the College/School to discuss matters of importance to the faculty or to disseminate vital College/School information; they will typically coordinate with the College/School chair in calling faculty to a Special Assembly.

New programs and academic initiatives proposed by a College/School are formally approved by the faculty in College/School Assembly except when the faculty elects a College/School EPCC to undertake this task on its behalf. New programs, majors, and academic initiatives, when proposed by the faculty in a College/School, are forwarded, along with a recommendation by the dean, to the University EPCC after approval <u>either</u> by the faculty in College/School Assembly or by their representatives on College/School EPCC. New courses may be forwarded directly to the University EPCC with endorsement

by the department chair/program director and the dean. When the EPCC passes a proposed new course, the proposal is forwarded to the faculty for comment. If there are objections, the EPCC works with the interested parties in order to find a solution; if a solution cannot be reached, the matter is referred to the Senate.

When the committee passes a proposed new program or a significant program change requiring the Board of Trustees' approval, the proposal is forwarded to the Senate for approval. The provost makes final decisions on recommendations made by EPCC and forwards these, as appropriate, to the University president or Board of Trustees

H2.2.2. College/School Committees

College/School faculty may create committees to undertake the work of the College/School. E.g., a College EPCC which approves and forwards new program and course proposals to the University EPCC, and College/School tenure and promotion committee which forwards their recommendations regarding faculty promotion and tenure to the Advancement Committee.

H2.2.3. College/School *Ad Hoc* Committees and Task Forces

The dean and faculty in the Colleges/Schools may create *ad hoc* committees and task forces.

H2.2.4. Departmental and Cross-departmental Programs

Academic programs, whether within a department or cross-departmental or cross-College/School are overseen by faculty directors.

Programs within a department may be led by a director who is appointed by consensus within the department and reports to the department chair. Typically, program directors are not given release time. Exceptions are approved by the provost.

Cross-departmental academic programs (E.g. Gender and Identities Studies) are led by faculty program directors who are elected by faculty in the appropriate program or appointed through consultation between the dean of the College/School with faculty who teach in the program, if the program's disciplinary expertise and faculty draw from within the College/School.

Academic Programs which serve students, staff, or faculty in more than one College/School or whose disciplinary expertise draws from multiple Colleges/Schools report to the provost and faculty directors of these programs are elected by faculty in the programs or appointed through consultation between the provost and faculty / University leaders, as appropriate.

Faculty program directors are typically appointed to three-year renewable terms, and may, in consultation with the dean and provost, receive compensation in the form of stipends or release time. The processes for appointment, review, and renewal of faculty program directors are outlined in the *Bylaws* 2.2.3.

Co-curricular support offices which serve students and faculty across the University may be led by program directors who are academic staff (E.g. Learning, Writing, and Advising Center; Office of

Disability Services; etc.). Academic staff who serve as program directors are appointed to five-year renewable terms; they undergo annual review.

H2.2.5. Academic Departments

Academic Departments are units within a College or School with faculty members who typically share disciplinary expertise in a single discipline or a cluster of related disciplines. Faculty members are typically appointed to departments within a College or School. Courses are generally given within a department, and often named for the Department (E.g. ENG 200). Departments typically offer majors and minors in their areas of expertise. Some majors and minors incorporate interdisciplinary expertise across multiple departments (E.g. Gender and Identities Studies or Interdisciplinary Studies).

H2.2.5.1. Department Chairs

The department chair serves as the academic leader within their department. Departments elect their chair, typically from among the tenured regular faculty and recommend their appointment to the dean of the College/School, who finalizes the appointment. Under special circumstances, a department chair may – with the consent of the majority of the department's regular faculty – request that the provost and dean approve the hiring of the new faculty member to serve as department chair.

Department chairs, including those initially hired *as* chairs rather than elected, are appointed to three-year terms and are subject to evaluation by the department faculty and dean prior to expiration of their appointed term and may be reappointed, in accordance with procedures outlined in the *Bylaws*. The selection and reappointment process for department chairs is outlined in greater detail in the *Faculty Bylaws,* 2.2.3.

The governing responsibilities of chairs extend only to their academic departments.

As members of the College/School Council of Chairs, chairs serve as an advisory body to the dean of their College/School; they may be called to meet in an advisory capacity to the provost in a University Council of Chairs.

Department chairs typically receive a one course reduction in teaching in each semester of the academic year.

Since the responsibilities which attend to chairing a department extend beyond the academic year and into summer months, chairs may receive an administrative stipend for their summer responsibilities.

Chairs are voting members of the faculty**.** They retain in-load teaching responsibilities while undertaking departmental administrative responsibilities, carry both instructional and administrative duties, and come from and return to regular teaching at the conclusion of their term as chair.

All departments undertake periodic program review. The program review cycle of seven years and procedures are detailed in the *Faculty Bylaws* 2.2.4. Curricular review is undertaken periodically as needed by departments and programs.

Department chairs

- In consultation with department faculty, review department-specific tenure and promotion guidelines every five years, and submit any proposed revisions to TAP and dean (who will forward to the Advancement Committee for vetting and the provost for approval/implementation).

- Oversee and coordinate faculty advancement, including first year mentoring and review, class visitations and faculty consultation regarding teaching effectiveness; professional development and service; lead department members' Third-Year Reviews, and provide obligatory letter for department members' advancement file~~s~~.

- Schedule and chair monthly department meetings during the academic year; department meeting minutes or action items/resolutions reached by the faculty in meetings are retained on file in the department and a copy of the same is submitted to the Office of the College/School dean;

- Provide general oversight of department business, including communication with students and others regarding departmental programs and curricula; coordinate departmental classes (including scheduling, faculty load and course assignments); lead and delegate responsibility, as appropriate, for periodic program reviews and curricular and new program proposals; monitor quality and methods of instruction; lead departmental accreditation and support College/School or institutional accreditation activities; and encourage faculty support of admission activities;

- Approve extension and online curriculum as well as faculty appointments on Extension campuses by coordinating with the dean of their College/School;

- Develop class schedules and oversee the monitoring of instruction;

- Lead department faculty in recruiting tenure-track faculty;

- Recruit and orient Adjunct faculty;

- Guide new tenure-track appointees and advise new tenure-track faculty on matters pertaining to academic reviews, and advancement; because the chair has to also evaluate new faculty members annually, they a responsible for appointing an additional mentor from outside the department who can function as an advisor and guide and provide supportive and constructive guidance to new appointees (see Mentoring Program H4.2.);

- Chairs also supervise and assist Adjunct faculty;

- Oversee program review every seven years and internal curricular review periodically;

- Appoint faculty search committees in consultation with the dean and communicate to the dean departmental recommendations for hiring faculty;

- Work with the dean to manage department staffing;

- Oversee post-tenure faculty development and reviews;

- Promote academically-centered co-curricular activities (E.g. disciplinary honor societies);
- Ensure that majors and minors are appropriately advised; also ensure that advising and other duties within the department are evenly distributed among its members;
- Advocate for the department to the dean and communicate on behalf of the department to the dean; communicate on behalf of the dean to colleagues within the department and ensure that all faculty are up-to-date on developments in the College/School;
- Coordinate library resources;
- Manage the departmental budget and resources;
- Attend budget training sessions as needed;
- Implement administrative directives, as appropriate;
- Monitor the teaching load of the faculty members in the department and ensure internal equity among its members;
- Work with department faculty on completing Assessment Reports;
- Assist the dean in completing Accreditation Reports for the College/School;
- Function as the first level of appeal by students in cases identified by their department faculty as constituting a violation of policies on academic dishonesty and all student complaints, including grade appeals and academic grievances involving faculty and staff in their department; the appeals process as it moves from department Chair to College/School dean to provost is outlined in greater detail in the *Student Handbook*;
- Respond to requests from the Offices of the Dean and Provost, as appropriate, and ensure that the department and its faculty meet important College and University deadlines (E.g. submission of grades, syllabi, travel requests and receipts, etc.).

Chairs carry responsibility, on behalf of their department and its faculty, for proposing, approving, and representing new courses, programs, and initiatives from their departments.

H2.2.6. Departments / Programs in Receivership

Academic receivership occurs when control of an academic program, department, division, or College/School is removed from the faculty within that unit and an outside chair or director or dean is entrusted by the College/School Dean or provost or president, as applicable, to lead the unit, or when the College/School dean or the provost undertakes direct leadership of the unit.

Academic receivership represents an extraordinary rather than typical situation because it runs counter

to the faculty's responsibility for self-governance, and it is frequently preceded by warning signs that an academic unit is either becoming dysfunctional or lacks personnel who can successfully lead it. Moving a unit into receivership is most common at the programmatic or departmental level, but in particularly extraordinary circumstances, a Division or College/School may be placed in academic receivership by the provost or University president.

Procedures for placing a program in receivership are outlined in the *Faculty Bylaws* 1.1.4.

H2.2.7. University Lectures

Faculty members also organize, lead, and contribute to a number of University-wide Lecture Series, which are listed on the University's web site.

H2.3. Shared Governance

Participation and sharing in the governance of the University is a professional obligation and responsibility of the regular faculty.

H2.3.1. University Committees with Faculty Representatives

With the exception of the Academic Standards Committee and the Study Abroad Committee which are Advisory to the provost, all other University Committees function in an Advisory capacity to the University president and typically contain appointed as well as elected members.

H2.3.1.1. Academic Standards

The Academic Standards Committee reports to the provost and advises on, monitors, and assesses academic standards, evolves and recommends policies and procedures as they pertain to academic standards, advises on the admission of probationary students, reviews each semester the progress of all students who have been placed on academic probation, considers petitions requesting an extension of academic probation, considers student petitions for reinstatement to the University, recommends suspension of students who fail to comply with conditions of academic probation as well as dismissal of students who have consistently failed to maintain the academic standards of the University, evaluates credit for experiential learning, and makes recommendations on awarding credit for prior learning to the provost.

NOTE: Any proposed changes in the academic policies and academic standards prescribed under the Academic Policies and Procedures section of the official University Catalog are passed to the EPCC for consideration/implementation (see H2.1.5.3).

The AS Committee consists of regular faculty elected from the Colleges and Schools as follows: two members from the College of Arts & Sciences; one member each from the College of Education, School of Business, and the School of Engineering. At least one member of the committee must be a faculty member who teaches graduate courses. Elected faculty serve three-year terms before rotating off the Committee prior to being eligible for re-election for subsequent terms. Additionally, the chair of EPCC serves on the committee and acts as a liaison between the committees on policy issues requiring EPCC

review. The Chief Student Affairs Officer or their designee, the Chief Enrollment Officer, the Associate Dean of Saint Martin's- JBLM, the Associate Dean of International Programs, and the University Registrar also serve on the Committee. The provost additionally appoints one academic staff member/advisor (typically the Director of the Advising Center) whose primary responsibilities involve co-curricular support, to serve on the Committee (term of staff member). The provost serves on the committee as a non-voting member.

The AS committee is chaired by a regular faculty member. All members exercise full voting rights on the committee, which makes its recommendations to the provost, who makes final decisions.

H2.3.1.2. Athletics Advisory Board

The AAB at Saint Martin's University is appointed by the University president and is comprised of faculty, staff, and students. It is tasked with promoting an understanding of intercollegiate athletics among faculty and other members of the community. The AAB is strongly encouraged by the National Collegiate Athletic Association (NCAA) and the Faculty Athletics Representative Association (FARA).

H2.3.1.3. Behavior Intervention Team (BIT)

The charter and responsibilities of BIT, which attends to student welfare, are detailed in the *Employee Handbook*. Two faculty representatives are appointed by the Chief Student Affairs Officer from among faculty with expertise/scholarship in the area of mental health/psychology/counseling and/or social work.

The responsibilities of BIT do not extend to faculty. Faculty issues are resolved through appropriate channels described here (such as the grievance process) and in the *Employee Handbook*.

H2.3.1.4. Financial Aid Committee

The Financial Aid Committee is a policy-oriented committee which may, at the discretion of the Financial Aid Director, serve as a practice-oriented committee.

As a policy-oriented committee, members review and advise on the development of the philosophy and policies that govern the administration of financial aid. Members review and evaluate the success of the aid program and make budget projections and recommendations for continued support. The committee also looks at statistics and research that benchmark its activity against national and local norms, and considers the degree to which the aid program approaches standards such as NAIS's *Principles of Good Practice for Financial Aid Administration*. It also assesses the program's current and future budgetary needs.

The committee may be used by the Financial Aid Director as a practice-oriented committee to guide decisions on applications. If called upon to evaluate applications, the committee applies the policies of the aid program to ensure equitable and fair treatment of each applicant. It considers unique and special circumstances that may require exception to policy, performs calculations of financial aid awards, protects the confidential information families provide, and tracks and compiles critical statistics and other research relevant to the aid program. The committee also makes recommendations for improving the processes and funding that drive the aid program. The committee typically meets as

needed.

Members:

- Director of Financial Aid (Chair)
- Dean of Admissions
- Chief Finance Officer
- A Dean, appointed by the Provost
- Two elected members from the Regular Faculty

Faculty representatives serve two-year terms.

H2.3.1.5. Institutional Effectiveness and Assessment Advisory Council

The Office of Institutional Effectiveness strives to instill and promote a culture of a University-wide, comprehensive, and unified continuous accreditation and institutional research and assessment and ownership of this commitment by all members of the community at all locations and in all programs.
The Office is led by the Chief Institutional Effectiveness Officer who is appointed by the University president and may report to the president or provost. The individual appointed to lead this office typically appoints and relies on an Advisory Council drawn from the University's faculty and staff. The Council serves in an Advisory capacity to the Office of Institutional Effectiveness and assists in developing University-wide policies and processes with regards to regional accreditation, specialized accreditations, institutional and program-specific assessment, and institutional research.

H2.3.1.6. Strategic Enrollment Team

The Strategic Enrollment Team brings together University leaders who are directly responsible for recruiting students to SMU: The Dean of Enrollment; the Associate Dean of Graduate Admissions; the Dean of the Saint Martin's University-JBLM; and the VP for International Programs and Development. Other University members who may be invited to join the Team at its meetings include the Athletics Director, the Director of Admissions, the Transfer Admissions Counselor, and faculty leaders directly involved in supporting recruitment efforts, such as the Director of Nursing, and College/School deans. The Team is co-chaired by the University president and provost.

The Strategic Enrollment Team examines and strengthens recruitment effort and vets recruitment goals set by each constituent and office. The Team ensures that the recruitment goals of the University are consistent with the University's overall strategic goals and aspirations, both in the short and long term.

H2.3.1.7. Study Abroad and other Travel Advisory Committee (SA-TAC)

SA-TAC studies and recommends to the provost, and Chief International Programs Officer, policies and standards for the creation, deletion, and periodic review of University-sponsored academic programs involving domestic and international travel abroad and advises the provost on academic policies concerning study abroad, the Chief International Programs Officer regarding scholarships for study abroad and other matters relating to travel, and the Chief Student Affairs Officer regarding policies and standards governing service learning programs.

Specifically, SA-TAC

1. Considers and recommends the creation, change, or deletion of study abroad and other travel programs;
2. Develops and supports the implementation of academic policies pertaining to teaching and studying abroad;
3. Evaluates faculty- and staff-led program proposals and coordinates student evaluations of these programs;
4. Reviews student scholarship applications and recommends scholarship allocations
5. Reviews proposed study abroad programs and recommend their approval to the Chief International Programs Officer;
6. Develops and disseminates written guidelines and policies regarding the health and safety of SMU students, faculty, and staff studying abroad or conducting university sponsored research or business in another country;
7. Periodically reviews and discusses health and safety policies pertaining to Study Abroad and other travel, and recommends appropriate policy revisions and actions to the Provost and Chief Student Affairs Officer;
8. Reviews and makes recommendations on study abroad policy and program issues as requested by the Chief International Programs Officer, the provost, or University president.

Membership on SA-TAC consists of the following:

- Provost
- Chief Student Affairs Officer
- Chief International Programs Officer
- Two Deans appointed by the Provost
- Associate Dean of Students
- Registrar
- Coordinator/Director of Study Abroad (serves as chair)
- Director of International Programs
- Director of Financial Aid or their designee
- Director of Counseling and Wellness Services
- Three faculty representatives

The three faculty representatives are elected from among faculty members who have participated in Study Abroad / international programs. Faculty representatives and the two deans serve two-year terms and must step off the committee for a year before being re- appointed to it.

H2.3.1.8. University Budget Committee

The Budget Committee is Advisory to the University president.

The committee reviews the annual budget and the proposed budget for the following year and makes recommendations regarding funding priorities in keeping with the University's Strategic Plan and goals.

In making budgetary recommendations, the committee seeks to develop a comprehensive understanding of the resource issues facing the University and the context in which budgetary decisions are made, and identifies core values and principles which inform decision-making with regard to the allocation of resources. Committee members help to develop the budgetary process and make recommendations about budgetary allocations as they move from unit needs to allocations by the

Office of Finance, which consults with cabinet members and the University president, before submitting the budget for approval by the president and then by the Board of Trustees.

The Budget Committee is composed of the following members:

- Vice President for Finance – Co-chair
- Provost – Co-chair
- One additional member of Cabinet appointed by the University President
- One College/School Dean appointed by the Provost
- Four Faculty representatives elected at large by the full faculty; faculty representatives will typically consist of one from each of the Colleges/Schools unless the Faculty elects to present more than one representative from the School of Business because of the specific expertise called for in representation on this committee
- The Dean of the Saint Martin's University-JBLM and the Associate Dean of Graduate Admissions will alternate their service on the Committee in two-year terms
- Three staff members appointed by the University President upon recommendation by members of Cabinet, with one member drawn from each of the following divisions: Academic Affairs; Student Affairs; Office of Admissions

The four Faculty and three Staff representatives serve three-year terms and rotate off the Committee for the next year before becoming eligible for reappointment to the Committee. This process captures the University's intent, through the course of several years, to inform many members of the community about the budgeting process.

The Committee Co-Chairs will typically call meetings of the University Budget Advisory Committee, as needed.

H2.3.1.9. University Council

The University Council is an *ad hoc* advisory body convened by the University president. Members are drawn from the University's Trustees, administrators, academic leaders, faculty, staff, and students. The Council serves as a communications forum on news and information of importance to the University community.

H2.3.1.10. University Retention Committee

The University Retention Committee is a University committee appointed by, and reporting to, the University president. URC may be chaired or co-chaired by the Chief Enrollment Officer, the Chief Student Affairs Officer, the provost, and/or the president's designee.

Members on URC include the Chief Admissions Officer, the Chief Student Affairs Officer, the Dean of the Library & Learning Resources, the Registrar, the Dean of Students, the Director of the Learning Center and/or the Advisor of Studies, a College/School deans recommended by the provost, the Chief Officer of International Programs and Development, the Director of Financial Aid, the Director of Institutional Research, the Director of Assessment & Accreditation, and three faculty members elected at large by the full faculty. Elected faculty members must be drawn from different Colleges/Schools, serve a two-year term, and rotate off the committee for one year before becoming eligible to be reappointed to the Committee.

URC aims to ensure that:

- students are supported and challenged to be successful at Saint Martin's
- the University is attentive to student outcomes
- the University is effectively accomplishing its educational and social mission
- the University's reputation continues to expand as a direct consequence of attention to student success
- the University continuously extends its capacity to recruit exceptional students
- the University is regularly responsive to an evolving higher education landscape and the needs of new generations of students

The committee analyzes data (retention, withdrawal, housing, campus climate, student satisfaction, etc.) and implements strategies to enhance retention and graduation rates. The committee also recommends long-range strategies to address the ongoing needs of all students and partners with other campus constituencies on its core charge of implementing strategies to improve retention and graduation. The committee thus ensures that the University provides every student with an intentional and dynamic academic and social experience that facilitates their timely completion of a degree.

H2.3.1.11. Veterans Support Committee (VSC)

VSC supports the transition of veterans from military to civilian life, and guides veterans as they embark on or continue their university experience. Working with faculty, staff, departments, and student organizations, VSC ensures that SMU is committed to enabling veterans to succeed in their educational goals.

The committee advances policies, programs, and opportunities for veterans and is comprised of faculty and staff from across the University and is appointed by the University president or Chief Student Affairs Officer.

H2.3.1.12. Student Affairs Committee

The committee reviews policies affecting student life and recommendations for improving conditions and policies as they affect student affairs; recommends policies governing extra-curricular activities; and serves as a liaison body among University constituencies on matters such as student publications, social conduct, and the student role in University governance.

Membership:

- Dean of Students
- Two faculty members (elected at large for two-year terms)
- One staff member appointed by the Dean of Students
- Two undergraduate students and one graduate student elected by the Student Senate

H2.3.1.13. Ad Hoc *University Committees/Task Forces with Faculty Membership/Participants*

The University president, provost, or other vice presidents may form *ad hoc* committees or task forces to attend to University initiatives, functions, and areas that require particular attention and lie outside the scope of standing or existing committees.

Faculty representatives to these committees or task forces may be appointed by the person creating the committee or task force and/or elected by the faculty.

In seeking to staff these committees or task forces, the person initiating the *ad hoc* body will inform the faculty president of the charge of the body, the number of faculty representatives sought, the number of faculty appointed directly to the committee/task force, and the terms of service of all appointed and/or elected faculty representatives.

H2.3.2. Board of Trustees Committees with Faculty Members/Attendees

At the invitation of the chairperson of the Board of Trustees and University president, the faculty may choose to serve on select standing as well as *ad hoc* Board Committees as requested. For selection procedures, see B2.3.3

H3. FACULTY ADVANCEMENT

COVID-19 VIRUS IMPACTS ON TENURE AND PROMOTION: The Faculty Advancement Committee will take into account the effects of the pandemic's disruption to scholarship, service, and teaching, affecting all faculty members during this time.

Tenure-track faculty employed or hired by Saint Martin's University during the Spring 2020, Fall 2020, or Spring 2021 semesters have the option to delay tenure and promotion for one year. In consultation with the faculty member's dean, the eligible faculty member must provide a written request for this extension to the Provost/VPAA by December 1, 2021. A request to stop the tenure clock for one calendar year will permanently change the effective hire date, with subsequent timelines affecting tenure, promotion and sabbaticals referencing the effective hire date. The faculty member may also choose not to delay the timelines, keeping the effective hire date as stated in the letter of hire.

Faculty Advancement occurs both through the progress of faculty from tenure-track to tenured appointments and through their progress in rank from assistant to associate and full professors. Full-time tenure-track faculty members typically apply for promotion in their sixth year of full-time service (in their eleventh semester of full-time service) at Saint Martin's University. Faculty may apply sooner than in their sixth year for tenure and promotion, provided they have the support of their chair and department. Part- time tenure-track faculty must meet with their chair and dean to determine equivalency based on the percentage of their annual teaching load.

Ranked tenured and tenure-track faculty members enhance the University's academic community, extend the University's mission and commitment to serving the educational needs of students, and ensure the faculty's continuing enrichment of teaching and learning.

Ranked tenure-track and tenured faculty members lead the faculty's self-governance, coordinate with academic leaders on faculty governance, and contribute towards overall governance of the University by collaborating with University leaders and by electing representatives to serve on inter-College/School and University as well as board committees and task forces.

A foundation of Benedictine hospitality and stability, the principle of mutual respect, and commitment to intellectual rigor underpin the University's attention to advancing, tenuring, and developing faculty through the tenure and promotion process and beyond. Tenure and promotion are granted by the
University's Board of Trustees upon recommendation by the University president. The process for the granting of tenure and promotion begins with a recommendation by the home department of the faculty member, the College/School tenure and promotion committee, the dean of the College/School, the Advancement Committee, and the provost who makes their recommendation regarding tenure and promotion to the University president. The process is detailed in *Bylaws*, 3.

H3.1. Tenure

Saint Martin's recognizes the virtue of the tenure process as promoting academic freedom and ensuring the stability of our academic community in the Benedictine tradition as scholars dedicated to excellence in teaching, learning, and scholarship. Faculty may apply for tenure and promotion simultaneously.

The tenure process assures commitment by the institution and the individual to the ideals of academic freedom, integrity, and stability, as well as to high levels of competence, professionalism, and service. It is founded on the premise that the institution is dedicated to its Faculty and their development, and that the faculty is dedicated to the ideals and objectives of their academic specialties, their individual and collective development as teachers and scholars, and the mission of the University.

Tenure determinations are founded on professional evaluations of individual faculty members by their academic peers, beginning at the level of the department before advancing at the level of the College/School, and subsequently at the level of the University. In evaluating their peers, faculty are guided by a common purpose and the principles of academic excellence and academic integrity demonstrated through effective teaching, scholarly engagement, and University service.

The awarding of tenure signifies recognition by peers and the University of a faculty member's strength in teaching, promise as a scholar, and commitment to serving the University community as well as their academic discipline and the academy itself. It also signifies a commitment by the University to the continuing employment and development of the faculty member, subject to the conditions outlined elsewhere in this *Handbook*.

H3.2. Promotion

The promotion system recognizes the continuing development of faculty as teachers and scholars and rewards excellence in teaching, scholarship, and service, while continually
extending faculty commitments to these core activities through a regularized system of attention and support by their peers and academic leaders.

Promotion in rank is accompanied by an increase in the faculty member's salary.

H3.3. Salary and Rank

The University has evolved a step system by which longevity of service overall and within ranks is recognized through annual increases. While differences in salary exist among the University's Colleges and Schools – in part to recognize differences by discipline -- step salary increases typically occur every year, effective at the start of the following year.

If financial reasons prevent the University from awarding step increases in any given year, increases will accrue for that year and will be included in the awarding of a step increase in the following year.

Step increases in salary do not accrue during leaves of absence and periods of absence from teaching at Saint Martin's University other than sabbaticals or other approved academic leaves. Subject to the availability of financial resources, the faculty entrusts trustees and University leaders to ensure that faculty salaries, benefits, and workloads become competitive in the future relative to that of faculty colleagues at SMU's peer and competitor institutions.

H4. FACULTY DEVELOPMENT

H4.1. Conferences and Research / Development Support

The faculty travel program supports the development of faculty members as teacher scholars and scholar teachers by enabling them to participate and present their work in meetings of learned societies in their disciplines and areas of primary expertise. Faculty may apply for travel funds to support their research interests, to cultivate expertise in their areas of disciplinary expertise, and to develop expertise in areas such as the SMU Core curriculum or the first-year experience. First priority of the committee is to support the faculty member's research interests and presentations or participation at conferences.

Travel funds are administered through the Faculty Development Committee as well as by deans of the various Colleges/Schools, and the provost.

H4.2. Mentoring Program

Active mentoring has been shown in numerous studies to contribute significantly to a new faculty member's career development and professional satisfaction. Reflecting the University Mission and the Benedictine virtue of hospitality, SMU's Mentor Program is designed to:

a. Promote excellence in teaching, scholarly activity, and service;
b. Support new faculty members in their academic orientation to their College/School and University;
c. Offer new faculty members a collegial and risk-free environment in which to develop and refine their professional growth and development.

Mentoring of new faculty occurs through their probationary years as a tenure-track faculty member, both formally and informally. The department chair functions as a mentor to new faculty through their leadership of the department. Because chairs also evaluate and assess the development of tenure-

track faculty members, the chair also appoints one or more additional mentors from within and/ or outside the department who can serve as advisors and guides to new faculty.

Deans are encouraged to work with chairs to evolve an evaluation of the mentoring program and its impact on faculty development and on conducting workshops on mentoring.

H4.3. Fourth-Year Teaching Reduction for Tenure-track Faculty

Tenure-track/tenure-eligible faculty who successfully complete their third-year review, and are eligible to apply for tenure in their sixth full year of teaching in accordance with the terms of the current *Faculty Handbook*, may reduce their teaching load to a total of eighteen semester credits during their fourth year in order to advance their scholarship in preparation for presenting their tenure portfolio in their sixth year. The reduction to eighteen semester credits for the academic year may be taken by reducing one's load in a single semester or by spreading the reduction through both academic terms with nine credits of teaching in each.

Tenure-track faculty members appointed between 2010-11 and 2013-14, (who are subject to the *Handbook* under which they were hired in considerations of tenure and promotion) who wish to apply for tenure and promotion under the terms of this *Handbook* and *Bylaws* may extend their eligibility to apply for tenure by one academic year, and request this reduction of the provost with the approval of their chair and dean, in any year prior to submitting their tenure application. Eligibility for this reduction is restricted to regular faculty appointed to teach the current standard load of twelve semester credits each semester.

Approval of the reduction is subject to presentation of a credible research agenda, promise of successful progress on the project as demonstrated through previous accomplishments, the ability of the faculty member's department to meet its teaching obligation to students, and successful recommendation by the department chair and dean of the College/School. Tenure- track faculty who receive this reduction must return to full-time teaching in subsequent years.

H4.4. Sabbatical Leave

Sabbatical leaves are made available to regular faculty for the purpose of enabling them to engage in creative, intellectual or artistic activities appropriate to their discipline (i.e., research, writing, etc.). Sabbatical leaves are approved by the University president, based on recommendations by the Advancement Committee and the provost who may consult with the faculty member's dean and/or department chair.

H4.5. Post-Tenure Development and Review

The University regards the ongoing development of faculty members as teacher-scholars and scholar-teachers, both prior to tenure and post-tenure, and at all ranks, as vital to sustaining the life of the University and its commitment to academic excellence.

Post-tenure development, review, and renewal begin after tenure is granted, and are founded on an expectation of continued professional growth and productivity in the areas of teaching, scholarship, and service, and ongoing support by the University for the development of faculty members in these areas.

In attending to post-tenure development and reviews of Faculty, in keeping with the mandate of the 2014 Accreditation Standards of the Northwest Commission of Colleges and Universities:

> *2.B.6* All faculty are evaluated in a regular, systematic, substantive, and collegial manner at least once within every five-year period of service. The evaluation process specifies the timeline and criteria by which faculty are evaluated; utilizes multiple indices of effectiveness, each of which is directly related to the faculty member's roles and responsibilities, including evidence of teaching effectiveness for faculty with teaching responsibilities; contains a provision to address concerns that may emerge between regularly scheduled evaluations; and provides for administrative access to all primary evaluation data. Where areas for improvement are identified, the institution works with faculty members to develop and implement a plan to address identified areas of concern.

The University also adheres to the principles articulated by the AAUP in its "Minimum Standards for Good Practice If a Formal System of Post-Tenure Review Is Established" (Appendix F).

The procedures adopted by the faculty and their academic leaders regarding post-tenure development and review are outlined in *Bylaws* 4.5.

H4.6. Unpaid Leaves of Absence

A faculty member may request a leave of absence without pay, for a maximum period of two years, from the provost. Leave requests for any FMLA-qualifying reason will be coordinated with Human Resources to ensure protection of the faculty member's FMLA rights and compliance with the University's FMLA policy.

The leave of absence must be requested by January 15 if the leave is to be activated by August 1 of the same year and by September 15 if it is to be activated by January 1 of the following year. Notifications of approval will be made by March 1 and November 1, respectively. Leaves of absence are approved one year at a time and an extension by the deadlines noted above has to be requested for a second consecutive year of absence.

Faculty members are required by February 1 to notify the provost about their return to work responsibilities in August of that year and by October 1 about their return to work responsibilities in January 1 of the following year after the period of their approved leave. Failure to notify the provost by the designated deadlines may result in the non-issuance of further appointment letters.

During a faculty member's unpaid leave of absence, their office and other allocated spaces, such as a laboratory or library carrel, will be reassigned for use by others by the dean of their College/School.

An approved leave of absence may affect the faculty member's time-line towards an application for tenure or promotion, but will not affect the faculty member's eligibility for continued employment, promotion, or contract renewal as long as the policies and procedures which attend to taking a leave of absence as outlined above are adhered to.

H5. FACULTY DUTIES AND RESPONSIBILITIES

Saint Martin's University subscribes to the *Statement on Professional Ethics* that was adopted by the Council of the American Association of University Professors in April, 1966, approved by the Association's Committee on Professional Ethics, adopted by the Association's Council in June 1987, and endorsed by the Seventy-third Annual Meeting as Association Policy (See Appendix A).

H5.1. General Expectations: Teaching, Scholarship, and Service

Regular faculty at Saint Martin's University have three distinct but essential duties: to teach, to engage in scholarship, and to serve the University and community by engaging in activities such as committee work, recruiting events, student life, and the like. Regular full-time faculty are typically expected to be on campus at least four days a week during each regular semester of the academic year so that they can fulfill their teaching and other responsibilities. Faculty members who teach on multiple campuses during the same semester may divide their on-campus time and their office hours proportionately among different campuses as appropriate**.**

As teachers, faculty members are expected to model integrity, honesty, rational thinking, and open-mindedness toward new and unfamiliar educational experiences. Faculty must not only transmit information, but also guide students into becoming self-learners, and engage students in the greater conversation of scholarship. Faculty must evaluate student work fairly and with sufficient evidence upon which to base those evaluations. Faculty must respect the personal nature of the relationship between student and teacher and avoid exploitation of students for private advantage. Faculty must respect the privacy of students in non-academic matters—unless there is an obvious case of potential imminent harm to the student or others—and to protect their academic freedom.

As scholars, faculty must model for their students the honesty, discipline, and courage of those who seek out and create new knowledge or creative acts. Because as teachers, faculty expect their students to test out their ideas among their peers, so too must faculty. Scholarship goes beyond disciplinary competence and currency and contributes to the marketplace of ideas in specific fields of study or creative production. Although professors may follow outside or remunerative interests, these interests must never compromise their scholarly activity.

As community members, faculty are expected to serve, over the course of their careers, actively and productively on standing or *ad hoc* committees; and to attend and contribute to school/college, the Faculty Senate, Faculty Assembly and University meetings, including Convocations, Baccalaureate Mass, Commencement, employee training sessions, orientations, and workshops. Faculty members are encouraged to volunteer for admission events, to sponsor student clubs and activities, and to contribute to the Benedictine atmosphere, identity, and mission of the University.

Continuing adjunct faculty, such as ESL Instructors, are expected to teach and contribute to the University through service. Research is not expected.

H5.2. Advising

Advising is an integral part of a student's development at Saint Martin's University. The advising process establishes a collaborative relationship between student and Advisor in which the student is supported

and guided in their choice of courses, academic directions, and post- graduation goals. Effective advising encourages students to think critically, seek out resources available within the University, and develop long- term goals and action plans. Effective Advisors enable students to take personal responsibility for exploring options and making decisions. Ultimately, advising allows each student to achieve a meaningful and
successful educational experience at Saint Martin's and a transition to life and work after their formal education. Chairs, deans, and the provost collaborate on ensuring that advising loads are equitably distributed among faculty.

Regular faculty members are expected to serve as Advisors to students who major in their discipline and to function as Advisors to pre-majors as assigned. First-year students who have identified their major in the School of Engineering or the School of Business or the College of Education and Counseling are also assigned to an advisor in their School.

Faculty advisors, appointed by the provost, also advise incoming freshman and transfer students through the Learning, Writing, and Advising Center. ESL Advisors advise students in the ESL program.

Academic advising is an important faculty responsibility. Although the University's policy is that the final responsibility for meeting graduation requirements rests with the student, faculty advisors have an obligation to help direct the studies of advisees and answer questions they may have, including questions about the Core Curriculum and degree requirements. To this end, all faculty members are expected to stay informed on current policies and procedures, have knowledge of the Saint Martin's Core as well as program requirements in a major/minor, be familiar with available student services, and refer students to the appropriate office when necessary. Advisors are also expected to be available to advisees during regular office hours and by appointment.

H5.3. Course Syllabi and Teaching Responsibilities

Faculty must meet their assigned classes at the scheduled times. Changes in the schedule requested by the instructor are approved by the department chair and communicated by the chair to the Registrar. If, for some valid reason, the instructor cannot meet a class, they notify the Registrar and the students of the cancellation of the class. If an instructor must cancel more than one class, they notify the department chair and dean to ensure that arrangements, satisfactory to assuring student progress, are made.

A period of final examinations is scheduled at the end of the semester by the Registrar's Office. No examinations are to be administered to classes during the last regular week of scheduled classes in lieu of the final examination. Final examinations, if given, must be administered at the date and time specified by Registrar. Exceptions to this policy must be approved by the dean.

Faculty members are expected to provide students with course syllabi at the beginning of the semester (also to provide copies to the dean) and to maintain adequate records of student progress and attendance.

H5.4. Evaluating and Grading Students

All courses offered at SMU for semester credits are graded by faculty members. Grades serve as an

evaluation of student work, a means of communicating to students and future employers about a student's performance and potential for further success; a source of motivation to students for continued learning and improvement, and a means of organizing learning in semester cycles in that grades mark transitions in a course and bring closure to it.

Additionally, grading provides students with feedback on their own learning, clarifying for them what they understand, what they don't understand, and where they can improve. Grading also provides feedback to instructors on their students' learning, information that can inform future teaching decisions.

Given SMU's firm commitment to individualized attention to student development, creating assignments for grading, developing criteria for grading and evaluating student progress, providing meaningful feedback on assignments, and grading itself are time-consuming but vital functions within a faculty member's spectrum of responsibilities each semester.

Given the importance of timely feedback to students, all faculty members are expected to submit grades by the required deadlines set by the Registrar in each semester.

H5.5. Maintaining Office Hours

Regular faculty and continuing adjunct faculty members are expected to be available to their students through appointments as well as through regularly-scheduled office hours during the semesters in which they teach. It is recommended that Faculty post a schedule of their office hours and submit a copy of their hours to their dean. Regular faculty members are typically expected to maintain at least five office hours a week. Some office hours, especially in the case of faculty who teach online, may be held online with approval by the department chair and dean. Faculty members who teach on multiple campuses during the same semester may divide their on-campus time and their office hours proportionately among different campuses as appropriate.

H5.6. Attending to Academic Integrity in the Classroom

Faculty members have a responsibility to ensure and promote academichonesty and integrity in their classrooms. The University's policies regarding plagiarism and procedures to be followed in identified cases of academic dishonesty by students are outlined in detail in Academic Catalog.

H5.7. Serving on Faculty and University Committees

All regular faculty members are expected to further SMU's academic mission and the goals of their departments, College/School, or University through service on committees and task forces.

H5.8. Mentoring Junior Colleagues

The interests of departments and the University as well as of individual faculty members are best served when new faculty members are constructively mentored and reviewed.

Constructive mentoring and reviewing of tenure-track faculty helps new colleagues realize their full potential as teachers, scholars, and members of the SMU community. Given all that is at stake, mentoring

tenure-track faculty members is vital work undertaken by seasoned faculty members as part of their commitment to their disciplines, the College, the University, and the Academy. Though the University has adopted a formal system of mentoring, all faculty are expected to pay particular attention to nurturing a "climate of mentoring" for new colleagues in their departments and in the University as a whole so that all members thrive.

Mentors help new faculty members achieve excellence and understand the Saint Martin's University community, including SMU's system of shared governance and culture of academic excellence. Mentors are encouraged to make themselves available to the new faculty member, read /critique proposals and papers, and provide periodic reviews of progress. Mentors also help new faculty members establish a professional network.

The benefits of the University's mentoring program include the retention of excellent faculty colleagues and consequent enhancement of programmatic quality as well as the University's mission and academic goals.

The importance of mentoring to tenure-track faculty as an aspect of faculty development and further details regarding the mentoring program are outlined in the *Faculty Bylaws* 4.2.

H5.9. Annual Summaries

All regular faculty, faculty on continuing appointments, and faculty who are moving from adjunct status to tenure track at SMU submit annual summaries summarizing the spectrum of their professional activities during the course of the academic year to their department chair and the dean of their College/School.
Feedback from chairs and deans regarding annual summaries is especially important in the case of tenure- track faculty as they progress towards tenure. Annual summaries are included in all portfolios submitted for purposes of advancement. Department chairs meet with individual faculty, especially those in their tenure-track years, to discuss their annual summaries alongside other relevant materials such as student evaluations of their courses.

Chairs submit their annual summaries to the dean.

Deans may additionally discuss individual annual summaries with any faculty member as necessary, but must typically include the department chair in this discussion. Tenure-track faculty members may request the presence of another colleague in lieu of the chair. A summary of this meeting in writing should be maintained by the dean and copies of the same should be shared with the faculty member and the department chair.

ESL Instructors in OIPD submit their Annual Summaries to the Chief International Programs Officer, who reviews their annual summaries alongside other relevant materials and shares a written evaluative summary of each instructor with the instructor. The annual summaries and the Chief International Program Officer's annual evaluation are submitted to the provost and become part of the instructor's personnel file.

Further details regarding the submission of annual summaries as well as the process for providing faculty with feedback are outlined in the *Faculty Bylaws* 4.5. & 5.

H5.10. Participating in University Activities and Initiatives

Faculty engagement in service includes attending, supporting, and participating in University activities such as Spirit Day, Scholars Day, Advising Day, etc. ESL Instructors are expected to attend meetings, workshops, and retreats organized by OIPD.

H6. FACULTY CONTRACTS/LETTERS OF APPOINTMENT

Regular full-time and part-time faculty and instructors with continuing appointments at SMU receive letters of appointment which span nine-months, typically from August 16 until May 15 of the following year; faculty members are expected to be available/on campus (see policy in B5.2) and assume responsibilities from Convocation in the fall until Commencement in the spring on days when classes are in session, except for the University's scheduled vacation periods. At point of hire, faculty will be reminded to safeguard their original Letter of Appointment, which must be included in their application for tenure and promotion.

Letters of Appointment specify the following:

Nine-month Salary, salary step, and payment
schedule Faculty Rank:
Tenure Status: Tenure/Tenured
Date of the Third-year Review (if applicable)
Date when eligible for Tenure (if applicable)
Date when eligible for Promotion (if applicable)
Administrative Duties: If applicable, including any attendant reductions and compensation

A regular faculty member's first Letter of Appointment with SMU will also specify whether prior credit has been granted for teaching, based on criteria outlined in the *Faculty Handbook* and *Faculty Bylaws.* All Letters of appointment will additionally direct faculty members to the *Employee Handbook*, *Faculty Handbook*, and *Faculty Bylaws.*

The nine-month contractual salary dates are used by the University to calculate grant-funded releases, summer salaries, and other salary equivalencies as needed.

Faculty members, though required to be on campus from Convocation until Commencement, may elect to use the week prior to Convocation to conduct workshops, consider curricular matters, and other issues related to their work life as teachers and scholars.

Adjunct full-time and part-time faculty members receive contracts for a year, semester, term, or summer session, as appropriate.

It is the responsibility of each faculty member to know and adhere to the University's policies and regulations. Adherence to these regulations is part of the contract of each faculty member. When questions of interpretation of the *Faculty Handbook* arise, clarification should be sought from the Faculty Affairs Committee.

H6.1. Outside Employment

Full-time faculty are expected to devote full-time effort to their responsibilities to the University. However, the University also recognizes the value—both to the institution and to the wider community—of faculty engaging in outside employment (whether uncompensated or compensated) for the purpose of professional development, scholarship, currency in their discipline and/or to opportunity to be of service to other organizations.

H6.2. Consulting

In some academic fields there are opportunities to do consulting work. Such consultancies may be valued by some departments and the University in that they provide experience complementary to that gained through research and contribute to professional growth. Insofar as consulting work is most often akin to outside employment, the guidelines on Outside Employment (H6.1. and B6.1.) are the same.

H7. FACULTY WORKLOAD

Faculty workload is usually described in hours per week of formal class meetings. However, the University recognizes that the academic workload of a regular faculty member encompasses a broader range of professional activities and practice in support of the University's mission and strategic goals. Assignment of an individual faculty member's workload, therefore, takes account of:

(a) Instruction and preparation of courses

(b) Student supervision and instruction in laboratories, studios, and other group settings

(c) Supervision of students in tutorials, independent study, theses, projects, practica, internships, student teaching, etc.

(d) Research or other creative activity and curriculum or pedagogical development

(e) Non-instructional academic activities such as committee service or special leadership assignments

(f) Student advising, mentoring, and counseling

A full complement of the above responsibilities, whose scope may vary in keeping with University needs and a faculty member's particular strengths and interests, constitutes a full- time work load for regular faculty.

Individual faculty members at Saint Martin's University typically carry a teaching load of twelve credit hours each semester, with varying levels of emphasis on one or more of the above responsibilities constituting the balance of their full-time work load.

H7.1. Teaching Load

The faculty teaching load at Saint Martin's is defined in terms of teaching credit hours. A regular faculty member in a tenure-track or tenured role, regardless of rank, typically teaches twenty-four semester

hours each academic year. An adequate definition of a faculty member's full-time workload takes into account the full spectrum of a regular faculty member's professional and institutional responsibilities, which includes scholarship and service to the University community.

Regular faculty in the School of Engineering and other Colleges/Schools who were appointed with a normal commitment of 9 semester credits of teaching each semester will continue to teach in accordance with their Letter of Appointment, subject to their continued commitments to scholarly engagement and University service.

For the purpose of calculating faculty reductions in teaching load as in-kind contributions in grant applications, the University equates release from one course as equal to one-twelfth of a faculty member's annual work load during the academic year, two-courses as the equivalent of one-sixth a faculty member's annual academic year work load, four courses as the equivalent of a faculty member's one-third annual work load, and so on.

For the purpose of calculating full-time equivalency for faculty members in part-time positions/adjunct faculty without professional and institutional responsibilities for scholarship or service, the University uses a formula which is detailed in the *Faculty Bylaws* 7.2. The provost, working in consort with the Faculty Affairs Committee and College/School deans, and subject to the availability of resources as well as attention to the University's strategic and long-term goals, regularly attends to the issue of equity in the overall work loads of faculty members across the University's Colleges and Schools.

H7.1.1. Directed and Independent Studies

Directed study is designed for students who wish to research and study a topic not covered in a course offering or to explore a topic in greater depth. In unusual circumstances, an independent study enables a student to take a course listed in the catalog on an individualized basis.

Regular faculty sometimes teach Independent Studies or Directed Studies with undergraduate or graduate students. The undertaking of Directed / Independent Studies is typically limited to no more than nine semester credits per year per faculty member during the two regular semesters of the academic year.

Directed / Independent Studies are also restricted to regular faculty (whose appointments are continuous), though in special circumstances, an exception to this norm may be recommended by a chair and dean to the provost. After undertaking a total of Independent or Directed Studies totaling 27 semester credits of teaching through the course of several regular semesters (summer teaching of Directed / Independent Studies do not count in this calculation because Summer teaching, including Directed / Independent Studies, are compensated) a faculty member may be placed on a reduced teaching load of nine semester credits (typically three courses) in any semester following such accumulation. It is the faculty member's responsibility to keep track of independent/directed studies; faculty members are encouraged to include such teaching in their Annual Summaries. If a faculty member accumulates enough such credits for two or more course reductions, they may not take more than one per semester. This policy only applies to independent/directed studies taught since fall 2014.

The above does not apply if Independent or Directed Studies are compensated within a School or College or if they are part of a faculty member's in-load teaching during the academic year; such an arrangement should constitute an exception rather than the norm and should be approved by the provost in each instance. No credit towards a release will accrue in these cases. The above policy does

not apply to internships or other kinds of supervised co-curricular assignments.

Directed / Independent Studies when they are out-of-load during the academic year, because they constitute teaching, are calculated towards a reduction to be activated at a later date.

Faculty loads may not, however, typically fall below nine semester credits in a regular semester; therefore, faculty members on already-reduced loads of nine or fewer semester credits in a semester have to exercise their right to a reduced teaching load – resulting from teaching a series of Directed / Independent Studies – to the semester during which they return to their standard teaching load of twelve semester credits each semester. Accumulated DS / IS credits never expire and may be accumulated to gain two continuously reduced semesters of teaching; credits may not be applied for more than one course reduction in each semester.

H7.2. Teaching Load Reductions

H7.2.1. Approved Reductions in Teaching Load

The University may request that a faculty member assume non-teaching activities in general service to their Department, College/School, or University. If this involvement is significantly more extensive than would normally be expected in general service to the University, the teaching load of the faculty member may be reduced.

Examples of such responsibilities resulting in approved reductions include:

- Director of the First (and Second) Year Experience: teaching typically reduced by 3 credits each Semester
- Director of the Center for Teaching and Scholarship: teaching reduced typically by 6 credits each Semester
- Director of the SMU Core: teaching reduced typically by 6 credits each semester

Such a request on the part of the University is typically agreed upon by the faculty member, the department chair, the dean, and the provost. Faculty who receive reduced loads may not teach more courses than the reduced load. In exceptional circumstances, the provost may approve an exception to this rule. Reductions in teaching are subject to annual review and adjustment by the Provost, as appropriate.

In any event, no regular faculty member should typically, as a consequence of undertaking other service or administrative commitments, reduce their load below 6 semester credits in any semester. Faculty and academic leaders are discouraged from assigning dual responsibilities to individuals, both of which constitute significant service to the University. Reduction below 6 teaching credits in any semester of the academic year re-classifies the faculty member as an administrator/academic leader for the academic year. Exceptions to these standards and general best practices have to be approved by the provost.

H7.2.2. Unplanned Reductions in Teaching Load

Sometimes, classes that are planned and scheduled may under-enroll and have to be canceled. In the case

of regular faculty members with a normal full-time teaching commitment of twelve credits for the semester, if this occurs, the dean of the College/School will examine the total number of enrolled students in a faculty member's full portfolio of classes and present this information to the provost. If the total enrollment in a faculty member's other three courses totals 54 or more students, the provost may approve the faculty member to carry a reduced three-course load in the semester during which one of their courses has to be canceled due to under- or non-enrollment, providing that this is an occasional rather than regular occurrence.

If the total number of students in the faculty member's other courses is below 54, the faculty member will collaborate with the department chair and the dean to make alternate arrangements such as teaching another course (thus reducing the department's reliance on adjunct faculty), teaching a course in the summer without additional compensation, undertaking significant administrative / College / School responsibilities if these are available, or performing comparable other responsibilities, as appropriate.

In the case of faculty members in the School of Engineering who normally carry a load of nine semester credits, the dean of the school may give the affected faculty member a choice between teaching a summer course for no additional compensation and or carrying a load of 12 semester credits in the semester immediately following the one in which the faculty member's under-enrolled class had to be canceled, or other comparable options, as appropriate. If circumstances permit and the need exists, the dean may, with approval by the provost, request that the faculty member undertake significant administrative / school responsibilities, such as writing the accreditation Report, in lieu of the canceled class. The same applies to individual faculty members in other Colleges/Schools who were appointed with a normal semester load of nine semester credits.

H7.2.3. Grant-funded Reductions

Faculty members are encouraged to include course-load reductions as part of their budget lines on grant applications. The University's Grant's Officer or the Provost's Office will provide guidance and the formula to be used on grant submissions. Course releases resulting from successful grant applications do not normally reduce a faculty member's obligations in advising, committee service, or ongoing responsibilities within their department or College/School.

H7.3. Teaching Overloads

Regular faculty typically do not undertake additional teaching in the form of overloads during regular semesters. In exceptional circumstances, when departmental needs are urgent, an exception to this rule may be recommended by the departmental chair to the College/School dean for approval. Teaching load refers to all teaching activities including those on the Lacey campus, extension campuses, online courses, and at other institutions.

Regular faculty will be compensated for overload teaching if their load rises above their contractual responsibility. A credit release reduces the contractual responsibility by the amount of the release. In other words, an overload by definition involves a commitment to more than the contractual responsibility for teaching in a semester in any of the University's Colleges and Schools for regular faculty.

Exceptions to this norm have to be approved by the provost in consultation with the dean of the

College/School.

The same principle will hold for faculty on reduced loads as a result of administrative or other responsibilities, and Deans will work with them to calculate what constitutes an overload above the equivalent of twelve semester credits in a semester. Exceptions to this practice have to be recommended by the College/School dean and approved by the provost.

H7.4. Summer Teaching and/or Other Assignments

Summer teaching assignments are based on student needs and faculty interest in undertaking summer teaching; faculty members are not normally required to teach in the summer term. Faculty contracted to teach in the summer are expected to commit to teaching and attendant responsibilities, such as advising, meetings, committees, and other university commitments during their contractual period.

Faculty remuneration to teach summer courses is calculated on a formula based on the individual's nine- month salary for the year.

Faculty who prefer to be relieved from attendant duties during the period of their summer teaching may elect to be remunerated at the standard adjunct rate for their College/School.

Faculty may also be contracted for other summer assignments for which they will be remunerated separately.

H8. BENEFITS

The University's Benefits are outlined in detail in the *Employee Handbook* and faculty are encouraged to read the *Employee Handbook* regarding medical, health, retirement, and other benefits available to employees of the University.

The following benefits are specific to faculty and are designed to minimize disruption of teaching and other responsibilities during the academic year and to facilitate curricular planning by department chairs and deans.

H8.1. Benefits Specific to Regular Faculty

H8.1.1. Paid Faculty Family and Medical Leave

As a Catholic, Benedictine institution, Saint Martin's University is committed to supporting faculty members and their families. One means of doing so is through paid leave for faculty experiencing a serious health condition, welcoming a new child, or caring for an ailing family member. Saint Martin's University is firmly committed to protecting the rights of expectant parents and complying with Title VII of the 1964 Civil Rights Act as amended by the Pregnancy Discrimination Act of 1978. Saint Martin's University's policy is to treat faculty affected by pregnancy, childbirth, or related medical conditions in the same manner as other employees unable to work because of their physical condition in all employment aspects, including recruitment, hiring, training, promotion and benefits. Pregnant employees may continue to work until they are certified as unable to work by their physician. Further,

Saint Martin's University fully recognizes eligible employees' rights and responsibilities under the Family and Medical Leave Act (FMLA), the Washington State Paid Family and Medical Leave program (WA-PFML), and the Americans with Disabilities Act (ADA).

In addition, because of their unique academic responsibilities, which can call for irregular time commitments, tenure-track and tenured faculty members who have fulfilled one year of full-time employment service (two semesters) are eligible for a full semester of fully paid parental, family, or medical leave as part of the University's attention to faculty and their families health and well-being.

- Faculty should contact the Office of Human Resources to start the process of applying for leave and for additional information about other relevant benefits.

- The University's paid parental leave benefit runs concurrently with statutory FMLA leave. A faculty member who chooses to access the full semester paid parental or medical leave may in some cases be eligible for additional paid leave under WA-PFML.

- Tenure-track faculty who choose to take a full semester leave and/or additional FMLA or WFLA may elect, in consultation with their College/School dean and department chair, to extend the timeline of their tenure review process including the dates of their third-year review and tenure application outlined in their appointment letter.

For parental leave specifically,

- A faculty member is eligible for a fully paid leave from teaching classes for one semester during the semester in which the faculty member welcomes an adoptive or biological child, or that of a spouse or domestic partner. E.g., a faculty member who adopts or expects a child between January 15 and May 15 will be eligible to take a paid leave of absence in the spring semester of the academic year; a faculty member who adopts or expects a child between August 15 and December 15 will be eligible to take a paid leave of absence in the fall semester. Faculty members who expect a child during the summer or intersession (May 15 – August 15 or December 15 – January 15) may elect, in consultation with their department chair and College / School dean, to take a leave of absence in either the spring or fall semester. Dates are approximate.
- Faculty members who access the paid leave of absence as described above may not undertake overloads or additionally-compensated teaching responsibilities at Saint Martin's or elsewhere during the period of their leave. They may elect, in consultation with their department chair and College/School dean, to continue and be additionally-compensated for supervising students (e.g., as research assistants registered in internship courses) in order to provide students
continuity in their course of study and to provide continued support for the faculty member's scholarly endeavors.

- A faculty member who does not return to work after an approved leave of absence (and any approved extension) will be considered to have voluntarily terminated employment with Saint Martin's University and will not be entitled to renewal or reappointment.

H8.1.2. Parental Support through Reduction in Load

Faculty members who welcome a child through birth or adoption may request a reduced teaching load of nine semester credits in each semester of the year in which they expect a child. Faculty members are encouraged to work closely with their dean and department chair on planning this reduced nine-hour teaching load. This reduced load may extend only through two regular semesters in the year in which the faculty welcomes the new family member, but may cross academic years (E.g., a faculty member adopting a child in April may elect to teach a reduced nine-hour load in the spring semester as well as in the fall semester of the following year).

Faculty members who are typically on a nine-semester credit teaching load may access this reduction by being released from all service, administrative, and scholarly commitments only for two continuous semesters or by teaching a six-credit load in one semester and being released from all service, administrative, and scholarly commitments only in the subsequent semester.

H8.1.3. Externally-Funded Research Leaves with Supplemental Support from the University

Faculty members holding regular appointments may apply for research funding from external organizations and research leaves from the University to carry out the terms of these grants. Wherever possible, it is desirable that arrangements for fellowships or other forms of financial support from external organizations be made and confirmed prior to application for a research leave from the University. In general, research leave applications should be made sufficiently in advance to allow processing and enable convenient rearrangement of teaching responsibilities. Ordinarily, applications should reach the provost, with endorsements by the department chair and dean, no later than by October 1 for fall semester leaves to begin the following September and before February 1 for spring semester leaves to begin the following January. Leave requests occasioned by certain foundation grants beyond the control of the applicant may be made later.

Faculty receiving external grants for semester-long or year-long research may also request a supplemental grant from the University as a “top-up” if the external award they receive falls short of their normal income for the period of the grant. In awarding supplemental University funds as a top-up grant to support an externally-funded leave of absence, the provost will consider the faculty member’s service to the University and unusual promise of using the leave to scholarly advantage and to advance their teaching.

Within the next semester after they return from leave, faculty members must submit a report to their dean and provost.

The University requires that a faculty member granted research leave which includes pay from SMU will return to full-time service to the University for the equivalent period following their leave. If this obligation is not fulfilled, the faculty member will be expected to reimburse the University for the salary paid while on leave, unless specifically relieved of the obligation by the University president. Faculty members on research leaves are required to notify the provost by December 1 of the year about their return to the University in the following fall semester and by September 1 of their return to the University in the following spring semester.

H8.1.4. Retirement

In keeping with AAUP recommendations, at the time of initial appointment and periodically

thereafter, faculty will be "both counseled and urged to inform themselves about their retirement options and benefits" by the Chief Human Resources Officer of the University.

Faculty members should notify University leaders of their decision to retire as far in advance as possible in order to facilitate timely searches and appointments of replacement faculty. E.g., a faculty member intending to retire in May 2014 should notify their Department Chair and Dean as early as possible in the fall semester, and ideally no later than November 15th 2013, so that the department, if approved to do so, can conduct a search for the 2014-15 academic year. Faculty should note that ordinarily, authorization of tenure-track searches for appointments in the subsequent year are made by October. Regular faculty who retire from the university after 10 years or more of teaching are entitled to continued access (depending on availability of each of the resources) to university e-mail, library privileges, campus parking, and complimentary use of the Charneski Recreation Center. Retirements typically occur at the end of the academic year and exclude the summer term. A retiring faculty member may request to teach in the summer immediately following retirement for the specified percentage of his / her yearly salary; teaching assignments are approved by the provost subject to programmatic and student needs.

Tenured faculty with either 20+ years of full-time service to Saint Martin's University, or aged 65+ may apply for voluntary, phased retirement plan. A phased option is only approved when there is mutual agreement among the faculty member, chair of the appropriate department, dean, and provost. The reduction in workload should not cause undue hardship to the program or department, but the faculty member may teach as few as 3 credits per semester. The transitional phase with reduced workload included a prorated salary (based on 24 credits per year), regular faculty status, continued use of office space, continued university contributions to retirement fund (as long as they are ½ time or above, i.e. 6 credits per semester), continued university contributions to health plan (as long as they are ½ time or above, i.e. 6 credits per semester), continued eligibility for all other benefits (as long as they are ½ time or above, i.e. 6 credits per semester), and no loss of protection of due process. During the phased transition, the faculty member is expected to, in consultation with their departmental chair, maintain a reasonable amount of service to the University, including, as necessary, in leadership roles that involve course reductions. A written commitment to final retirement date is required. Normally, the transitional time should take no more than two years to full retirement. The University may, depending on availability of resources, design and present eligible faculty members with a voluntary and optional phased retirement program.

The AAUP reminds us that "Since the abolition of mandatory retirement in 1993, some cases that previously would have resulted in "involuntary retirement" now have to be treated as involuntary termination." Such cases will be considered by the University's academic leaders in consultation with the Faculty Affairs Committee, in accordance with termination proceedings identified in this *Handbook* and the *Faculty Bylaws.*

H9. FACULTY NON-RENEWAL, DISMISSAL, AND TERMINATION

Though the University appoints faculty members after national searches to tenure-track positions with the intent of nurturing their development during their probationary period and progress towards tenure, circumstances may arise which require that tenure-track contracts / appointments not be renewed.

Likewise, on rare occasions there are reasons to question the fitness of a tenured faculty member, or a faculty member whose term has not expired, for continued employment by the University.

The procedures to be followed in evaluating these reasons and taking appropriate actions must be pursued with due consideration of the position of the faculty member and stewardship of the academic mission of the University.

SMU has, therefore, directly adapted to the University's governance structure AAUP's procedural guidelines set forth in the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*. A copy is attached as an Appendix.

Non-renewal or threat of non-renewal is not used by the University's academic leaders or faculty colleagues to restrain a fellow faculty member's academic freedom.

H9.1. Non-Renewal of Tenure-track Faculty

Termination of a tenure-track faculty member must be consistent with the principle~~s~~ of fundamental fairness.

Non-renewal of a tenure-track faculty member may be made to take effect from the date of expiration of the individual's current contract/appointment letter. Such notice will be made in accordance with *Bylaws* 6. & 9. The University gives tenure-track faculty members advance notice of the University's intent not to reappoint them for a subsequent academic year in accordance with the provisions of Section 6. & 9. (Renewal of Contracts/Appointments). A decision for non-renewal of a tenure-track faculty member is made by the University President and is not made for any reason inconsistent with principles outlined in the *Faculty Handbook* and procedures outlined in the *Faculty Bylaws* 9.

Legitimate reasons for non-renewal of a tenure-track faculty member may include, but are not limited to:

a. Cancellation of or major change in a program (example of such major changes includes discontinuation of a curricular requirement, an academic program, or department in whole or in part);
b. Need for reduction in faculty due to a documented decline in enrollment and budgetary constraints;
c. Incongruence between the teaching interests of the faculty member, documented lack of currency in their disciplinary expertise, and the educational goals of the University; (or)
d. Demonstrated failure or ineffectiveness of the faculty member in performing their major contractual responsibilities.

A tenure-track faculty member may appeal the decision to not renew their contract in accordance with procedures outlined in the *Faculty Bylaws* 10.2.

H9.2. Termination without Prejudice of Tenured Faculty

A tenured faculty member may be terminated without prejudice due to disability, permanent or protracted revision of the University curriculum, academic program / department/school/college closure, bona fide financial exigency, or bona fide financial crisis.

1. In cases of termination because of disability, such disability must prevent the faculty member from performing the essential functions of their position with or without reasonable accommodations, and be considered a "total disability" as defined by the Saint Martin's University long-term disability insurance plan.

2. Before the employment of a tenured faculty member may be terminated because of permanent or protracted revision of the University curriculum, the following are required:

    a. A good faith elimination of substantial course offerings from the curriculum; such changes must be demonstrably *bona fide*;
    b. A reasonable classification of all the faculty members affected by said changes.

3. Academic program closure refers to a context in which (a) a department or program in which primary tenured appointments are held is eliminated based on educational considerations reflecting long-range planning and/or (b) a program is eliminated due to changes in program priorities and/or enrollment.

4. *Bona fide* financial crisis refers to a context in which a program, department, college, or school is unable, and for the foreseeable future will likely remain unable, to fulfill its teaching and research missions unless it is allowed to reduce its financial obligation to tenured faculty. The financial crisis may not be precipitated by a decision to redistribute funds among the Colleges/Schools.

5. *Bona fide* financial exigency refers to a context in which a significant decline in SMU's financial resources that is brought about by decline in institutional enrollment or by other actions or events that compel a reduction in the University's operating budget. Financial Exigency is an emergency condition in which the University's continued existence is in serious jeopardy for financial reasons. The University shall not declare a state of Financial Exigency unless it is demonstrably *bona fide.*

Before the employment of a tenured faculty member may be terminated because of financial exigency, the following are required:

a. Public declaration by the University of financial exigency that is demonstrably *bona fide*;

b. Reasonable classification of all the faculty members affected thereby, and a procedure for establishing priority order of terminations.

In the event of termination as represented in (2), (3), (4) or (5), the University will give the affected faculty member one year's written notice prior to termination and make all reasonable efforts to secure appropriate internal employment for the terminated faculty member. The University will also provide reasonable assistance in the identification and facilitation of other employment opportunities.

H9.3. Dismissal for Cause

H9.3.1. Dismissal for Cause of Tenure-track or Tenured Faculty

Tenure-track and tenured faculty member may be dismissed for cause. Dismissal or threat of dismissal may not be used to restrain a faculty member's academic freedom**.**

All proceedings and records of dismissal for cause proceedings shall be kept confidential to the degree permitted by the law. The University president will decide on a case by case basis whether action taken pursuant to this policy will identify the affected faculty member by name.

In the event of a tenure-track or tenured faculty member's dismissal for cause, the services, appointment, and employment of the faculty member may be terminated by the University before the end of their contract expiration date. The faculty member must be given written notice of their termination at least thirty days in advance of the termination date, and the definition and procedures (*Bylaws* 10.3.) for "dismissal for cause" must be followed.

However, if dismissal proceedings are initiated against a tenured faculty member and result in a finding of cause, dismissal or disciplinary action other than termination may be imposed. Disciplinary action other than termination may include, but is not limited to, reprimand, suspension with or without pay, reassignment of duties, reduction in appointment, mandatory counseling, and/or continued monitoring of behavior and performance. The decision is made by the University president in consultation with the provost.

Reasons for "dismissals for cause" include but are not limited to the following:

(1) Serious academic dishonesty;
(2) Deliberate and serious violations of the rights and freedoms of fellow faculty members, students, staff, or university leaders;
(3) Acts of moral turpitude;
(4) Violation of University policy substantially related to performance of faculty responsibilities;
(5) Use of professional authority to exploit others;
(6) Conviction of a felony which directly related to the fitness of faculty members to engage in teaching, research, service, outreach, and/or administration;
(7) Continued gross neglect of duties despite oral and written warnings;
(8) Professional Incompetence;
(9) Failure to fulfill contractual obligations.

A recommendation to terminate a faculty member for cause may be made by a chair and/or dean to the provost. The provost must examine the contexts for this recommendation, and after meeting with the faculty member and giving them an opportunity to respond to the charges, make their recommendation regarding the same to the University president. The faculty member may appeal the decision in accordance with the Appeals Process outlined in the *Faculty Bylaws*.

The University president makes the final determination regarding dismissal of tenure-track and tenured faculty members after the appeals procedure, if activated by the affected faculty member, has been exhausted.

H9.3.2. Dismissal for Cause of a Tenured Faculty Member for (involuntary) Ineffectiveness

A tenured faculty member may also be dismissed for cause for demonstrated or continuing failure or

ineffectiveness in performing their contractual teaching obligations.

In the case represented above, which is substantially different from dismissal for cause represented in items (1) – (9) in Section 9.3.1., the University recognizes that "ineffectiveness" may be involuntary and not willful and that current involuntary ineffectiveness does not detract from a faculty member's effective, and perhaps even exemplary, contributions to the life of the University in other years as a teacher and scholar.

Procedures for terminating a tenured faculty member for involuntary ineffectiveness are outlined in the *Faculty Bylaws,* 9.4.

H10. APPEALS AND GRIEVANCES

H10.1. Appeals

H10.1.1. Appeals by Tenure-track Faculty

Tenure-track faculty members may file an appeal with the Faculty Affairs Committee in response to the following recommendations by the provost to the University president:

(1) To not renew a tenure-track contract
(2) To not tenure
(3) To not promote

(1) The Faculty Affairs Committee considers appeals against decisions to not renew a tenure-track faculty member's contract on the basis of violations of academic freedom;

(2) & (3) The Faculty Affairs Committee considers appeals by tenure-track faculty members against negative tenure and promotion decisions on the basis of violations of process <u>and/or</u> violations of the *Faculty Handbook* and *Faculty Bylaws*. Factors to be considered by the committee include arguments and evidence presented by the faculty member and substantive or procedural errors demonstrated by the faculty member.

H10.1.2. Appeals by Tenured Faculty

Tenured faculty members may file an appeal with the Faculty Affairs Committee in response to a recommendation by the provost to the University president

(1) To not promote
(2) To terminate for cause

The Faculty Affairs Committee hears appeals by tenured faculty members against negative promotion recommendations and against decisions to terminate for cause on the basis of violations of process and violations of the *Faculty Handbook* and *Faculty Bylaws*. Factors to be considered by the committee include arguments and evidence presented by the faculty member and substantive or procedural errors

demonstrated by the faculty member. If an appeal is filed with the Faculty Affairs Committee, the University president makes their decision on non-renewal, tenure, promotion, and termination for cause after being notified about the Faculty Affairs Committee's recommendation/decision regarding the appeal.

Final decisions on non-renewal, tenure, promotion, and termination for cause are made by the University president.

H10.2. Grievances

Grievances may be filed by faculty members for violations of rights and privileges, due process, academic freedom, misapplications of policy, and violations of the *Faculty Handbook* and *Faculty Bylaws*. The process for appealing terminations is outlined in the *Faculty Bylaws*. *Definition of Grievance*

A grievance is a written complaint filed by a faculty member against another faculty member or University leader alleging a violation of University, College/School, or department policy or established practice. A violation occurs when there is a breach, misinterpretation, or misapplication of existing policy.

Grievance refers to any cause of complaint arising between a faculty member covered by these procedures and another faculty member or academic or University leader concerning the interpretation and application of University rules and procedures, conditions of employment, duties and discipline. Specific grievable items include, but are not limited to: rights or obligations accorded by the contract of employment, rights or obligations accorded by the *Faculty Handbook*, academic freedom or academic due process, content of personnel files (as authorized by law), disciplinary action, and infringement of personal privacy.

Scope of the Policy

This Policy is intended to provide a fair, internal process for resolving work-related disputes that arise between and among faculty and their academic and University leaders. Some complaints are not subject to the faculty grievance procedure. Excluded from the grievance policy are complaints concerning: challenges to the University policies and rules as set forth in the *Handbook*; salary step increases, promotions in rank, tenure decisions, non- renewal of non-tenured faculty; and termination of tenured faculty (each of the last four [4] can be appealed by procedures described in the *Faculty Handbook* and *Faculty Bylaws*). The University recognizes and endorses the importance of academic due process, the right of redress, and of adjusting grievances without fear of prejudice or reprisal.

Accordingly, the University encourages the informal and prompt settlement of grievances where possible as well as the orderly appeal processes set forth in the *Bylaws* to respect and protect academic due process, academic freedom, and professional conduct. The formal procedures described in this Policy, therefore, are intended to be used when matters cannot be resolved informally. A faculty member who feels aggrieved should first seek an informal resolution at the department, or College/School level before filing a formal grievance. The procedures contained in this policy are not intended to be used to challenge the desirability of University policies.

Regular faculty and all categories of adjunct faculty are covered by the faculty grievance process. When

the grievance involves faculty other than ranked faculty, the grieved issue must relate directly to the individual's instructional (faculty) function rather than staff or administrative function. When in question, the Faculty Affairs Committee and dean of the faculty member's College/School will determine jurisdiction. If the jurisdiction cannot be satisfactorily resolved, the Provost will make a determination.

Grievances and appeals are heard by the Faculty Affairs Committee.

All other grievances (E.g. between a staff and faculty or by students against staff or faculty) are covered by the grievance procedures in the *Employee Handbook* and *Student Handbook*, as appropriate. Grievance procedures, documents, and deliberations are confidential.

Bylaws Introduction

Bylaws are the rules which govern the internal management of our work lives as faculty members and as members of the Saint Martin's University community. Bylaws help us regulate ourselves in the conduct of
our everyday work lives and provide a framework for our operation as a community of teachers and scholars.

Examples of items included in our Bylaws are how faculty meetings and assembly are conducted, how faculty apply to advance in rank, how department chairs are selected and reviewed, and how often faculty meetings are held. Bylaws help us map our purpose as members of the SMU community and the practical day-to-day details of how we function as colleagues with a shared commitment to the values, principles, and policies as outlined in the *Faculty Handbook* and shared by members of the Academy.

All faculty members and their academic and University leaders should familiarize themselves with the *Employee Handbook*, the *Faculty Handbook*, and the *Faculty Bylaws* because these collectively are important documents which govern our work lives individually and collectively. *The Faculty Handbook* gives guidance and authority through the principles it articulates to the procedures described in the *Faculty Bylaws*. While the *Faculty Handbook* presents enduring principles and policies which govern faculty work life, *Faculty Bylaws* detail practices and procedures which are likely to evolve and change; the *Bylaws,* unlike the *Handbook*, therefore, are more likely to undergo amendment as the faculty initiates and responds to evolving practices and procedures.

In the event of a conflict between the *Employee Handbook* and the *Faculty Handbook* and/or *Bylaws* with respect to faculty policies, the *Faculty Handbook* takes precedence.

The Board of Trustees approves changes to the *Employee Handbook*, the *Faculty Handbook* and *Faculty Bylaws* in accordance with procedures outlined in pp. 1-7.

B1. ACADEMIC STRUCTURE

B1.1. Colleges, Schools, Divisions, and Academic Offices

B1.1.1. Procedures for making changes (e.g. merging, splitting, adding) to Colleges or Schools

Faculty members, departments, deans, the provost, or the University president may propose the addition of new Colleges or Schools in keeping with the mission and strategic goals of the University, in response to growth in programs or in the University as a whole, and if they see the potential to better serve the needs of current students or to recruit new students by housing closely-related programs within a new College or School.

The procedure for adding or combining Schools and Colleges is as follows: Proposals must typically be submitted to the University EPCC, who will endorse and submit the proposal to the Senate. At the discretion of the Senate, the full faculty may be asked to endorse the proposal. The proposal, after it is endorsed by the Senate and/or the full faculty is sent (with any proposed modifications) to the provost. The proposal, with a recommendation by the provost, is sent to the University president, before being approved by the Board of Trustees.

The University president may take proposals to add or combine Colleges/Schools directly to Senate or the Full Faculty in Assembly. The Senate or the full faculty may, in turn, charge EPCC with reviewing the proposal before responding to the proposal.

The naming of the new College/School should follow the same process, except in cases where the Board of Trustees honors major donors for their significant philanthropic support of the University by naming
Colleges or Schools. In such instances, the donor's support typically benefits the particular College or School and the University president will inform the faculty of the College/School of the BOT's determination.

All proposals for the creation of a new College or School must include the following rationale, program description, proposed administrative structure, infrastructural needs (including facilities), staffing needs, plans for student recruitment, accreditation plans, marketing strategies, budget.

B1.1.2. Procedures for making changes (e.g. merging, splitting, adding) to Divisions

Parallel procedures are to be followed in creating new divisions within the University.

B1.1.3. Procedures for adding or making changes (e.g. merging, splitting, moving) to Departments and Programs

Proposals to add, merge, move or split departments may be made by the faculty, chairs, deans, or the provost. In general, they should cover the same points as proposals for new Colleges/Schools or divisions, including providing a clear rationale, addressing budgetary and marketing considerations, etc.

Chairs, deans, or the provost are required to call meetings of all affected faculty members to discuss reasons for the proposed allocation/reallocation of resources, staffing needs, and the academic viability of the affected unit(s). The proposal then moved forward to the faculty of the College/School(s) involved, the EPCC, and the Faculty Senate for their recommendations and then to the provost for approval.

B1.1.4. Procedures for placing a College/School, Division, Department, or Program in Academic Receivership

A recommendation to place a department or program or unit in academic receivership may be made by faculty within that department collectively or by a majority, the Faculty Senate, the College/School chair of the faculty, or the dean.

Recommendations to place a department or program or unit in academic receivership must include a written report which outlines the reason for the recommendation. Valid reasons may include but are not limited to cases where a unit is unable or unwilling to govern itself in accordance with the principles of shared governance, where it is in noncompliance with the University's Program Review process, where it is failing to fulfill its teaching mission, where disregard for student and faculty welfare is evident, or where it is unable to deliver its programs to current or prospective students.

Procedures to guide a unit through the receivership process must include a plan for a return to self- governance within three years.

In placing a department or academic unit in receivership, the dean consults with the provost who must, in turn, inform the Senate within five working days of notification by the dean. The Senate may charge the Faculty Affairs Committee to review and report on the situation or undertake such review directly and then provide a recommendation to the provost with a copy to the dean.

The dean, after receiving a recommendation from the Senate and in consultation with the provost, may place the department or unit in receivership by appointing an external chair or by undertaking direct oversight of the unit for a defined period of time to be followed by a review of the situation. At the end of this defined period, the dean may return the department to self- governance or on the basis of a review of the situation by the FAC, continue the unit in receivership for a further period that cannot extend beyond one academic year.

Should the unit in receivership prove to be unwilling, unable, or incapable of adequately addressing the issues within a defined period of time as noted above, and additional actions are needed, the dean informs the provost. The following steps must be undertaken:

- The provost notifies the Senate within five working days and consults with them;
- The Senate charges the FAC to independently review the situation;
- In consultation with the provost, the FAC may bring outside reviewers to campus to assess the situation and help re-vitalize the unit;

- The FAC submits its assessment of the situation to the provost and the Senate with a copy to the dean.

On the basis of such review, and if the situation persists, the provost may suspend admissions to the department/program, or transfer, consolidate, disestablish, and discontinue academic programs within the unit.

In any event, every attempt will be made by the University to relocate all regular faculty affected by the decisions to close a unit into related departments.

B1.1.5. Procedures for closing Schools, Colleges, Divisions, Departments, or Programs

The University and the faculty recognize that circumstances may arise that require closing a program, department, division, or College/School. While the most common reason for decisions to close a program is financial, other valid reasons may arise that warrant such a consideration. The University and faculty also recognize that low enrollment by itself is not necessarily a reason to close essential programs and that the academic integrity of the institution, its identity as a liberal-arts centered University, and fulfillment of its Catholic Benedictine mission will be essential components in discussions focused on the closure and non-viability of programs, departments, divisions, or Colleges/Schools.

University leaders will ensure faculty participation at all levels of the discussion in declarations of financial exigency and/or departmental closure for any reasons. Typically, declarations of financial exigency will be based on five years of the University's audited financial statements, current and following-year budgets, and detailed cash-flow estimates for future years. Program cuts and the tenure-track job losses that usually accompany them are typically a last resort and will follow attempts to cure budget ills by furloughs and other means.

Before an academic unit at any level is closed because of financial exigency, the following actions are required:

a. Public declaration by the University of financial exigency that is demonstrably *bona fide*;

b. Reasonable classification of all the faculty members affected thereby, and a procedure for establishing priority order of terminations.

A definition of Financial Exigency and the terms which attend to a declaration of financial exigency by the University are outlined in detail in the *Faculty Handbook*, 9.2.

B1.2. Academic Leadership/Leaders

B1.2.1. Procedures for Selecting and Appointing the Provost

The University provost is typically selected through a national search process initiated by the University president in collaboration with the faculty and academic leaders and staff. The search committee will consist of at least four faculty members (at least three of whom are elected by the Faculty and one of whom is appointed by the University president in consultation with the Faculty president or from a list of names provided by the Faculty president of those willing to serve on the Committee), one dean

selected to represent the deans, and one academic staff member. The University president typically appoints additional members from cabinet, the monastic community, and the BOT.

Finalists identified by the search committee will be available through public presentations and meetings to the Faculty and faculty assessments of the candidates will be solicited by the search committee before the committee makes its recommendation to the University president who makes the final decision internally and recommends endorsement of the finalist by the BOT.

B1.2.2. Procedures for Selecting and Appointing Deans

College/School deans are typically selected through a national search process initiated by the provost. The Search Committee will consist of at least four faculty members elected from the College/School and one appointed by the provost from outside the College/School in consultation with the chair of the College/School faculty, a member of the monastic order, a dean, and one staff member.

Finalists identified by the search committee will be available through public presentations and meetings to the College/School faculty and faculty assessments of the candidates will be solicited by the search committee before the committee makes its recommendation to the provost who makes the final appointment.

B1.2.3. Procedures for Evaluating Deans

B1.2.3.1. Procedures for Evaluating College/School Deans

Evaluations of College/School deans are initiated by the provost in the fall semester of the fifth year of their appointment prior to renewal for a further five-year term. The provost shares with each dean, a template for evaluating them based on their responsibilities, and solicits their feedback before finalizing the template. This template is used to generate a set of survey questions that are evolved by the provost in consultation with the Chief Human Resources Officer. The finalized survey questions are shared with the dean for input and then with the chair of the College/School faculty.

The survey questions are sent by the provost's executive assistant to all regular faculty in the dean's College/School, select Faculty Committee chairs who are from other Colleges/Schools, select members of the College/School Advisory Board (in the case of professional schools which have ABs), and select staff members from co-curricular and other support offices. This list will be compiled by the provost in consultation with the dean and the chair of the College/School faculty.

Evaluators will be identified on the returned survey only by category as either faculty or staff, though individuals returning the survey will have the option of identifying themselves.

The results of the survey, along with the provost's independent assessment of the dean, will be shared with the dean as part of their ongoing development. If significant and serious issues requiring attention have been identified through the evaluation process, the provost may work with the dean to design a structured development plan and subsequent assessment of growth, typically in the following semester. The provost typically informs the dean about reappointment by April 15 of the spring semester of the dean's fifth year; in the case of deans with retreat rights who are not renewed, the provost will also inform the appropriate department chair of the dean's return to full-time teaching in the department. Deans without retreat rights may receive renewable annual appointments as a faculty member in their

area of expertise.

Current deans will undergo evaluation as described above in 2015-16, and typically, every five years thereafter.

Deans complete *Annual Reports* which are submitted to the provost for feedback.

Vacated dean positions are filled in accordance with procedures described in 1.2.2. During the period of the search, the provost may appoint an Interim or acting dean.

B1.2.3.2. Procedures for Evaluating Division Deans and Associate Deans of University-wide Programs

Associate deans of University-wide programs (E.G. Saint Martin's University - JBLM) are evaluated every five years. Evaluations of associate deans of University-wide programs are initiated by the provost in the fall semester of the fifth year of their appointment prior to renewal for a further five-year term. The provost shares with the associate dean(s) a template for evaluating them, based on their responsibilities, and solicits their feedback before finalizing the template. This template is used to generate a set of survey questions that are evolved by the provost in consultation with the Chief Human Resources Officer. The finalized survey questions are shared with the associate dean(s).

The finalized survey is sent by the Provost's Executive Assistant to select faculty and staff who work closely with the associate dean. This list will be compiled by the provost in consultation with the associate dean.

Evaluators will be identified on the returned survey only by category as either faculty or staff, though individuals will have the option of identifying themselves.

The results of the survey, along with the provost's independent assessment of the associate dean(s), will be shared with them as part of their ongoing development. If significant and serious issues requiring attention have been identified through the evaluation process, the provost will work with the associate dean(s) to design a structured development plan and subsequent assessment of growth, typically by the subsequent semester. The provost typically informs the division dean and associate dean about reappointment by April 15th of the spring semester of their fifth year.

Current associate deans of University-wide programs will undergo evaluation as described above during the 2021-22 academic year and every five years thereafter.

Vacated associate dean positions in University offices may be filled through a formal search process. During the period of the search, the provost may appoint an interim or acting associate dean.

B1.3. The Faculty

B1.3.1. Procedures for Recruiting and Appointing Regular Faculty

B1.3.1.1. Procedures for Requesting Faculty Hires

B1.3.1.1.1. Departmental Requests for Regular Faculty

Departments through their chair typically identify curricular and personnel needs, both replacements and new personnel needs, at the start of each academic year – typically, by October 1 – for the following year/s and discuss these with the dean of their College/School**.** The schedule for approving and advertising positions should be coordinated with national disciplinary calendars in order to maximize the department or program's success in searching for and hiring the best candidates. The list of all regular faculty searches for the following year, once authorized, will be shared with the full faculty through an announcement / communication by the provost.

Annually, in the first half of the fall semester, the provost requests deans to submit their hiring requests for regular faculty in their College/School along with justifications for the same. All requests for the recruitment and appointment of regular faculty are discussed by the provost individually with deans before these requests are prioritized and searches are authorized, subject to the availability of funding and approval by the University president. The provost and dean may together also meet with the department requesting a search to better understand contexts.

In prioritizing requests for regular faculty, the provost considers departmental and programmatic needs as represented by the chair and dean as well as the faculty's collective responsibility for the Saint Martin's Core and/or the particular responsibility of some programs, departments, or Colleges/Schools, for graduate education and programs on our satellite campuses. All formal requests for searches will receive a written response from the dean, typically by November 1.

The appropriate department chair works closely with their faculty in developing position profiles for approved searches, which are then vetted by the dean and provost before being advertised. The Department of Human Resources will serve as a resource for faculty, chairs, deans, and the provost on legal and compliance issues.

The department carries primary responsibility for vetting (considering) applicants and candidates for their disciplinary expertise, teaching strengths, and scholarly potential. They are also responsible for working with the search committee on identifying appointable finalists to the dean of the College/School. Deans are responsible for identifying finalists committed to the goals and aspirations of the particular College/ School and the University's identity as a liberal arts centered University with a strong Core Curriculum that provides a foundation for professional programs. The provost is responsible for vetting finalists for their commitment to the University's mission and values.

Departments are encouraged to use electronic resources such as Skype or other video or teleconferencing programs in order to maintain cost-effectiveness in the search process.

B1.3.1.1.2. Requests by Program Directors and Deans for Regular Faculty

Requests to conduct searches for regular faculty may also be initiated by program directors who oversee cross-disciplinary / cross-departmental programs within a College/School and by deans who identify vital areas of growth and development within their College/School. In both instances, directors and deans should discuss these requests in advance with involved departments and their faculty and chair(s) and achieve consensus regarding these personnel requests before presenting them to the provost.
Appointments of regular faculty initiated by cross-disciplinary program directors will nevertheless be

in particular departments and such faculty will typically carry dual responsibilities to their home department and the interdisciplinary program. These dual responsibilities will be determined in advance of advertising a search by those requesting the position through discussions with faculty and the dean and will be specified to the appointee in writing by the provost at the time of appointment.

B1.3.1.1.3. Requests by Faculty or Deans for appointments that cross Colleges/Schools

Faculty across Colleges/Schools and/or two or more deans may identify areas of cross- College/cross-School development for the University which requires the addition of regular faculty. In all such cases, broad consensus among all constituents with interest in such initiatives, including chairs, and among those who are likely to contribute to them is a vital first step in presenting hiring proposals to the provost. Appointments will typically be made to a specific department even if the faculty member carries responsibilities beyond that department and College/School. The full spectrum of the faculty member's responsibilities and their weighted consideration in their progress towards tenure and promotion will be clearly specified at the point of hire.

The following procedure is used for the screening and selection process in the three kinds of requests for regular faculty appointments represented above.

a. The, department chair or interdisciplinary program director or dean in consultation with faculty members and/or the dean or deans, having determined that a department or inter- disciplinary program requires additional or replacement personnel, and having secured funds and approval from the provost for the same, initiates a search

b. In consultation with and with the approval of the dean/deans, the department chair or program director or faculty forms a search committee. The committee consists of appropriate departmental or program faculty, one faculty member of a closely allied discipline; one monastic representative (if available). Members of other University constituencies may also be appointed to the search committee if the search committee chair chooses. The department chair or the program director determines who serves as committee chair in consultation with the dean. Typically, search committees do not exceed seven members.

c. The search committee, in consultation with the department chair/program director, the dean, and the Abbot of Saint Martin's Abbey, first determines whether a qualified member of the Abbey is, or will be in a reasonable period of time, available to fill the position. If a qualified member of the Abbey is available, the position is reserved. If not, the process continues.

d. The dean makes known, through the Office of Human Resources and through appropriate professional vehicles the availability of the faculty position, together with an appropriate job description, qualifications, and closing date for applications

e. The search committee screens applications, interviews selected candidates, and compiles a short list of finalists for review by the department chair and the dean. It then arranges visits by up to three finalists to campus for interviews with the committee, the dean, provost, and other appropriate University personnel. The search committee also consults the Department faculty prior to making its recommendation.

After completing the search and selection process, the committee makes its written recommendation to the department chair, who, with their own recommendation, transmits a recommendation to the dean of their College/School

f. The dean reviews the recommendations and consults with the search committee chair, then makes their recommendation to the provost

g. The provost makes a recommendation to the University president

B1.3.1.1.4. Provost-initiated Regular Faculty Appointments

The provost may initiate "Cluster Hires" in areas of importance across the University; requests for such hires have to proceed from department chairs, program directors, and/or faculty. E.g. A call may be put out to department chairs, program directors, and deans to consider getting three or more constituents together across departments, programs, or Colleges/Schools to discuss parallel needs in related areas. Examples of such areas include but are not limited to Environmental Studies or Arts Administration or Professional Science or Forensic Science or Health Studies. If constituents reach consensus on areas such as these that might benefit through multiple hires in multiple departments, they may submit a proposal for consideration to the provost.

Cluster hires are not intended to initiate the creation of new programs at point of hire but rather to expand the curricular footprint through expertise that may result, at a future date, in the creation of additional programs. All proposed curricular expansion in these or other directions, if and when initiated, will undergo the standard vetting process for the approval of new programs outlined elsewhere in this *Handbook* and the *Bylaws*. Guarantee of programmatic expansion, in other words, is not a condition for the approval of cluster hires.

The provost will meet with those who propose appointments within the "Cluster Hire" initiative and with deans, and discuss the process to be adopted for such a search if it is to be authorized and funded. Searches for regular faculty through such initiatives could result, for example in the simultaneous or staggered appointments over consecutive years of two or more individuals into multiple departments. E.g. in support of a possible program in Environmental Studies, a faculty member with expertise in Environmental Policy may be appointed in the department of Political Science, a Geo-Chemist may be appointed in the department of Physics, and an Environmental Chemist may be appointed in the department of Chemistry. Department chairs, deans, and the provost must agree in advance on the particulars relating to such appointments. Appointments in the case of cluster hires will typically be to a specific department, though the faculty member's teaching responsibilities may extend to other programs.

B1.3.1.2. Procedures for Appointing Regular Faculty

The president of the University appoints the new regular faculty member with authority as delegated by the Board of Trustees.

The rank, tenure eligibility, time line towards tenure, departmental affiliation(s), and all other particulars which relate to the position will be specified in writing by the provost to all faculty at the time of their appointment.

In special circumstances, departments or directors/deans may request the appointment of regular faculty members who have dual responsibilities as faculty and staff. Particulars which attend to such appointments have to be evolved and specified in advance of advertising and conducting the search, and the person appointed to a position with faculty and staff responsibilities should receive written clarification about the exact balance of duties in these roles as well as how they will be evaluated for promotion and/or tenure.

All regular faculty, both tenure-track and tenured, receive Letters of Appointment each year which are evolved by the Office of the Provost in consultation with deans, and sent no later than by March 15th of the year for the academic term which begins on August 16th of the same year and concludes on May 15th of the following year. The Letter of Appointment must specify rank, tenure status, and salary. A sample Letter of Appointment is attached in Appendix A. Regular faculty who are on the tenure track must return a signed copy of the Letter of Appointment to indicate their acceptance of employment by the University. Failure to return a signed copy by April 15th immediately following receipt of the letter of appointment may result in loss of employment.

First appointments of regular faculty are made upon conclusion of the search process, and may be made at any point in the year.

Failure of the University to inform a faculty member about renewal or non-renewal of their tenure-track probationary faculty appointment will result in their automatic renewal for the following academic year.

B1.3.1.2.1. Length / Terms of Regular Faculty Appointments

B1.3.1.2.1.1. Probationary Appointment into the Tenure-Track

Regular faculty members are initially appointed on a per-year basis during the period leading up to their tenure decision; the date by which a faculty member must apply for tenure is specified in their Letter of Appointment.

Failure to apply for tenure by the date specified in the Letter of Appointment will result in the faculty member being issued a terminal, non-renewal contract for the following year.

Regular tenure-track faculty in the rank of assistant professors should show strong commitment to teaching, to scholarly engagement that is likely to reach fuller fruition as they advance in rank, and service at the departmental, College, or University level.

B1.3.1.2.1.2. Tenured Appointments

Regular faculty members are eligible to be considered for tenure by the date specified in their Letter of Appointment. They may be granted such status by the Board of Trustees after formal recommendations by the Advancement Committee, the dean, the provost, and the University president.

Faculty members who held tenure-track appointments at comparable institutions may be credited upon hire with a maximum of two years towards tenure upon appointment.

Faculty members who have achieved tenure at comparable Universities or Colleges may be appointed in tenured and ranked positions at Saint Martin's. Determination regarding ranked and tenured appointments is made by the provost in consultation with the department chair and the dean.

> Regular faculty who hold the rank of associate professor should show strong commitment to teaching, consistent and ongoing commitment through presentations and publications or creative activity to scholarship, and increasing commitment to service at the departmental, College, or University level.
>
> Regular faculty who hold the rank of full professor should be strong and accomplished teachers who commit also to leadership in their academic discipline through ongoing scholarly/creative work **AND/OR** to significant and ongoing leadership/service within the academy.

In appointing University leaders – such as deans or the provost – with departmental rank and tenure, the home department of the appointee will be asked by the University president or provost (in the case of College/School deans) to endorse the appointee and review their credentials. Though this remains a courtesy consideration by the department, it is an essential step for all University leaders who are appointed with rank and tenure and hold retreat rights into their home department upon relinquishing their administrative responsibilities.

Such courtesy consideration by an academic department will not be required if the dean or provost is appointed without tenure and retreat rights.

B1.3.2. Procedures for Appointing Adjunct Faculty

Adjunct faculty members are selected to teach during regular semesters and summer sessions on the Lacey campus by department chairs or program directors in consultation with the dean and approval of the provost.

Adjunct appointees for extension campuses are identified by the dean of SMU-JBLM or the dean of the College/School, vetted by the appropriate Lacey campus chair/director and dean, and approved by the provost.

Adjunct appointments are made by the semester or term and are not eligible for tenure. Titles used in adjunct appointments are outlined in the *Faculty Handbook* and are determined on the basis of the University's needs and qualifications of the candidates; titles and the terms and conditions of the appointment are specified at the point of hire in the appointment contract.

ESL Instructors are recommended to the provost for appointment, and renewal subject to annual evaluations, by the Chief International Programs Officer.

Laboratory instructors are recommended to the dean by the department chair and renewed by the provost upon recommendation by the dean. They are subject to annual review.

B1.3.3. Procedures for Granting Emeritus Status

Any tenured regular faculty member may nominate a retiring colleague who qualifies for *Emeritus* status to the chair of the appropriate department. The chair will forward their recommendation to the dean, who, after endorsing the nomination, must present their candidacy to the provost through a formal letter representing the case for granting *Emeritus* status. The provost considers the nomination and makes a recommendation to the University president who makes their recommendation to the Board of Trustees.
The decision to grant *Emeritus* status is granted by the Board of Trustees.

Professors *Emeriti* are granted their ranks for life. They typically retain their e-mail account at Saint Martin's, parking privileges, and access to the library and recreation facilities; they are also included in University communications and invited to attend University functions, as appropriate. Professors *Emeriti* typically also have the following privileges:

- Notification of retirement, and the awarding of the honorary rank of professor emeritus, in both internal and external media;
- Discounts at University events and the University bookstore;
- Request that their name be retained in the academic catalogue and on appropriate webpages
- Course auditing – informal auditing of courses at no charge, provided that space is available, with the consent of the offering department or school and the faculty member teaching the course prior to the first-class meeting.

B1.3.4. Procedures for Appointing Librarians

The search and approval process for librarians is similar to that for faculty. The dean/director of the library identifies hiring needs in the library. Once approved by the provost, searches are advertised through the Office of Human Resources.

The dean/director of the library will identify a search committee chair. In consultation with the dean, the chair forms a search committee, which will typically include two librarians, two regular faculty members (from departments with which the librarian will most closely work), one monastic representative (if available), and one library staff member. Members of other University constituencies may also be appointed to the search committee as appropriate. Typically, search committees do not exceed seven members.

The search committee, in consultation with the Dean of the O'Grady Library and Learning Resources/director and the Abbot of Saint Martin's Abbey, first determines whether a qualified member of the Abbey is, or will be in a reasonable period of time, available to fill the position. If a qualified member of the Abbey is available, the position is reserved. If not, the process continues.

The search committee screens applications, interviews selected candidates, and compiles a short list of finalists for review by the dean. It then arranges visits by up to three finalists to campus for interviews with the committee, the dean, the provost, and other appropriate University personnel. The search committee also consults Librarians and library staff not on the committee prior to making its recommendation. After completing the search and selection process, the committee makes its written recommendation to the dean, who, with their own recommendation, transmits a recommendation to the provost.

All librarians receive Letters of Appointment each year which are evolved by the Office of

the Provost in consultation with the dean/director of the library, and sent no laterthan by March 15th of the year for the academic year which begins on July 1 and concludes on June 30 of the
following year. The Letter of Appointment must specify the librarian's status, rank, and salary step.

Librarians must return a signed copy of the Letter of Appointment to indicate their acceptance of employment by the University. Failure to return a signed copy by April 15th immediately following receipt of the letter of appointment may result in loss of employment.

Librarians are evaluated annually by the dean/director who works with the director of HR to implement the standard evaluation process used for all employees. However, because librarians work closely with faculty members, the dean/director will also work closely with the provost to ensure input from faculty in evaluating Librarians in their first and third years and at every point at which Librarians apply for promotion in rank.

Librarians are appointed in Continuing or Term Appointments; this is specified at point of

hire. Promotion Procedures

The following procedures will be followed when librarians apply for promotion in rank:

1. The librarian informs their dean/director of intent to apply for promotion;

2. The dean/director informs the provost;

3. The dean/director evolves, in consultation with the librarian, a list of seven faculty members with whom they have worked closely, and submit this list to the provost;

4. The provost constitutes an evaluation team consisting of two faculty members from the above list, two additional faculty members drawn from among the regular faculty, and one College/School dean other than director/Dean of the O'Grady Library and Learning Resources.

   Important Note: If there are two or more promoted librarians in the library, this evaluation team will consist of two promoted librarians, two regular faculty, and a College/School dean other than the director/Dean of the O'Grady Library and Learning Resources

5. The evaluation team solicits a recommendation from the dean/director of the library regarding the librarian's candidacy for promotion;

6. The evaluation team solicits two additional letters from members of the library and/or the regular faculty;

7. The evaluation team evaluates the portfolio for promotion submitted by the librarian along with the letters of recommendation;

8. The evaluation team makes a written recommendation to the provost regarding the librarian's candidacy for promotion and sends a copy to the candidate.

9. The provost makes a written recommendation to the president and sends a copy to the candidate.

10. The applicant may appeal any negative recommendation. The University president must wait for a period of three weeks; the applicant may file an appeal, if they wish to do so, during these three weeks;

11. The FAC hears the appeal – based on violation of academic freedom, fundamental fairness, or inadequate consideration of materials submitted by the applicant.

    Important Note: When the library has three or more promoted librarians, a three-member Appeals Committee will be constituted by the provost to hear the appeal. The Appeals Committee will consist of one member from FA, one member from among promoted librarians who has not served on the evaluation team, and one dean (not the library director/dean or the dean who served on the original evaluation team)

12. The University president makes the final decision.

B1.3.5. Policies Pertaining to Documents and Records

B1.3.5.1. Pre-Employment File

An applicant for a faculty position is required to provide official transcripts; a professional resume; letters of recommendation attesting to professional qualifications and personal integrity; and a brief statement on their teaching and scholarship as it supports the University's mission. This file is open to academic and University leaders, the dean of the College/School to which the candidate is applying, the department chair of the department to which the candidate is applying, and the members of the search committee duly constituted to carry out search and selection procedures. If the candidate is employed by the University, the pre-employment file becomes part of that individual's official personnel file from the date of their employment.

Application materials of finalists who are not appointed to the position are stored in electronic format in the Provost's Office for a period of six years.

B1.3.5.2. Official Personnel File

The personnel records of each faculty member are filed in the Office of the Provost. These records ordinarily include official transcripts of the highest earned degree, a professional resume, letters of recommendation, letters of appointment, and contracts with the University. The faculty member may submit letters of recommendation or commendation or other appropriate documents to the provost and request that these be included in their file. The faculty member has access to their personnel file any time.

No part of that official personnel file will be relinquished, nor may anyone other than the president and the provost, have access to the file without permission of the faculty member. Other individuals such as the respective College/School deans and the Chief Human Resources Officer may request access to a faculty member's official personnel file; the Provost's Office is required to notify the faculty member about

these within three working days of receiving such requests. The faculty member whose personnel file has been requested may request that the dean or Chief Human Resources Officer inform them of the reasons for the file request.

The above policy does not prevent the dean of a College/School from retaining a file (electronic or physical) containing documents such as a faculty member's resume, application materials, and copies of Letters of Appointment or other communications with the faculty member on which the dean is copied, in a file in the dean's Office. The faculty member may access this file at any time by requesting to do so.

B2. GOVERNANCE PROCEDURES

B2.1. Procedures Relating to Faculty (Self) Governance: University Level

B2.1.1. The Conduct of Full Faculty Assembly

Standard Procedures

The faculty president chairs the full Faculty Assembly, which is typically conducted in accordance with Robert's Rules of Order. While the Senate typically acts on behalf of the faculty on most matters, it may refer items to the full faculty for deliberation, consideration, and/or a vote during Faculty Assembly. All regular faculty members may exercise their right to a vote in full Faculty Assembly.

The faculty typically designates a regular faculty member who has been elected to Senate to also serve as Parliamentarian for the academic year during Faculty Assembly and Senate; the Parliamentarian clarifies procedures when questions arise on the floor and is responsible for making sure that Faculty Assembly is run according to standard rules. The Parliamentarian is consulted by the faculty president on issues ranging from allowing motions to extending assembly beyond its scheduled time to what constitutes a quorum. The Parliamentarian advises the faculty president on all matters relating to the conduct of Faculty Assembly, while the faculty president chairs and ultimately rules on matters of order in the Senate and in assembly.
The University president, provost, College/School deans, and other academic leaders may attend Faculty Assembly and participate in deliberations and discussions of the faculty when recognized by the faculty president and called upon to do so.

The University president may not vote in Faculty Assembly.

The provost, deans, and other academic leaders do not typically vote in Faculty Assembly, but may do so if invited by the faculty president. In inviting the provost, deans, or other academic leaders to participate in voting on an issue, the faculty president must first achieve a majority consensus from the assembled regular faculty.

The University president or provost may call the faculty to a Special Assembly, as needed. Typically, the University president and/or provost before calling a Special Assembly of the faculty, will inform the faculty president of the context and reasons for the same.

Special Procedures

At either a regularly scheduled assembly or special assembly of the University faculty, with at least fifteen days' written notice, and by a two-thirds majority, providing they constitute a Quorum of the regular faculty, the faculty may discharge the faculty president and/or the Senate as a whole from their role as elected representatives of the full faculty for the remainder of the academic year.

If the regular faculty discharges the faculty president, or the Senate as a whole from serving as their representatives for the remainder of the academic year from the point at which such action is taken, they must, within ten days of taking such action, elect a new faculty president and/or member of the Senate, as the case warrants.

Alternately, if a determination is made by the faculty to discharge the whole Senate, they may rule that by a majority vote that the full Faculty Assembly will act on behalf of the faculty on all matters thereafter until the conclusion of that academic year or until a determination is made by the full faculty to elect a faculty president and/or Senators.

B2.1.2. The Conduct of Faculty Senate

The faculty president shall act on behalf of the Faculty Senate during summer months when the Faculty Senate is not in session. The faculty president must inform the full faculty of any action(s) undertaken during this period.

B2.1.3. Procedures for Electing the Faculty President

The faculty president-elect is elected by the faculty on an annual basis. This election occurs at the last regularly scheduled faculty meeting of the year for the following academic year.

The Faculty President

a. chairs and holds the full Faculty Assembly on a regular basis;
b. chairs meetings of the Faculty Senate;
c. in consultation with the provost, establishes Faculty Senate and assembly agendas;
d. oversees elections for standing faculty committees;
e. appoints *ad hoc* faculty committees;
f. attends Provost's Council monthly;
g. assists the Faculty Welfare Committee in recommending equitable faculty salaries, benefits and working conditions to the provost;
h. represents faculty concerns to other University constituencies and leaders (i.e., the president, the provost, the Board of Trustees);
i. meets regularly and as needed with the University president and the provost;
j. undertakes other responsibilities at the request of the full faculty or which may benefit the work life of faculty.

B2.1.4. Procedures for Electing Faculty Committees and Replacement Rules

Faculty are elected in full faculty assembly to serve on Faculty Senate Committees. The current standing committees of the Senate are listed in the *Faculty Handbook*, 2.1.5.

Committees typically consist of three regular faculty members from the College of Arts and Sciences and one member from each of the other Colleges/Schools. Certain committees (E.g. Advancement, Faculty Affairs, and Faculty Development) require that all or some members are tenured and/or hold a specific academic rank. Unless otherwise noted, terms for faculty elected to committees during the final full faculty Assembly of the academic year begin on August 15. Terms for faculty elected at other times begin immediately. Typically, committee service ends on May 15, though in exceptional circumstances some committees may need to convene during the summer. The faculty president will ensure that elections are conducted in accordance with these restrictions; the Parliamentarian will ensure that processes are followed. The general charge of each Committee is outlined in the *Faculty Handbook*; each committee is encouraged to create its charter and specific procedural details; these should be made available on the Senate web pages.

If an elected faculty member relinquishes their position on a committee during the academic year, either

(a) an election will be conducted and a replacement faculty member will be elected, in accordance with prescribed guidelines for membership on the committee, to complete the original member's term,

OR

(b) the faculty president will appoint a faculty member in accordance with prescribed guidelines for membership on the committee, to complete the original member's term.

B2.2. Procedures relating to Faculty (Self) Governance: College/School Level

B2.2.1. Conduct of College/School Assembly

College/School assembly will be conducted in accordance with Robert's Rules of Order. The chair of the College/School faculty may appoint a regular faculty member to serve as Parliamentarian during assembly.

The College/School faculty elects a chair of the faculty from among their regular full-time tenured members to chair the College/School assembly and serve as a representative of the faculty to their dean and other academic or University leaders. The chair of the College/School Faculty does not receive a teaching load release; their role typically extends to working with the dean to set the agenda for College/School assembly.

Typically, the chair and dean of the College/School Faculty call for agenda items from the faculty, and meet to discuss the agenda for assembly. The dean's report to the faculty and a report from the chair of the faculty will typically be included in the agenda of assembly. Deans may also call the faculty of the College/School to a special assembly, as needed. In such circumstances, the dean typically informs the chair of the faculty about the context and reasons for calling a special assembly of the College/School.

B2.2.2. Procedures for Creating Faculty Committees at the College/School Level

While the faculty in a College or School may create committees to undertake College/School business,

the only mandated committee at the College/School level is the tenure and promotion committee (TAP).

College/School committees will typically consist of three elected faculty members, who will elect a chair from among their membership.

B2.2.2.1. College/School Tenure and Promotion Committee (TAP)

TAP will consist of three faculty members elected from the full-time tenured and promoted faculty members in the College or School. Members serve three-year terms. If possible, at least one of the three elected members should be a full professor. Faculty members who are themselves applying for advancement may not serve on this committee; if a sitting member of the committee applies for advancement, an appropriate substitute will be elected to serve as a replacement for the academic year.

TAP elects a chair from its membership. TAP's responsibilities include

- Evaluating all applications for advancement submitted by tenure-track faculty within their College or School, and voting on their candidacy for tenure and promotion, before forwarding its recommendation to the dean of the College/School.

- Review any proposed revisions to department-specific tenure and promotion guidelines submitted by department chairs and will consult with the College/School dean before passing on the revisions to Advancement for vetting and to the provost for approval and implementation.

- Ensuring that department-specific tenure and promotion guidelines are consulted in their evaluation of candidates for tenure and promotion and that these department- specific guidelines are forwarded with the candidate's file to the Advancement Committee.

B2.2.3. Procedures for the Election, Appointment, and Evaluation of Department Chairs and Faculty Program Directors

B2.2.3.1. Procedures for Electing Department Chairs and Program Directors within a College/School

Election of the chair is overseen by an external chair. Chairs are elected by the regular faculty in a department. The dean is notified by the department or program about the election. The provost appoints elected department chairs and program directors within a College/School, upon recommendation by the department or program and the dean, for three-year terms that are renewable subject to evaluation and re- election by the faculty.

Under special circumstances (if, for example, all the faculty in a department are newly-hired junior faculty), a department hair may – with the consent of the department's regular faculty (indicated by a majority vote overseen by an external chair) – request that the provost and dean approve the hiring of the new faculty member to serve as department chair. In the search to hire a new chair, all regular

departmental faculty may serve on the search committee if they choose, or, if the committee is large, they may arrange to advise/consult with members**.**

Typically, chairs who have served two consecutive full terms will not be considered for a successive third term if there are other eligible candidates within the department.

Under agreement with the Saint Martin's Abbey, the chair of the Religious Studies Department must be a practicing Catholic**.**

A dean may initiate removal of a departmentally-elected chair at any point by following the procedures described below.

Program directors are elected by the regular faculty who routinely teach in the program. When the program is within a college/School, the dean identifies all faculty members who teach in the program in consultation with the College/School chair; when the program is inter-college, the provost identifies the roster of faculty. The dean or provost, as appropriate, is notified of the election. The provost appoints the program director upon recommendation by the faculty for three-year terms that are renewable subject to evaluation and re-election by the faculty. Typically, program directors who have served two consecutive full terms will not be considered for a successive third term if there are other eligible candidates within the program.

B2.2.3.2. Procedures for Removing a Departmentally-Elected Chair from Office

A dean who wishes to remove an elected department chair from office initiates the process by informing the chair and presenting the chair and the provost with written reasons with all supporting documentation for the recommended removal.

The provost convenes a Council of five tenured chairs, at least three of whom should be from a different College or School than that of the chair against whom reasons for removal from office have been presented by the dean.

The council reviews these reasons and all supporting documentation and makes a recommendation to the provost. In reviewing the situation, the council may meet with and discuss issues with the chair and dean.

The provost takes the recommendation of the council into consideration in determining if the chair is to be removed from office. The provost conveys their decision in writing to the chair with a copy to the dean and members of the council.

The chair, if removed from office, may appeal the provost's decision to the Faculty Affairs Committee. The FAC will consider the appeal on the basis of violations of process and/or violations of the chair's academic freedom and/or the professional well-being of the department/program. FAC submits its findings to the University president. The University president makes the final determination on the appeal.

B2.2.3.3 Procedures for Evaluating Department Chairs within a College/School

Department chairs are evaluated by their department faculty and the dean of their College/School prior to reappointment by the provost in the spring semester of their third year. Chairs submit their annual summaries to the dean.

Process:

1. The dean reminds the department by February 1 that a review of the chair will occur prior to reelection and reappointment for another three-year term;

2. The dean calls a meeting of all regular faculty within the department by February 10 and charges a senior member of the faculty to lead the process;

3. If the department has fewer than two regular faculty members, the department may request that additional regular faculty from a related department join the department in its evaluation of the chair; no more than two additional faculty may be thus invited to join departmental deliberations;

4. The department faculty and any additional faculty selected to join them meet and evaluate the chair against the list of chair duties outlined in the *Faculty Handbook*; a template listing these duties is provided to the department by the dean;

5. The faculty member selected to lead/facilitate the evaluation submits the results of the evaluation to the department faculty with a copy to the dean.

6. The dean may also add a letter of evaluation, based on the chair's annual report and other observations, share the letter with the chair, and place it in the chair's personnel file.

B2.2.4. Departmental Procedures and Faculty Responsibilities

Meetings

Academic departments are required minimally to meet monthly during the academic year in addition to meeting as needed on departmental searches and revising the curriculum, to elect a chair, conduct assessments, support the accreditation process, and other issues.

Nurturing and Evaluating Junior Faculty

Senior faculty are responsible for contributing to the development of tenure-track faculty within their departments and to their evaluation, which is led by the department chair.

It is generally expected that junior faculty will begin to engage in service by participating on committees, but that commitment to service will strengthen and deepen as faculty progress through the ranks. The chair,
senior faculty members, and the department as a whole must ensure, therefore, that tenure-track faculty are protected from over-extending themselves through service and teaching commitments so

that they can attend in their probationary years to establishing a strong teaching portfolio and successfully initiating their scholarly life. The chair is the primary agent who ensures work load balance for all faculty in the department.

Teaching

Faculty must meet their assigned classes at the scheduled times. Changes in the schedule requested by the instructor are approved by the department chair and communicated by the chair to the Registrar and the dean. If, for some valid reason, the instructor cannot meet a class, they notify the Registrar and the students of the cancellation of the class. If an instructor must cancel more than one class, they notify the department chair and dean to ensure that arrangements, satisfactory to assuring student progress, are made.

Regular full-time faculty are typically present on campus at least four days a week during the academic year, which starts formally at Convocation and ends at Commencement. Faculty members who teach on multiple campuses during the same semester may divide their on-campus time and their office hours proportionately among different campuses as appropriate. Some office hours, especially in the case of faculty who teach online, may be held online with approval by the department chair and dean.

Annual Summaries

All regular faculty, faculty on continuing appointments, and faculty who are moving from adjunct status to tenure track in the department submit annual summaries detailing their annual activities and accomplishments in the areas of teaching, scholarship, and service to their department chairs. Annual summaries are included in all portfolios submitted for purposes of advancement.

Chairs review annual summaries with individual faculty members in their department, before submitting them, along with any comments they may wish to add, to the dean. Deans review annual summaries within their College/School, acknowledge each annual summary individually in writing to faculty members and summarize any concerns, as applicable, with a copy to the chair, and then submit a summary report to the provost regarding all annual summaries from their College/School. Annual summaries and all written evaluations of them become part of the faculty member's advancement and post-tenure assessment file.

Faculty submit annual summaries to their chair for the prior academic year by September 15 each year; chairs submit these with any additional comments to their deans by October 15; deans discuss and communicate in writing any issues with individual faculty members and their chairs by November 15, and submit a summary report for their College/School to the provost by December 1. Deans send reminders to faculty and chairs in their College/School by the end of the previous academic year and again by August 15 of the new academic year about these deadlines.

If any serious issues have been identified through the annual summary process, the provost may schedule a meeting with the faculty member, their chair, and dean to discuss the summary and any follow up actions and/or developmental support that might be necessary.

Program Review

Program reviews/assessments are undertaken by departments every seven years. In a College such as CAS, which has no accrediting body, program reviews serve a similar function. Accredited programs

may use their accreditation review as the equivalent of program review, but all programs which do not undergo accreditation are required to undertake program review.

The cycle of program reviews within a College/School is established during the 2014-15 year through discussions and collaboration between departments and their deans and publicized by the dean to members of the College/School. The provost will publicize the master list of scheduled program reviews across the University.

The first cycle of program reviews will begin in 2015-16. Programs which undertake their first review in 2015- 16, for example, will undertake one again in 2023-2024; programs which undertake their first program review in 2022-2023 will undertake one again in 2030-2031. It is expected that across the University, no more than five program reviews will typically be undertaken in any academic year.

Procedures:

- Each College/School is part of a cycle of program reviews; each program is reviewed every 7-years;
- Each program identifies a team of two peers from comparable nearby universities to visit and assess their program (the scope of the review might extend to curriculum, possibilities for expansion and growth, assessment of resources, personnel needs, staffing needs, the program's fulfillment of mission, etc. and is determined by the Department in advance in collaboration with the Dean);
- The review team meets with the department chair, faculty, affiliated faculty from other departments, the dean, and the provost;
- The team submits a report verbally to the department and other interested members of the community at the conclusion of their visit and in written format subsequently to the department chair and dean;
- The report is also submitted to the provost;
- The provost meets with the department and dean to discuss how issues (such as personnel needs, or curriculum enhancement) might be addressed by the faculty and supported by the dean and provost.
- The results of the review will be shared with the president and Board of Trustees. The program review team is reimbursed for travel and paid a modest honorarium.

B2.3. Procedures Relating to Shared Governance

B2.3.1. Procedures for Electing Faculty to University Committees

University committees may consist of appointed and/or elected faculty members. University committees and their membership criteria are listed in the *Employee Handbook*, 2.7 through 2.7.14, and the *Faculty Handbook*, 2.3.1.

The Faculty Senate organizes the election of faculty to University committees in accordance with criteria for each committee as outlined in the *Employee* and *Faculty Handbook*.
If an elected faculty member is unable to serve out their term on a University committee and resigns or vacates their seat on the committee during the academic year, either

(1) An election will be held in full Faculty Assembly to identify another faculty member who will serve out the term of the previously-elected faculty member, if the remaining period of service extends beyond a

year Or

(2) The faculty president will appoint a faculty member to serve out the term of the previously-elected faculty member if the remaining period of service is less than a year

B2.3.2. Procedures governing Faculty Participation in Board of Trustees (BOT) Committees

The following procedures will be followed for selecting faculty representatives to serve as members on Board of Trustees committees, to develop a structure for faculty representatives to report to the faculty, and to develop a structure for faculty representatives to receive input from their faculty constituents.

<u>Faculty Representation</u>

Faculty representatives sit as voting members of **some** Board of Trustee committees, **including:**

- Academic Affairs
- Enrollment Management
- Finance
- Investment
- Institutional Advancement
- Student Affairs

The faculty representatives to the Board's Academic Affairs Committee will be a member of the Faculty Affairs Committee (usually the committee chair) and the faculty president. The faculty president and faculty president-elect will both serve on the Board's Finance Committee (as non-voting members).

Faculty representatives serving on all other committees will be elected at large from the tenured faculty. These representatives serve two-year terms, with a term limit of three terms. At the Board of Trustee's behest, the faculty president may be asked to represent the faculty on any, and multiple, Board Committees or Subcommittees. **As the Board of Trustees forms additional regular and ad hoc committees, unless the Faculty Senate specifies some other means of selection, faculty representatives will be elected at large from the tenured faculty.**

At the Faculty Senate meeting following a meeting of Board Committees, faculty representatives will provide a brief report to the faculty.

The faculty president may choose to caucus with faculty board representatives prior to Board Meetings.

Replacements for faculty unable to complete their elected term will be made in accordance with *Senate Bylaws*.

The chart below will be used to regulate the selection of faculty representatives.

BoT Committee	Faculty Representative	Term
Academic Affairs	Faculty Affairs and Faculty President	Not to exceed 6 years
Finance (includes Facilities)	Faculty President/FP-Elect	2 years (one as FP, one as FPE)
Investment	One at-large	Even
Enrollment Management (includes International Programs)	One at-large	Odd
Institutional Advancement (includes Marketing)	One at-large	Even
Student Affairs	One at-large	

B3. PROCEDURES AND CRITERIA FOR FACULTY ADVANCEMENT

SMU appoints tenure-track faculty intending to support their professional growth towards tenure, and through the course of their career, to advancement in rank to Associate and full Professor.

Each semester, the Advancement Committee is responsible for hosting an information session to ensure that faculty are aware of all deadlines, guidelines, policies and procedures related to the advancement and sabbatical application processes.

Tenure-track faculty members are evaluated annually during their first three years and if they are unlikely to reach their fullest potential at SMU, they will be informed of this no later than the conclusion of their third year. Additional annual reviews may be initiated by the College/School dean in one or all years prior to the faculty member submitting their application for tenure.

Once they reach their sixth year, only the most unusual circumstances should result in their not achieving tenure; likewise, promotion in rank is the expected norm at point of tenure or thereafter, based on criteria outlined below.

B3.1. Procedures governing the First-year Review of Tenure-Track Faculty

First-year tenure-track faculty are evaluated prior to being renewed for a subsequent year. In their first year, tenure-track faculty are encouraged to refrain from taking on major committee assignments; they are encouraged instead to focus on transitioning into the life and culture of the University and becoming effective and compelling teachers. The First-Year Review necessarily focusses, therefore, on teaching effectiveness and the promise of future scholarship and service.

- The department chair conducts class visitations of all first-year tenure-track faculty.
- A meeting is held between the department chair and the first-year tenure-track faculty member by January 15 to answer any employment-related questions and so that the chair can provide an assessment of the faculty member's classroom performance.
- The department chair writes an evaluation of the faculty member's strengths and weaknesses and transmits it along with their recommendation regarding renewal to the dean and the faculty member by February 1.
- An opportunity is afforded to the faculty member to respond in writing to the evaluation; this response must be submitted to the chair with a copy to the dean by February 15.
- A recommendation to renew or not renew the faculty member beyond the current academic year is made by the dean to the provost by March 1 based on the recommendation by the chair.
- A decision to renew or not renew the faculty member beyond the current academic year is made by the provost no later than by March 15; a copy of the decision is sent to the faculty member, the department chair, and the dean.

The appeals process, if the faculty member wishes to appeal on the basis of violations of academic freedom, is described in *Bylaws* 9.

The Second-Year Review typically consists of the submission of an Annual Report by the tenure-track faculty member and a written evaluation by the department chair; both become part of the tenure application file of the faculty member at a later date. Based on the results of the First-Year Review, the department chair may require additional elements (such as class visitations by peers) as part of the second- year review.

B3.2. Procedures governing the Third-Year Review of Tenure-track Faculty

The Third-Year Review is intended to provide the candidate with accurate and thorough feedback about their teaching and professional development, service to the University community, and scholarly activity. The Third- year Review enables the Department, College, and University to determine if the faculty member is making due progress towards a successful application for tenure in future. If the candidate is making due progress towards tenure, it provides preparatory guidance toward the tenure process by generating substantive letters from peers and supervisors that will become an important part of the candidate's tenure file.

B3.2.1. Composition of the Third-year Review Committee

Membership of the Third-year Review Committee is broad-based to provide the candidate substantive and diverse evaluative feedback in several areas.

The committee consists of:

a. the candidate's department chair
b. a tenured peer selected by the candidate
c. a member of the Advancement Committee

Should the candidate be a department chair, the chair of a closely related department will be appointed

by the dean to serve on the committee.

B3.2.2. Procedure and Documentation

By May 1 of each year, the College/School dean initiates the Third-year Review process for eligible faculty by informing individual faculty members and their chair.

By September 15 of the candidate's third year, (or the equivalent for regular part-time faculty member), the candidate informs their department chair about the tenured peer who has agreed to serve on the review committee. With guidance from the chair, the candidate completes their review file for the committee.

The committee is charged to review the candidate's file and make statements of evaluation and recommendation in the areas of (1) teaching effectiveness and professional development, (2) University service and (3) scholarly activity.

Documents relating to the First-Year and Second-Year reviews will serve as initial documents in the portfolio built by the tenure-track faculty member to be used in their Third-Year file and application for tenure and promotion.

Saint Martin's University recognizes that its diverse faculty members may choose any number of ways to present an argument for first-year review, Third-Year Review, tenure, and promotion. Therefore, the list below represents the core of the file. Candidates must submit all the materials listed below, but may elect to augment their arguments with further materials. The portfolio should evidence the faculty member's activities in the three traditional areas: teaching and professional growth, scholarly activity, and service to the University community. Documents to be included in the portfolio include the following:

a. Letter of appointment / hiring letter
b. All teaching evaluations, both student and peer evaluations, to date;
c. All syllabi from the courses taught;
d. Representative teaching materials (handouts, worksheets, lab experiments, paper assignments, etc.);
e. Dated curriculum vitae (normally includes education, degrees earned, home and business address, employment experience, professional publications and presentations, university and community service, professional organizations, courses taught, distinctions, references, professional memberships);
f. Copies of all publications, papers presented, etc. listed in curriculum vitae;
g. A personal statement of 5-8 single-spaced pages, wherein the candidate will reflect upon their pedagogical approaches, achievements, service, and growth as a professor. The statement should consider, but not necessarily be limited to, the following:

    Pedagogical strategies and theoretical assumptions in the classroom; Professional and scholarly activities; and Any additional materials

h. All Annual Summaries (see HB 5.9.) to date.

Additionally, the chair and dean are responsible for sending all written communications which are

evaluative and reference or speak to the candidate's progress or lack of progress towards tenure and promotion to the department and the candidate two weeks prior to the deadline by which the candidate has to submit their portfolio for the Third-Year Review.

The candidate may incorporate any responses to these evaluations in their personal statement.

B3.2.3. Timeline

- The faculty member hands the completed file to their chair no later than January 5;

- The chair hands the file to the Third-Year Review Committee by January 20 along with a letter (copied to the faculty member) containing their evaluation of the faculty member, a written recommendation to renew or not renew the faculty member, and (if recommending renewal) any suggestions the chair may have for the faculty member's continued growth in teaching, service, and/or scholarship;

- The committee submits the file to the dean of the College/School by February 1 along with a second letter (copied to the faculty member) containing recommendation to renew or not renew the faculty member, and any additional comments or suggestions it may wish to add to the chair's letter;

- The dean submits the file to the provost by February 15 along with a letter (copied to the faculty member) containing their recommendation to renew or not renew the faculty member, and (if recommending renewal) any suggestions the dean may have for the faculty member's continued growth in teaching, service, and/or scholarship;

- The provost evaluates the file and all recommendations and informs the faculty member in writing of their decision to renew or not renew their tenure-track appointment by March 1.

All recommendations, evaluations, suggestions and decisions from the chair, the Third-Year Review Committee, the dean and the provost must:

- Be substantive, thorough and communicated in writing;
- Be based on evidence in the candidate's file;
- Cite criteria articulated in the Faculty Handbook, Faculty Bylaws and the appropriate departmental Guidelines for tenure and promotion; and
- Be responsive to any previous letters in the third-year review process.

If a determination is made to not continue the faculty member's tenure-track appointment beyond the year of the third-year review, the Provost will extend a one-year, non-renewable, terminal contract to the faculty member for the subsequent year (typically the fourth year). The process by which a faculty member may appeal a decision not to renew their tenure track appointment and to move them into a terminal, non-renewable, one-year appointment in the subsequent year, based on violations of academic freedom, is outlined in *Bylaws* 9.

B3.2.4. The Committee's Evaluation Criteria

The committee must rely on the criteria outlined in *Departmental Guidelines*, the *Faculty Handbook*, and *Faculty Bylaws* to evaluate the tenure-track faculty member's application file during their third year. The Third-year review is intended in part as preparation for the fuller review process which attends to a candidate's application for tenure and / or promotion.

Teaching Effectiveness

To evaluate the candidate's teaching abilities, the committee should consider the relevant materials submitted for review in the applicant's file. At least two members of the committee should make class observations of the candidate during the fall semester of the candidate's third-year. Among the three criteria for faculty advancement, effective teaching is of paramount importance; strong performance in the other two areas (service and scholarship) cannot compensate for poor teaching; scholarly accomplishment, service to the University community, and strong teaching are all essential for advancement.

Service to the University Community

To evaluate the candidate's service to the University community, the committee should consider the relevant materials submitted for review in the applicant's file. Though faculty members contribute to the University Community by teaching and scholarship, they are also expected to serve the community in other ways. In the context of applying for advancement, service includes any roles and responsibilities – apart from teaching and scholarship – that support the interests of students and/or the mission and function of the institution, whether at the Departmental, School/College or University level.

Faculty service usually involves, but is not limited to, serving on committees, which may be standing or ad hoc. Some committees are faculty committees, others are convened by other campus constituencies such as Student Services, the Board, or the Abbey. All committee service is considered a positive contribution to the faculty and the University community. Special consideration is given to particularly active service: membership on demanding or challenging committees, serving as committee chair, etc.

Other members of the faculty are welcome to contribute letters of support for the candidate in relationship to these activities.

Scholarly Activity

To evaluate the candidate's scholarly activity, the committee should consider the relevant materials submitted for review in the applicant's file. Evidence of scholarly activity may include scholarly research and/or publications, leadership of workshops and/or conferences, presentations at such events, creative products, active membership on the Boards or in leadership of professional organizations, or a systematic ongoing program of study which shows promise of developing into a publishable or creative piece. Faculty
may also demonstrate their commitment to scholarship by regularly engaging students in research projects that result in presentations by students (who have been mentored) at regional or national conferences in their discipline or by publishing on the scholarship of teaching and learning.

Since expectations with regard to "scholarly engagement" vary widely based on disciplines, faculty must create departmental documents describing criteria for documenting scholarly engagement in their discipline(s). The dean and provost must ensure that there is parity in expectations across

Colleges/Schools. The department chair must ensure that all regular faculty in the department are familiar with these criteria, once finalized, and that they are included in the tenure and promotion applications of candidates.

If, because of limited resources or inadequate facilities, a junior faculty member is precluded from research in their area of expertise, he /she may place special emphasis on the scholarship of teaching and learning and/or work out comparable alternative plans for pursuing scholarly work in consultation with their home department. Departments should aim to account for the kinds of work that might constitute "equivalent scholarly work" in their departmental documentation in order to enable tenure-track faculty members to present a successful portfolio for tenure and promotion to the associate professor rank. Faculty who are precluded from scholarship in their area of expertise must demonstrate accomplishments equivalent to scholarly work as outlined in approved departmental guidelines.

B3.2.5. The Role of the Review Committee

By February 1, the committee submits a letter to the candidate for inclusion in their tenure file that outlines its response and evaluation of the stated criteria. The letter is sent to the dean with a copy to the candidate and provost.

The committee's letter should reflect the general consensus of the group and include statements of concern from any dissenting members. The letter should give the dean and provost a thorough analysis of the
candidate's contributions to the University in each of the required areas, and give the candidate a clear indication of the committee's concerns for growth. Further, it should indicate if the committee recommends continuation of the faculty member in their tenure-track status, and if the recommendation is to make such renewal, the committee should point the candidate to areas that need attention prior to consideration for tenure.

If the committee has serious concerns regarding the candidate's progress towards tenure but recommends that the candidate be renewed in the tenure track for a fourth year, the Committee may additionally
request a formal review during the candidate's fourth year. This fourth-year review process will mimic the review process conducted in the third year. Copies of committee's letter and recommendation are sent to the dean for consideration.

Irrespective of its recommendation, the third-year Review Committee's report does not
bind TAP or the Advancement Committee in their future decisions.

The candidate may respond to the committee's letter by composing an additional letter that will be placed in the candidate's personnel file with the report from the committee.

B3.3. Procedures for applying for Tenure

Tenure-track faculty must apply for tenure by the date specified in their Letter of Appointment. Failure to do so by the specified date will result in the faculty member receiving a terminal, non-renewable, contract for the following year.

B3.3.1. Timeline

- Achieving tenure requires strong teaching, commitment to engaging with peers through scholarship (E.g. presentations at national and/or regional conferences in their field of expertise especially beyond the third year), and service to the faculty member's Department, College, and/or the University at large.

- By **May 1 of the prior academic year,** the College/School dean notifies all eligible faculty members and their chairs in their College/School about their eligibility to apply for tenure;

- By **August 1**, the faculty member must notify their department chair of their intention to submit an application for tenure; upon notification, within seven days, the chair informs the faculty of the application, inviting letters of comment and support. Letters should be sent to the chair by September 1.

- By **August 15** of that year they must submit their application and all supporting materials to the Chair of their Department;

- **September 1: Deadline for all letters of comment/support.**

- By **September 15** the chair writes a letter of evaluation, after consulting tenured and ranked colleagues, regarding the candidacy of the applicant and sends their letter and the candidate's file to TAP and a copy of their letter to the candidate; in their letter, the chair must clearly indicate support or lack of support for the candidate's application for tenure based on the criteria outlined in departmental guidelines, the *Faculty Handbook*, and *Faculty Bylaws;*

- By **October 15** the College/School tenure and promotion committee evaluates and votes on the candidacy of the applicant and sends all materials along with their recommendation on tenure to the dean of the faculty member's College/School; the committee also sends a copy of their recommendation to the candidate;

- By **October 30,** the dean writes a letter evaluating the candidate's application based on the criteria outlined in *Departmental Guidelines*, the *Faculty Handbook,* and *Faculty Bylaws* and forwards their letter along with all application materials to the University Advancement Committee; the dean also sends a copy of their recommendation to the candidate;

- By **November 21,** the Advancement Committee evaluates and votes on the candidacy of the applicant and sends all materials to the provost; the Committee also sends a copy of their recommendation to the candidate;

- By **December 15,** the provost evaluates and votes on the candidacy of the applicant and sends all materials to the University president; the provost sends a copy of their letter to the candidate; further evaluation of the application ceases from this point until January 26 to allow the candidate to lodge an appeal;

- By **January 5,** the candidate must notify the Faculty Affairs Committee and the provost if they plan to appeal any recommendations made up to this point on their candidacy;

- From **January 5 until January 15,** the candidate may appeal any negative recommendation regarding their candidacy – by their chair, dean, College/School TAP, or the provost – by notifying and filing an appeal with the Faculty Affairs Committee;

- By **January 25**, the FAC must review the appeal and notify the University president of their decision on the appeal;

- By **February 10**, the University president acts on the application for tenure and notifies the candidate, the Advancement Committee, the Faculty Affairs Committee, the department chair, dean of the applicant's College/School, and the provost. The University president then forwards their recommendation to the BOT;

- By **May 15**, the BOT, through its Academic Affairs Committee and then its full membership, makes a final determination regarding the candidate's tenure application.

NOTE: All recommendations, evaluations, and decisions from the chair, tenure and promotion committee, dean, advancement committee, provost, and president must:

- Be substantive, thorough, and communicated in writing;
- Be based on evidence in the candidate's file;
- Cite criteria articulated in the Faculty Handbook, Faculty Bylaws, and the appropriate departmental guidelines for tenure and promotion; and
- Be responsive to any previous letters in the review process – particularly when a recommendation, evaluation, or decision is in disagreement with those in previous letters.

B3.3.2. Tenure and/or Promotion Portfolio

a. Appointment / hiring letter;
b. All teaching evaluations, both student and peer evaluations, to date;
c. All syllabi from courses taught;
d. Representative teaching materials (handouts, worksheets, lab experiments, paper assignments, etc.);
e. Dated curriculum vitae (normally includes education, degrees earned, home and business address, employment experience, professional publications and presentations, university and community service, professional organizations, courses taught, distinctions, references, professional memberships);
f. Letters of evaluation by the department chair, or an appropriate substitute (in case the chair is the candidate) to be determined by the dean;
g. Any additional letters solicited by the faculty member from colleagues, former students, and/or alumni. Letters should reflect specific and direct experience. For example, letters about a candidate's teaching should be based upon class visits; comments about service should be based upon serving
with the candidate; letters about scholarship should be based upon one's own relevant expertise, the testimony of others in the field, the perusal of published materials, etc.;
h. Copies of all publications, papers presented, etc. that are listed in the curriculum vitae;
i. A personal statement of 5-10 single-spaced pages, wherein the candidate will reflect upon their pedagogical approaches, service, scholarly achievements, and growth as a professor. The

statement should consider, but not necessarily be limited to, the following:

Pedagogical strategies and theoretical assumptions in the classroom; Professional and scholarly activities; and Any additional materials.

j. All annual summaries (see HB 5.9.) to date.

Additionally, the dean of the College/School must send all written communications accumulated during the candidate's annual reviews prior to applying for tenure and which are evaluative and reference the candidate's progress or lack of progress towards tenure and promotion to the department chair and to the candidate two weeks prior to the deadline by which the candidate has to submit their portfolio.

The candidate may incorporate any responses to these evaluations by the dean in their personal statement.

All letters from colleagues and/or others to be included in the candidate's file should be addressed to the candidate's department chair, and must be either included in the packet submitted by the candidate to their department chair or submitted directly to the department chair by September 1. These letters become part of the candidate's tenure and/or promotion file, and are available to each of the bodies which review the file. Other than the letters generated by the chair, tenure and promotion committee, dean, and provost, letters cannot be added to the candidate's file after September 1. These letters are given to the candidate upon completion of the tenure and/or promotion processes; or should there be an appeal, during the candidate's preparation for an appeal.

B3.4. Procedures for Applying for Promotion

Applications for tenure and promotion may be submitted simultaneously. Candidates must indicate their intent to apply for both and all evaluators must indicate their vote regarding both applications as separate considerations of each.

B3.4.1. Criteria

Achieving advancement in rank to an associate professor requires strong teaching, ongoing commitment to scholarship and service to one's Department, College, or the University at large.

Scholarship is activity that advances knowledge and shares new ideas and understandings with a broader public in meaningful or impactful ways. Saint Martin's University strives to sustain a culture of scholarship consistent with our institutional priorities and reflective of our Benedictine values. To this end, we encourage, support, and recognize a wide range of scholarly endeavors.

One of the goals of faculty scholarship is to remain current and credible within an academic community or field of expertise. Faculty may demonstrate currency and credibility in traditional ways, such as publishing books, articles in peer-reviewed or refereed venues, book reviews, or contributions to scholarly texts such as encyclopedias; applying for and receiving external research grants; and presenting original work at regional, national, or international conferences. Faculty are also recognized

for works in creative scholarship, including theatrical, literary, or musical performances; exhibitions of visual arts; video or film productions; and the composition and publication of original music or creative writing. Faculty can also demonstrate currency and credibility in the scholarship of teaching, which aims to transform or extend knowledge about pedagogy, and which results in contributions to textbooks; articles published in peer-reviewed or refereed venues; conference papers or posters; external grants for developing innovative pedagogies; or publications or public research presentations by mentored students.

Saint Martin's University also values engaged scholarship equally with the traditional definitions, as part of our core mission and as reflective of our Benedictine values. Engaged scholarship advances knowledge by applying academic expertise to collaborative problem solving with local, regional, national, or global communities. The New England Resource Center for Higher Education offers the following definition:

> *The scholarship of engagement (also known as outreach scholarship, public scholarship, scholarship for the common good, community-based scholarship, and community engaged scholarship) represents an integrated view of the faculty role in which teaching, research, and service overlap and are mutually reinforcing, is characterized by scholarly work tied to a faculty member's expertise, is of benefit to the external community, is visible and shared with community stakeholders, and reflects the mission of the institution.*

Faculty can demonstrate achievement in engaged scholarship by developing research projects that involve faculty and students in a sustained, collaborative manner with a community external to the university; that emphasize shared authority during the research process, from identifying a research problem and choosing a theoretical or methodological approach, to developing a final product; and that result in publicly shared work, such as articles published in peer-reviewed or refereed venues, collaborative reports printed or presented in a public forum, a documentation of the project's impact, or receiving external funding.

Faculty can also demonstrate engaged scholarship through teaching within the Saint Martin's University Core curriculum, especially but not exclusively in developing *Ora et Labora* seminars, which situate academic work in an ethical context and strive to create vital connections between student learning and community service. Faculty are encouraged to integrate projects of engaged scholarship into their Core courses, applying their academic expertise to involve students in the creation of knowledge that engages external communities, offers solutions to community problems, or fosters growth and development in community relations. This integration of faculty teaching, engaged scholarship, and service learning reflects our institutional priorities, in that it has been shown to enhance academic success for all students, including those in underserved groups.

When evaluating faculty scholarship, we recognize that different scholarly endeavors require varying levels of institutional support and often have different gestation periods. Attempts to create collaboration across academic fields, or to build and find funding for new research, require time and energy and may result in reduced scholarly output in the short term. This is also true of engaged scholarship. Collaboration with partners and communities beyond the university may take years to develop. It is the responsibility of the faculty to address capacity and timeline issues early in their scholarship process before their third-year review and long before coming up for tenure and

promotion.

Finally, we recognize that some scholarly endeavors are not readily subjected to external evaluations, including but not limited to research geared to revitalizing or creating curriculum, institutionalizing service- learning opportunities for students, and fostering an academic climate of faculty-student collaborative research. Faculty should explain these forms of scholarship, identify issues that prevent rapid development of scholarship and provide a timeline for successful completion. The explanation of this form of scholarship should include a detailed description of the projects in development, provide supporting evidence, and illustrate the scholarly impact they have had. Supporting evidence may include, but is not limited to, personal correspondence, meeting minutes, testimony from students, alumni, or community members, or revised syllabi or other course materials.

Since expectations with regard to "scholarly engagement" vary widely based on disciplines, faculty should refer to their department tenure and promotion Guidelines for specific expectations. The department chair must ensure that all regular faculty in the department are familiar with these criteria and that they are included in the tenure and promotion applications of candidates. All evaluators at all stages of the process must consult departmental documents regarding criteria for promotion, which serve as supplemental and complementary information to that provided in the *Faculty Handbook* and *Faculty Bylaws*.

Achieving advancement in rank to a full professor requires strong teaching, sustained accomplishments through regular / ongoing publications, creative work, or the scholarship of teaching and learning, i.e. ongoing commitment to scholarly activity, and a strong commitment to leadership/service within the SMU community at many levels.

Among the three criteria for faculty advancement, effective teaching is of paramount importance; strong performance in the other two areas (service and scholarship) cannot compensate for poor teaching; scholarly accomplishment, service to the University community, and strong teaching are all essential for advancement.

B3.4.2. Timeline

- By **May 1 of the prior academic year,** the College/School dean notifies all eligible faculty members and their chairs in their College/School about their eligibility to apply for promotion from assistant to associate professor and from associate to full professor rank;

- By **August 1** the faculty member must notify their department chair of their intention to submit an application. Department chair sends an e-mail within seven days of receipt notifying all faculty of the faculty member's intent;

- By **August 15** of that year the faculty member must submit **their** application**, portfolio (see B3.3.2.)** and all supporting materials to the chair of their department. All letters from colleagues and/or others must be submitted to the departmental chair by September 1. When a department chair applies for promotion, they should notify all faculty of their intent by August 1 and should submit all materials directly to the chair of TAP by August 15; in this case, all letters from colleagues and/or others must be submitted to the TAP Chair by September 1.

- **September 1: Deadline for all letters of comment/support.**

- By **September 15** the chair writes a letter of evaluation, after consulting tenured and ranked colleagues, regarding the candidacy of the applicant for promotion and sends their letter to the dean of the College/School; in their letter, the chair must clearly indicate support or lack of support for the
candidate's application for promotion based on the criteria outlined in the *Departmental Guidelines*, *Faculty Handbook* and *Faculty Bylaws;* the chair must also forward the entire application file along with their letter to the College/School tenure and promotion committee; the chair must also send a copy of their recommendation to the faculty member;

- By **October 15**, the College/School tenure and promotion committee evaluates and votes on the candidacy of the applicant for promotion and sends all materials to the dean of the College/School; the committee also sends a copy of their recommendation to the candidate;

- By **October 30,** the dean writes a letter evaluating the candidate's application for promotion based on the criteria outlined in the *Department Guidelines*, the *Faculty Handbook*, and *Faculty Bylaws* and forwards their letter along with all application materials to the Advancement Committee; the dean also sends a copy of their recommendation to the faculty member;

- By **November 21**, the Advancement Committee evaluates and votes on the candidacy of the applicant for promotion and sends all materials to the provost; the committee also sends a copy of their recommendation to the candidate;

- By **December 15,** the provost evaluates and votes on the candidacy of the applicant for promotion and sends all materials to the University president; the provost also sends a copy of their letter to the candidate; further evaluation of the application for promotion ceases from this point until January 26 to allow the candidate to lodge an appeal;

- By **January 5,** the candidate must notify the Faculty Affairs Committee and the provost if they plan to appeal a negative recommendation by the provost;

- Between **January 5 and January 15,** the candidate may counter any negative recommendations made throughout the process at any level in a letter to the University president; this submission becomes part of the application file for promotion;

- If the provost's recommendation is negative, the University president defers their decision on the candidate's promotion until the conclusion of the appeals process;

- By **January 15,** the faculty member must submit their formal appeal of the provost's recommendation and all supporting documents to the FAC;

- By **January 25**, the FAC must review the faculty member's appeal and notify the University president of their decision on the appeal;

- By **February 10**, the University president acts on the application for promotion and notifies the candidate, the Advancement Committee, the Faculty Affairs Committee (if there has been an appeal), TAP, the department chair, dean of the applicant's College/School, and the provost. The University president then forwards their recommendation to the BOT;

- By **May 15**, the BOT, through its Academic Affairs Committee and then its full membership, makes a final determination regarding the candidate's tenure application.

NOTE: All recommendations, evaluations, and decisions from the chair, tenure and promotion committee, dean, advancement committee, provost, and president must:

- Be substantive, thorough, and communicated in writing;
- Be based on evidence in the candidate's file;
- Cite criteria articulated in the Faculty Handbook, Faculty Bylaws, and the appropriate departmental Guidelines for Tenure and Promotion; and
- Be responsive to any previous letters in the review process – particularly when a recommendation, evaluation, or decision is in disagreement with those in previous letters.

B3.5. Salary Increases

The granting of tenure and promotion is each accompanied by an increase in salary (in addition to the annual step increase). Determination regarding the exact amount of this salary increase is made by the University President and the allocation is reviewed every six years.

B4. PROCEDURES AND CRITERIA WHICH ATTEND TO FACULTY DEVELOPMENT

B4.1. Conferences and Research / Development Support

Procedures for applying for funds from the Faculty Development Committee are evolved and publicized by the committee at the start of each academic year. The committee will aim to create a hierarchy of funding support in keeping with criteria for tenure and promotion. E.g., faculty presentations at conferences may be more substantially supported than attendance at conferences, except in the first two years of a tenure- track faculty member's career when faculty are encouraged to attend conferences as a first step towards connecting with their academic peers.

Faculty requesting funds, when available, from the Office of the Provost must submit a proposal and budget to the provost with a copy to the College/School dean. Provost's funds, when available, are used to support faculty development in areas such as the Core Curriculum, cross- College/School initiatives, and other University-wide programs and activities.

B4.2. Selection / Appointment of Mentor and the Mentoring Program

B4.2.1. Objectives

Based on the mission of Saint Martin's University to further teaching excellence and in reflection of the Benedictine virtue of hospitality, our mentor program is designed to:

a. Promote teaching excellence;
b. Introduce and guide new faculty to all aspects of their academic work life;
c. Ensure that each new faculty member receives support in academic orientation to the University;
d. Ensure that each new faculty member be offered a risk-free and non-threatening

environment in which to develop and refine teaching skills;

e. Nature of mentor program: Mentoring is a support/coaching system provided by experienced faculty for new faculty. Its emphasis for each of the two semesters is orientation to the University and alignment of new faculty teaching skills to University standards.

B4.2.2. Timeline

Phase I: Initial Semester

Emphasis: Academic Orientation to University and instructional expectations (syllabi writing, developing exams, etc.).

Phase II: Second Semester

Emphasis: Instructional coaching, planning, teaching strategies, student-teacher relationships, development of courses, exams, securing teaching materials, etc.

B4.2.3. Procedures

a. Mentors are matched with new faculty members by department chairs during the second week of the fall semester. Typically, mentors will be members of the faculty who are not holding the position of dean;
b. A mentor will ensure initial contact to get acquainted and set up a regularly scheduled meeting (at least one every other week);
c. The mentee will make at least one observational visit to the mentor's classroom in the initial semester;
d. The mentor will make at least one observational visit first semester and two visits second semester. Verbal or written feedback will be given to the mentee after each classroom visit.

B4.2.4. Confidentiality Policy

The relationship between the mentor and the new faculty will remain confidential and supportive. The following procedures will be followed:

a. Mentors will refrain from sharing any information regarding a mentee with the mentee's department chair, administration, colleagues or students. The single copy of written comments used in conferences between mentor and mentee will be given to the mentee;
b. If a new faculty member's retention or future contract to the University is in question, the confidentiality of the mentor/mentee role will not be violated;
c. Under unusual circumstances, a mentee may request a letter of recommendation from a mentor for purposes of review. In such circumstances, it is up to the discretion of the mentor whether to write such a letter and what to include in it.

B4.2.5. Mentoring of Visiting Faculty

Although visiting faculty are not formally a part of the mentoring program, our foundation as a Catholic Benedictine community informs our support for these hires. The university therefore wishes to offer reasonable assistance so the visiting appointee's professional development at Saint Martin's assists their pursuit of goals beyond their time at Saint Martin's. The department chair will ensure that they are assisted with syllabus construction and review, class visits, and several one-on-one meetings. Visiting faculty will also be encouraged to attend orientation programs for new tenure-line faculty hosted by the Center for Scholarship and Teaching.

B4.3. Applications process for Junior Faculty Fourth-year Teaching Reduction

Regular tenure-track faculty members who typically (a) teach a twelve-semester credit load in each of the two semesters of the academic year, (b) are eligible to apply for tenure in their sixth year, and (c) successfully complete their third-year review, may take a two-course (6 credits) reduction during their fourth year. The reduction may be taken in a single semester of the fourth year (teaching load of 4/2 or 18 credits for the year) or spread through both academic terms (teaching load of 3/3 or 18 credits for the year).

B4.3.1. Procedures and Timeline

1. By **March 1** of their third year, the faculty member submits to the chair of their department an application of no more than three pages responding to issues documented in the Third-year Review and by proposing a plan to attend to their scholarly development in preparation for building a successful tenure file in their sixth year;

2. By **March 5,** the chair of the department makes a recommendation to the dean regardingthis application for a reduced load in the fourth year; the chair must also clarify how the teaching needs of the department will be met during that year, especially if the University has restricted additional adjunct faculty appointments;

3. By **March 12**, the dean evaluates the application from the faculty member and the chair's recommendation, and makes a recommendation to the provost;

4. By **March 19**, the provost makes a decision and communicates this in writing to the faculty member with copies to the dean and chair.

5. By **October 1** of the year immediately followingthis year of reduced teaching responsibilities, the faculty member must submit a one-two page report to the provost, with a copy to their dean and chair, regarding work successfully undertaken during the previous year.

B4.4. Procedures for Applying for Sabbatical Leaves

B4.4.1. Eligibility

In their sixth year of full-time continuous service to the University, regular full-time tenure-track

faculty are eligible to apply for sabbatical leave the following year (upon successfully achieving tenure); eligibility of part-time regular faculty is pro-rated.

E.g. In their thirteenth year of half-time continuous service to the University, a tenured regular faculty member is eligible to apply for sabbatical leave the following year.

Illustration of Sabbatical Timetable

Years Teaching At SMU	Year	Sabbatical Countdown Clock
1.	2020-1	6 hired
2.	2021-2	5
3.	2022-3	4
4.	2023-4	3
5.	2024-5	2
6.	2025-6	1 eligible to apply
7.	2026-7	0 sabbatical, if granted
8.	2027-8	6
9.	2028-9	5
10.	2029-20	4
11.	2030-1	3
12.	2031-2	2
13.	2032-3	1 eligible to apply
14.	2033-4	0 sabbatical, if granted

B4.4.2. Application Procedure

By September 20, the faculty member submits to the Advancement Committee a Sabbatical Proposal that includes 1) a statement of purpose, outlining the work or project to be performed during the period of the sabbatical; 2) a current curriculum vitae; 3) a statement on how the work will enhance the faculty member's scholarly or pedagogical development and the work's positive effect on the faculty member's department, college/school, and/or Saint Martin's University; and 4) copies of previous sabbatical reports as relevant. The faculty member also sends copies of the complete application to the department chair and appropriate dean.

By October 10, the Advancement Committee delivers its written recommendation, along with the application, to the Vice President for Academic Affairs. A copy of the recommendation is also sent to the faculty member. If negative, the Advancement Committee's recommendation must cite the application and the Faculty Handbook and/or Bylaws to justify the negative recommendation.

By October 31, the Provost delivers their written recommendation, along with the faculty member's application and the Advancement Committee's recommendation, to the President. If the Provost's recommendation is negative, it must cite the application and the Faculty Handbook and/or Bylaws to justify the negative recommendation.

By December 1, the President delivers their decision to the faculty member with copies to the Department Chair, Advancement Chair, Dean, and Provost. If a negative decision, the faculty member may petition the Faculty Affairs Committee to serve as an umpire, if the faculty member makes an

argument that there has been a violation or misreading of the application or the Faculty Handbook or Bylaws. The Faculty Affairs Committee may elect to take up the case or not. If not, the matter is thereby resolved. If the Faculty Affairs Committee takes up the case and finds against the faculty member, the matter is resolved. If the Faculty Affairs Committee takes up the case and finds for the faculty member, it delivers to the President and Vice President for Academic Affairs its argument, citing the appropriate parts of the Handbook or Bylaws and the application. The President's decision hereafter is final.

B4.4.3. Length of Sabbatical Leave

Sabbatical leave is granted for a semester at full salary, or for one academic year at three-quarters salary. The period of the sabbatical leave is credited as service for the purposes of promotion and the granting of salary step increases.

B4.4.4. Sabbatical Agreement

Sabbaticals are granted upon the expressed agreement that the faculty member will continue to serve the University for at least one year after the expiration of the term of leave, unless this provision is expressly waived by the president. Should the faculty member fail to fulfill the terms of the sabbatical agreement, including the sabbatical report, fail to serve for at least one year, they are liable for repaying the whole or a proportionate share of the salary paid during the sabbatical leave to the University.

B4.4.5. Salaried Activities during Sabbatical Leave

Faculty may not undertake teaching responsibilities at SMU while on sabbatical leave. Faculty may, however, seek approval to undertake salaried activities outside SMU during their sabbatical that may directly benefit their development as teachers and scholars. New salaried activities outside SMU should be enabling in nature, such as those associated with fellowships, scholarships or stipends that enable the faculty member to undertake a sabbatical leave.

B4.4.6. Sabbatical Report

Faculty members returning from sabbatical must submit a written report summarizing their professional development while on sabbatical to the Department Chair, the Dean of their College/School, and the Provost within six weeks after their return to normal duties in the following semester. They must also present their sabbatical work at an appropriate faculty forum. Faculty members are also obligated to complete a year of teaching after accessing a sabbatical.

B4.5. Post-Tenure Faculty Development and Review Procedures/Timeline

In every fifth year after achieving tenure, each faculty member will undergo formal evaluation overseen by their chair, who will organize the review in consultation with the faculty member. If a department chair is scheduled for post-tenure review, they should, in consultation with the dean, find another department chair to oversee the evaluation. The faculty member may request that one other faculty member of their choice from inside or outside the department join the chair in the peer

review. The chair will prepare a report summarizing findings of the multiple sourced evaluations.

By May 1 of each academic year, the College/School dean notifies all faculty members coming up for post- tenure review and reminds them of the schedule/deadlines for the coming fall. Notification is copied to the appropriate chairs.

By September 7, the provost prepares and publishes a schedule indicating deadlines for each of the steps in the ongoing development and review process sends it to faculty members up for post-tenure review.

By October 1, a faculty member up for review submits the following materials in a portfolio not to exceed six pages (excluding any student evaluations) to their chair:

a. a narrative description of activities addressing teaching effectiveness; scholarly, creative, or interpretive activity; and service to the University community;
b. student evaluations of all courses taught in the previous year;
c. any additional information.

While these materials are to be submitted to the chair every year as part of the faculty member's annual report, the formal more extensive review of these materials will occur during every fifth year of teaching. The fifth year period beginning date commences from the date on which tenure begins or the academic year following the last ongoing evaluation period, whichever occurs last (see illustration of typical review schedule below).

By November 7, the chair will discuss the resulting evaluation with the faculty member. The faculty member will be given the opportunity to attach comments to the report.

By November 15, the chair sends the report to the dean of the College/School.

By November 20, the dean of the College/School will add a one-two page evaluative report **and** share a copy of the same with the faculty member and department chair.

By November 27, after ensuring that the faculty member and chair have no additional comments in response to this evaluation that they might want to attach as an addendum to their original evaluation, the dean will forward the whole portfolio of materials to the provost. The provost may schedule a meeting with the faculty member and their chair and dean to discuss the evaluation.

By Dec 10, the post–tenure review concludes when:

- if the orovost deems the faculty member's performance satisfactory without any areas of concern they notify the faculty member with a copy to the dean and chair

or

- if areas of concern are identified, the provost works with the chair and dean, to develop and implement a plan year to address them. If agreement on the plan cannot be reached, the Faculty Affairs Committee may be asked to assist in reaching final agreement on the development plan.

Faculty members who have agreed to follow a plan of improvement will report on their progress in subsequent Annual Summaries (see H5.9).

The post-tenure timeline will be suspended if it coincides with the year in which a faculty member applies for promotion; the cycle of post-tenure reviews will continue every fifth-year post promotion. If agreement on the plan cannot be reached, the Faculty Affairs Committee may be asked to assist in reaching final agreement on the development plan.

TYPICAL REVIEW CALENDAR FOR REGULAR FACULTY

Academic Year	Fall	Spring
1		1st year review
2		
3		3rd year review
4		
5		Annual review in preparation of applying for tenure and promotion
6		Tenure and promotion application
7	Five-year cycle begins (5-year cycle is mandated by the NWCCU)	Tenured appointment begins
8		
9		
10		
11	Post-tenure Development and Review	
12		
13		
14		
15		
16	Post-tenure Development and Review	
17		
18		
19		
20		
21	Post-tenure Development and Review	
Academic Year	**Fall**	**Spring**
21	Post-tenure Development and Review	
22		
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B4.6. Applications and Procedures for Leaves of Absence

B4.6.1. Criteria and Important Dates

A regular faculty member may request an unpaid leave of absence from the University. A leave of absence without pay may be granted for a period not to exceed two years. Applications for leaves must be submitted for a year at a time even in instance where leaves are undertaken in two consecutive years.

A leave of absence shall not affect the faculty member's eligibility for continued employment, promotion or contract renewal. Leaves of absence may be granted for reasons such as faculty exchange, faculty loan to another University through an inter-university arrangement, advanced study, scholarship and research, public service, or familial / personal obligations.

During a faculty member's unpaid leave of absence from the University, their office and laboratory spaces will be reassigned by the dean for other use. Either the original space or other comparable spaces will be assigned to the faculty member upon their return to regular faculty status after completing the leave of absence.

By **December 1** during the period of their leave of absence, the faculty member must inform the provost of their intention to return during the following academic year to regular faculty status. Failure to do so may result in forfeiture of the faculty member's regular faculty status and continued appointment with the University.

B4.6.2. Procedure

By **October 1**, a regular faculty member seeking to apply for leave during the following academic year submits an application to their department chair;

By **October 15**, the chair forwards the request with their endorsement, to the dean;

By **November 1**, the dean forwards the request with their recommendation, to the provost;

By **November 15,** the provost forwards their recommendation along with the request for unpaid leave, to the University president;

By **December 1,** the University president communicates their decision regarding the application for unpaid leave to the faculty member with a copy to the chair, dean, and provost. Faculty members already on their first year of unpaid leave must follow the above process and timeline in requesting a second-year of unpaid leave. If a request for an additional year following the first year of leave is not received in the Provost's Office by December 1, the faculty member will forfeit their regular faculty status and continuing appointment with the University.

B5. STANDARDS, CRITERIA, AND PROCEDURES FOR EVALUATING FACULTY

B5.1. General Expectations: Teaching, Scholarship, and Service

Teaching

Commitment to excellence in teaching is a distinguishing characteristic of Saint Martin's University. Each faculty member, regular and adjunct, is expected to strive for excellence in teaching. Indeed, teaching effectiveness is an essential criterion in evaluating faculty for tenure and promotion.

Scholarship

The University expects scholarly, creative or interpretive activity from its regular faculty. Personal involvement with the academic pursuits of one's discipline strengthens a teacher's ability to transmit the processes by which new knowledge is attained. In addition, a faculty of active learners provides a model of life-long learning for Saint Martin's University students. Finally, the reputations of academic departments and the University are enhanced by scholarly and creative work.

Service

The University calls on its regular faculty to participate in its governance and in other activities that cannot strictly be defined as teaching or scholarship. The formulation and review of University policy, participation in departmental administration, and leadership in developing new programs are central to the operation of the University and are necessary components of professional service to the University. No single pattern of service to the University is expected of all faculty members, but each regular faculty member is expected to share in activities, which contribute to the governance, operation, and general welfare of the University.

B5.2. Other Responsibilities and Duties

Student Advising

In an effort to assist each student to reach their full personal and professional potential, the University emphasizes the role of regular and continuing adjunct faculty, such as ESL instructors, in the academic advising of students. Faculty advising includes the following areas:

a. advising the student with regard to the student's work in classes taught by the faculty member;
b. advising the student on requirements of the Core and guiding advisees through the University's foundational Core curriculum;
c. advising the student on major requirements;
d. assisting the student in setting academic goals;
e. recognizing when the student needs professional assistance with personal problems or problems related to academic skill deficiencies and directing the student to the appropriate office or person for assistance.

Presence on Campus

Regular part-time and full-time faculty members are normally expected to be on campus on days during which they are scheduled to teach. In any event, regular faculty are minimally expected to be on campus four days a week during the academic year. Continuing adjunct faculty, such as ESL

instructors, are expected to be on campus during the period of their contract. Faculty members who teach on multiple campuses during the same semester may divide their on-campus time proportionately among different campuses as appropriate.

Office Hours

Each faculty member establishes and posts regular and adequate office hours. These are distributed throughout the week. A minimum of five hours is scheduled by regular faculty, although scheduled office hours and meeting times should reflect the number of academic advisees assigned to a faculty member, and additional office hours may be needed during registration and examination periods. ESL instructors are expected to keep regular office hours as recommended by the Chief International Programs Officer. Some office hours, especially in the case of faculty who teach online, may be held online with approval by the department chair and dean. Faculty members who teach on multiple campuses during the same semester may divide their office hours proportionately among different campuses as appropriate.

Course Syllabi and Course Responsibilities

Faculty are required to file a syllabus for each course taught, including grading procedures, in the dean's office by no later than the end of the first week of class.

All faculty are responsible for planning and presenting the course material, establishing course objectives and requirements and making them known to the student, selecting and ordering texts and supplemental materials in a timely manner, preparing, administering and grading papers and examinations, and assigning grades.

Faculty must meet their assigned classes at the scheduled times. Changes in the schedule requested by the instructor are approved by the department chair and communicated by the chair to the registrar. If, for some valid reason, the instructor cannot meet a class, they notify the registrar and the students of the cancellation of the class. If an instructor must cancel more than one class, they notify the department chair and dean to ensure that arrangements, satisfactory to assuring student progress, are made.

The period of final examinations is scheduled at the end of the semester by the Registrar's Office. No examinations are to be administered to classes during the last regular week of scheduled classes in lieu of the final examination. Final examinations, if given, must be administered at the date and time specified by registrar. Exceptions to this policy must be approved by the provost.

All faculty members are expected to maintain adequate records of student progress and attendance.

Team Teaching Criteria

Team teaching has to be approved by the appropriate department chairs and the dean(s), and may be restricted based on a College/School's curricular and teaching needs.

Faculty members who elect to team teach a course with a colleague are required to abide by the following policies:

- Team-taught classes will count as in-load teaching for each faculty member provided he class enrolls a minimum of 15 students if team taught by two faculty members and 24 students minimally if team taught by three faculty members;

- Both faculty members are required to attend all scheduled class sessions so that students benefit from the expertise of both faculty members and the exchange of ideas between them;

- All effort must be made by faculty engaged in teaching a class together to equalize their workloads for the course with regard to grading and evaluating assignments.

Adherence to University Policies and Procedures

Each faculty member is expected to be familiar with and adhere to the policies and regulations of the University. The *Employee Handbook, Faculty Handbook*, and *Faculty Bylaws* constitute an effort to summarize such regulations. When questions of interpretation arise, clarification should be sought from the appropriate official of the University. Adherence to these regulations is understood to be incorporated as part of the contract of every faculty member.

In the event of a conflict between the *Employee Handbook* and the *Faculty Handbook* and/or *Bylaws* with respect to faculty policies, the *Faculty Handbook* takes precedence.

B6. TIMELINES AND PROCEDURES FOR FACULTY CONTRACTS AND LETTERS OF APPOINTMENT

B6.1. Faculty Contracts and Letters of Appointment

B6.1.1. Faculty Contracts – Tenured Faculty

When the Board of Trustees awards tenure to a faculty member, the faculty member is issued a continuing contract signed by the University President. The University recognizes that tenure is a permanent and continuous appointment which can only be terminated for adequate cause, except in the case of retirement for age, or under extraordinary circumstances as outlined in section H9.2.

The continuing contract contains the date tenure was granted and refers faculty members to compliance with the policies of the University as stated in the Employee Handbook, Faculty Handbook, and Faculty Bylaws. Both the University and faculty members are bound by these written policies, procedures, and regulations. Appendix A contains a sample of a continuing contract.

B6.1.1.1. Continuing Contract Addenda

Typically, tenured faculty receive an addendum to their continuing contract by the third Friday following the last spring semester Board of Trustees meeting. In the unusual event that an addendum is not issued, the previous year's addendum remains in effect. A sample of a continuing contract addendum is included in Appendix A. Tenured faculty addenda include the following:

<u>Salary and Pay Schedule</u>

Addenda specify the effective dates of the addendum. This typically includes the nine-month salary and payment schedule.

Academic Rank

Addenda specify academic rank and, as applicable, the academic year of the faculty member's promotion eligibility and post-tenure review.

Duties

Addenda specify the maximum teaching load, credit hours, course releases, additional compensation, and other special duties, such as supervision, administration, and research.

B6.1.1.2. Changes to Addenda

Any changes to a faculty member's Addendum must be approved by the Dean and Provost and will be made by the Office of Human Resources as either an amendment to their original Addendum, as a new Addendum, or via Personnel Requisition.

B6.1.2. Tenure-Track Faculty Letters of Appointment

Tenure-Track faculty members receive Letters of Appointment annually by March 15th of the current year for the following year. Letters of Appointment are typically signed by the University president or by the provost on behalf of the University president.

The Letter of Appointment serves as an offer of employment for the following academic year by the university to the faculty member. For faculty re-appointments, the terms of the offer are those of the faculty member's Contract for the previous academic year. Appendix A contains a sample of a tenure-track letter of appointment.

B6.1.2.1. Tenure-Track Faculty Contracts

Decisions regarding faculty pay, advancement, duties, and revisions to the faculty handbook and bylaws are typically finalized by the end of the last spring semester meeting of the Board of Trustees. Faculty Contracts for the following year are typically issued by the third Friday following the last spring semester Board of Trustees meeting. Appendix A contains a sample tenure-track faculty contract.

Salary and Pay Schedule

Each faculty member's Contract specifies the effective dates of the appointment, typically their nine-month salary, and payment schedule.

Academic Rank

Each faculty member's Contract specifies their academic rank and tenure status. The Contract also indicates the academic year of the faculty member's third-year review, the academic year of tenure eligibility, and the academic year of promotion eligibility.

Duties

Each faculty member's Contract specifies their maximum teaching load, credit hours, course releases, additional compensation, and other special duties, such as supervision, administration, and research.

University Handbooks and Faculty Bylaws

Each faculty member's Contract refers faculty members to compliance with the policies of the University as stated in the Employee Handbook, Faculty Handbook, and Faculty Bylaws. Both the University and the faculty member are bound by these written policies, procedures, and regulations.

B6.1.3. Contract Changes

Any changes to a faculty members' Contract must be approved by the Dean and Provost and will be made by the Office of Human Resources as either an amendment to their original Contract, as a new Contract, or via Personnel Requisition.

B6.2. Outside Employment

Before undertaking outside employment, full-time faculty must make written application for approval to their College/School dean, stating the rationale for outside employment and the benefit to the University and/or the larger community. The dean ascertains whether the outside employment runs a risk of conflict of interest or commitment or interference, then – with their written recommendation attached – sends the request on to the provost for approval.

Faculty undertaking outside employment are expected to ensure that neither the quantity or nor the quality of their time spent on University responsibilities is compromised in any way. Deans must update the provost annually through a written report about all outside unemployment undertaken by the full- time faculty in their College/School.

In the event that a request to accept outside employment is denied by the dean or provost, the faculty member may petition the provost for a temporary reduction of contract for the duration of the outside employment. (This reduction can apply to regular part-time faculty, but only if they are more than half- time and less than full-time, since part-time faculty must be at least half-time to be considered eligible for tenure.)

As faculty are not hired on the basis of an hourly wage, it is understood that the hours that constitute a work week may vary significantly from one week to the next. Nonetheless, for the sake of providing faculty with well-defined guidelines on outside employment, the University limits full-time faculty to an average of 12 weekly hours of outside employment.

Regular faculty who undertake outside employment during the three summer months of the year when they are not on contract with the University (May 15 – August 15) are not required to seek permission to do so from the University.

To the extent that it informs their scholarship, faculty are encouraged to share the work they do outside the university with colleagues and students.

For further information, please refer to the Conflict of Interest and Conflict of Commitments

Policy in H1.5.4.

B6.3. Consulting

Insofar as consulting work is most often akin to outside employment, the guidelines on outside employment (H6.1. and B6.2.) are the same, including the process for applying for permission and the limit of an average of 12 weekly hours. If a faculty member intends to use University laboratories and equipment (for which the University reserves the right to charge a fee and/or impose contractual obligations with regard to usage, etc.) they should provide details of such when applying to the dean.

For further information, please refer to the Conflict of Interest and Conflict of Commitments Policy in H1.5.4.

B7. PROCEDURES FOR DETERMINING AND ASSIGNING FACULTY WORKLOAD

The faculty teaching load at Saint Martin's is defined in terms of teaching semester credit hours.

B7.1. Standard Teaching Load for Regular Faculty

Normally, a full-time regular faculty member with commitments to teaching, scholarship, and service, regardless of rank, teaches twenty-four (24) semester hours each academic year.

The teaching load of the individual faculty member is evaluated by the dean, subject to review by the Provost.

In its effort to assure equity in the distribution of assignments, the University recognizes that an adequate definition of a regular faculty member's workload takes into account the full spectrum of their professional and institutional services.

B7.1.1. Calculation of Studies and Independent Studies in Workload

B7.2. Adjunct Faculty Teaching Loads

Adjunct faculty workloads are calculated as follows: 1 hour of teaching requires 1.25 hours of preparation. Each semester teaching hour therefore equates to 2.25 weekly work load hours.

Adjunct faculty are typically encouraged to maintain one weekly office hour per course, which are included in the total hours represented below in calculations of an adjunct faculty member's weekly work load.

Adjunct faculty workloads do not typically exceed three 3-credit semester courses on the Lacey Campus in each semester. Adjunct faculty workloads do not typically exceed two three-credit courses in each eight-week term on extension campuses.

B7.2.1. Sample Loads

Lacey Campus

- An adjunct faculty member teaching one 3-credit course during a regular semester carries a total work load of 7.75 weekly hours;

- An adjunct faculty member teaching one 4-credit course during a regular semester carries a total work load of 10 weekly hours;

- An adjunct faculty member teaching two 3-credit courses during the regular semester carries a total work load of 15.5 weekly hours;

- An adjunct faculty member teaching two 4-credit courses during the regular semester carries a work load of 20 weekly hours;

- An adjunct faculty member teaching three 3-credit courses during the regular semester carries a work load of 23.25 weekly hours;

- Any hours constituting required attendance at University meetings or required service on committees or additional weekly office hours are calculated as additional hours of commitment within an adjunct faculty member's work load. All additional required hours are approved by the provost and may be additionally compensated.

ESL Instructors

Adjunct Faculty workloads are typically 3 ESL courses (9 hours in the classroom per week) each semester. In special circumstances an Adjunct ESL Instructor's workload may extend to, but shall not exceed, four ESL courses (12 hours in the classroom per week) in each semester.

- An adjunct ESL instructor teaching one ESL course (3 hours in the classroom per week) during a regular semester carries a total work load of 6 weekly hours;

- An adjunct ESL instructor teaching two ESL courses (6 hours in the classroom per week) during the regular semester carries a total work load of 12 weekly hours;

- An adjunct ESL instructor teaching three ESL courses (9 hours in the classroom per week) during the regular semester carries a work load of 18 weekly hours;

- An adjunct ESL instructor teaching four ESL courses (12 hours in the classroom per week) during the regular semester carries a work load of 24 weekly hours.

ESL instructors must liaise with the director of the ESL program before considering / undertaking teaching or work-load commitments outside the ESL program. The Provost's Office monitors the work loads of adjunct faculty across the University**.**

Extension Campuses and/or 8-week terms

- An adjunct faculty member teaching a 3-credit course (5.5 hours per week of class time) during

an eight-week term carries a total work load of approximately 13.5 weekly hours;

- An adjunct faculty member teaching two 3-credit courses (11 hours per week of class time) during an eight-week term carries a work load of approximately 27 weekly hours.

B7.3. Procedures Governing Reductions in Teaching Load

The University may request that a regular faculty member assume non-teaching activities on a temporary basis. If this involvement is heavier than would normally be expected in general service to the University, the teaching load of the faculty member is reduced. Such a request on the part of the University is agreed upon by the faculty member, the department chair, and the dean, and approved by the provost.

Reductions in load for regular faculty, for substantial service or administrative responsibilities, are typically for three credit hours each semester, and typically do not exceed 9 semester credits during the year. Faculty with releases above 12 credits in the academic year function as academic leaders/academic administrators.

B7.3.1. Calculation of Directed Studies and Independent Studies in Workload

A regular faculty member who typically teaches twelve semester credits each semester and has undertaken directed or independent studies totaling 27 semester credits of teaching through the course of several regular semesters may request to be placed on a reduced teaching load of nine semester credits (typically three courses) in any semester following such accumulation during which they are typically expected to teach a 12-credit load. The dean recommends this reduction to the provost who approves it. It is the faculty member's responsibility to keep track of independent/directed studies; faculty members are encouraged to include such teaching in their annual summaries. If a faculty member accumulates enough such credits for two or more course reductions, they may not take more than one per semester.

This policy only applies to independent/directed studies taught since fall 2014.

Faculty members do not lose the credits they accumulate by teaching Independent/Directed Studies but may activate their access to a reduced load only during a semester in which they would normally be expected to teach a 12-credit load.

B7.3.2. Types of Reductions in Teaching Load

B7.3.2.1. Approved Reductions

Faculty who receive approved teaching reductions as outlined in the *Faculty Handbook* 7.2.1. may not teach more courses than their approved reduced load. In exceptional circumstances, the provost may approve an exception to this rule.

B7.3.2.2. Unplanned Reductions

The principles and policies governing unplanned reductions in teaching loads are outlined in the *Faculty Handbook* 7.2.2.

B7.4. Procedures for Assigning and Calculating Teaching Overloads

Regular faculty are normally discouraged from teaching overloads, with exceptions resulting only from pressing and temporary Departmental and/or College/School teaching needs. Exceptions to this practice must be approved by the provost.

B7.5. Procedures for Assigning Summer Teaching and/or Other Assignments

Assignments of summer teaching are not guaranteed and are determined by the dean and approved by the provost based on teaching needs.

Regular faculty members may elect to be compensated on the basis of their nine-month contracted salary or as an Adjunct Faculty member for summer teaching. The former carries with it continued commitment to regular faculty duties and responsibilities (such as advising

and service on committees) during the period of the summer contract. Faculty members who elect to teach during the summer on adjunct appointments are relieved of all duties and responsibilities other than teaching and maintaining office hours for students in their classes. Regular faculty are required at point of appointment to indicate their choice of contract for summer teaching responsibilities.

B8. PROCEDURES FOR APPLYING FOR BENEFITS SPECIFIC TO FACULTY

B8.1. Paid Faculty Family and Medical Leave

Regular faculty members who are eligible to access parental, family, or medical leave, as outlined in the Faculty Handbook 8.1.1., are encouraged to inform their department chair, dean, and the Office of Human Resources as early as possible in accordance with terms outlined in the Handbook. The provost approves leaves of absence. Failure to give sufficient advance notice when possible may prevent the faculty member from being able to access the paid leave benefit for the desired semester.

B8.2. Parental Support through Reduced Teaching

Regular faculty members who are eligible to apply for parental support through reduced teaching as outlined in the *Faculty Handbook* 8.1.3. are encouraged to inform their department chair and dean as early as possible in accordance with terms outlined in the *Handbook*. The provost approves parental support through reduced teaching. Failure to give sufficient advance notice may prevent eligible faculty members from being granted their preferred reduced teaching schedule.

B8.3. Externally-Funded Leaves with Supplemental Support from the University

Regular faculty members who receive external grants for semester-long or year-long research and who wish to request a supplemental grant from the University as a “top-up” if the external award they receive falls short of their normal income for the period of the grant must submit a formal request with supporting documentation to the dean. The dean makes a recommendation to the provost who approves the “top-up” grant; the total remuneration to the faculty member from grant funds and the University contribution may not exceed their contracted salary for the nine-month period of the academic year.

Within the next semester after they return from leave, faculty members must submit a report to their dean and provost.

The University requires that a faculty member granted research leave which includes pay from SMU will return to full-time service to the University for the equivalent period following their leave. If this obligation is not fulfilled, the faculty member will be expected to reimburse the University for the “top-up” salary paid while on leave, unless specifically relieved of the obligation by the University President.

Faculty members on research leaves are required to notify the provost by December 1st of the year about their return to the University in the following fall semester and by September 1st of their return to the University in the following spring semester.

B9. PROCEDURES GOVERNING FACULTY NON-RENEWAL, DISMISSAL, AND TERMINATION

B9.1. Non-renewal of Tenure-track Faculty

Non-renewal of tenure-track faculty is typically initiated by the department chair who must consult with all tenured faculty members in the department in making this determination. If there are no tenured faculty in the department or only one other tenured faculty member in the department, the chair consults with two tenured faculty members from a related department. The terms which govern a chair's/
department's determination not to renew a regular tenure-track faculty member are outlined in the *Faculty Handbook* 9.1.

B9.1.1. Procedure

- By **December 1**, the chair makes a recommendation not to renew a tenure-track faculty member in writing, with all supporting documentation, to the dean;

- By **December 10**, the dean forwards the recommendation to the provost with a written recommendation to renew or not renew the tenure-track faculty member;

- By **December 20**, the provost reviews both recommendations and all supporting documentation and makes a determination; in making this determination, the provost may consult with faculty leaders, members of the department, or any other individuals who may be familiar with the faculty member's performance; the provost conveys the University's decision not to renew the tenure-track faculty member's appointment in writing to the faculty member with copy to the chair, dean, and University president.

B9.1.2. Terms

If the tenure-track faculty member is in the first year of their appointment, their contract will end at the conclusion of the same academic year in which they are notified about non- renewal, i.e., by the end of their current contract in May of that year;

If the tenure-track faculty member is in their second or subsequent year in the tenure track, they will be informed that they will be given a terminal, non-renewable contract for the subsequent year by March 15th of the academic year in which they are informed about non-renewal in the tenure track; they may accept or reject the terminal contract for the subsequent year, but is typically expected to do so by March 31st.

B9.2. Termination without Prejudice of Tenured Faculty

The terms and conditions under which a tenured faculty member may be terminated without prejudice are outlined in the *Faculty Handbook* 9.2.

A recommendation to terminate a tenured faculty member without prejudice is typically initiated by the provost, dean, or chair following a detailed discussion with the Chief Human Resource Officer. The recommendation to terminate a tenured faculty member without prejudice may be made at any point in the year; the final decision can be made only by the University president.

If the recommendation to terminate a tenured faculty member without prejudice is made because of disability, the chair or dean must consult with the provost who is required to inform the Chief Human Resources Officer. The Chief Human Resources Officer will guide the provost, dean, and chair in documenting "total disability" as defined by the Saint Martin's University long-term disability insurance plan, by which the disability should be of such a degree that the faculty member is unable to perform the material and substantial duties which attend to their contractual obligations. The Chief Human Resources Officer will ensure that all supporting documentation is provided to the University president who makes the final decision to terminate a tenured faculty member without prejudice because of disability.

If the recommendation to terminate a tenured faculty member without prejudice is made because of permanent or protracted revision of the University curriculum, academic program closure, *bona fide* financial crisis, or *bona fide* financial exigency, the University will work with the Chief Human Resource Officer regarding the transparency and communication with the faculty member and give the affected faculty member one year's written notice prior to termination and make all reasonable efforts to secure appropriate internal employment for the terminated faculty member. The University will also provide reasonable assistance in the identification and facilitation of other employment opportunities.

B9.3. Dismissal for Cause

B9.3.1. Dismissal for Cause of Tenure-track or Tenured Faculty

The circumstances under which a tenure-track or tenured faculty may be dismissed for cause are outlined in the *Faculty Handbook* 9.3.

B9.3.1.1 Timeline

A recommendation to terminate a tenure-track or tenured faculty member for cause may be initiated by the provost, dean, or chair. The recommendation to dismiss a tenured faculty member for cause may be made at any point in the year, but the decision can be made only by the University president. The causes for which a decision to dismiss a tenure-track or tenured faculty member may be made are outlined in the *Faculty Handbook*.

B9.3.1.2. Procedure

The chair, dean, or provost who initiates the process to dismiss a tenure-track or tenured faculty member for cause must present reasons in the form of a written "Charge" with all supporting documentation to the University or academic leader to whom they report to;

- If a chair or dean initiates the process to dismiss for cause and presents a "Charge" to the provost, the provost must convene a council of tenured faculty members in consultation with the faculty president. The council should consist of five tenured faculty members who

carry rank at or above that of the faculty member being terminated.

- The provost must take the discussion and recommendation of the convened council into consideration, schedule a meeting with the affected faculty member to discuss the charges and the council's evaluation of the circumstances, and then make a recommendation to the University president to dismiss the tenure-track or tenured faculty member for cause. The provost must inform the chair and dean about their recommendation.

- If the provost initiates the process to dismiss for cause and presents a "Charge" to the University president, they must first meet with the affected faculty member and present the "Charge." The provost also informs the chair and dean. The provost then convenes a council of five tenured faculty members in consultation with the faculty president. The council should consist of five tenured faculty members who carry rank at or above that of the faculty member being terminated.

- The provost must take the discussion and recommendation of the convened group into consideration before either dismissing the charge, in which case, the process ends.
  Or
- The provost makes a recommendation to the University president to dismiss the tenure-track or tenured faculty member for cause.

The affected faculty member may appeal the provost's recommendation to the Faculty Affairs Committee.

(1) If the appeal is submitted by a tenure-track faculty member, the FAC will consider it on the basis of violations of academic freedom only;

(2) If the appeal is submitted by a tenured faculty member, The FAC will consider it on the basis of violations of process, violations of academic freedom, and violations of the *Faculty Handbook* and *Faculty Bylaws*.

Within ten days of receipt of the appeal, the FAC submits its determination to the University president, who must await the results of the appeals process, if activated by the faculty member, before making a decision with regard to dismissal for cause of a tenure-track or tenured faculty member.

B9.3.1.3. Terms

In the event of a dismissal for cause, the services, appointment, and employment of the faculty member may be terminated by the University before the end of their contract expiration date. The faculty member must be given written notice of their termination at least thirty days in advance of the termination date, which must specify the grounds for "termination for cause" in accordance with Section 9.3 of the *Faculty Handbook*.

If dismissal proceedings are initiated against a tenured faculty member and result in a finding of cause, dismissal or disciplinary action other than dismissal may be recommended and imposed. Disciplinary action other than dismissal may include, but is not limited to, reprimand, suspension with or without pay, reassignment of duties, reduction in appointment, mandatory counseling, and/or

continued monitoring of behavior and performance.

B9.3.2. Dismissal of Tenured Faculty for (Involuntary) Ineffectiveness

The circumstances under which a tenured faculty member may be terminated for ineffectiveness are outlined in detail in the *Faculty Handbook*, 9.4.

Current ongoing failure or ineffectiveness by a faculty member in performing their major contractual teaching obligations has to be documented by a faculty member's department chair and/or dean and presented in writing to a faculty member, and the faculty member should be given an opportunity to respond in writing.

Efforts have to be made by the chair and dean to assist the faculty member in regaining their effectiveness; these efforts must be documented.

If such efforts do not result in desirable levels of effectiveness and do not hold the promise of returning to desirable levels of effectiveness, and because successfully serving our students in the classroom remains a primary commitment of all faculty and their departments and Colleges/Schools, a recommendation to terminate the faculty member may be made by the dean to the provost.

The provost must examine the recommendation to terminate in the context of the faculty member's professional life as a member of the Saint Martin's University community and determine whether to proceed with recommending termination to the University president.

Alternatively, the provost may, if possible, offer the tenured faculty member a transitional period of reassigned responsibilities in a redefined role within the University. The specific period of such reassigned duties and the terms which attend to this redefined role have to be provided in writing to the faculty member. These reassigned duties and the reassigned role are provided for a specific limited time prior to separation in order to give the faculty member a transitional period and to enable the affected department to search for and replace the faculty member and thus meet its teaching obligations to students.

The faculty member may elect to accept or reject this offer of reassigned duties. The provost must then determine whether to proceed with a recommendation to the University president to terminate the faculty member and also inform the faculty member about their decision.

The provost should consult faculty leaders in initiating dismissal of tenured faculty members for ineffectiveness.

B10. PROCEDURES GOVERNING FACULTY APPEALS AND GRIEVANCES

B10.1. Appeals by Tenure-track Faculty against Non-renewal

B10.1.1. Basis of Appeal

A tenure-track faculty member may appeal the decision to not renew their

contract/Letter of Appointment, if they believe the decision was made in violation of their academic freedom.

B10.1.2. Notification, Petition and Time Frame

Within one week of receipt of notification of the non-renewal decision, the faculty member notifies the chair of the Faculty Affairs Committee of the intent to appeal. The FAC chair informs the University president and provost.

Within two weeks of the non-renewal notification, the petitioner submits an appeal petition to the Faculty Affairs Committee. The petition must detail the fact and circumstances, which gave rise to the
violation of their academic freedom and the presumed relationship between the violation and the non- renewal decision. The petition may contain any evidence, which the petitioner deems pertinent to the case.

Upon receipt of the petition, the Chair of the FAC again notifies the University president and provost and requests materials relevant to the decision in the case, including a copy of the document specifying the reasons asserted as the basis for non-renewal of employment.

B10.1.3. Committee Responsibilities

The FAC is limited to the question of whether the non-renewal decision is related to a violation of the faculty member's academic freedom. The responsibilities of the committee are as follows:

a. to consider the case carefully, including the specific reasons asserted as a basis for non- renewal, the petitioner's and respondent's arguments and such other testimony, arguments and evidence as the committee deems necessary;
b. within five working days of completion of deliberations, to forward the petition and relevant evidence to the University president, and to report, in writing, its findings and rationale for its recommendation to uphold or reject the non-renewal decision (in addition, a minority report may be submitted);
c. to provide copies of its report to the appellant and the provost;
d. to maintain the confidential nature of its proceedings, except as noted above.

B10.1.4. Responsibilities of the University President

The president will consider the relevant materials and provide a decision and justification, in writing, to the faculty member and the Faculty Affairs Committee within ten working days. If the faculty member chooses, a timely and dated written response will be made part of the faculty member's permanent record.

B10.2. Appeals by Tenure-track Faculty against a negative decision on Tenure and by Tenure-Track or Tenured Faculty against a negative decision on Promotion

B10.2.1. Appeals by Tenure-track Faculty against a negative recommendation on Tenure

Basis of Appeal

A faculty member may appeal a negative tenure recommendation of the provost by following the procedures below. The basis for appeal must rest on errors in procedure, inadequate consideration, gross abuse of the faculty member's rights and privileges, violation of academic freedom, or violation of the principle of fundamental fairness. The faculty member should cite appropriate sections of the *Faculty Handbook* and *Faculty Bylaws.*

Timeline

A regular faculty member may appeal a negative recommendation by the provost regarding tenure to the Faculty Affairs Committee.

- By **January 5** following notification of the negative recommendation on their candidacy, the faculty member must notify the FAC and the provost of their intent to appeal. Rather than passing on the faculty member's file to the president, the provost retains the file;

- By **January 15,** the faculty member must submit their formal appeal petition and all supporting documents to the FAC chair. The Chair informs the University president and provost. The provost passes on the faculty member's file to the FAC chair;

- By **January 25**, the FAC must review the faculty member's appeal and forward it and the appellant's file to the University president along with the committee's decision. (In addition, a minority report may be submitted.)

The Committee Procedure

The FAC considers the appeal petition, the tenure file, the Advancement Committee's and provost's letters and other materials or information pertaining to the process that was followed. The Faculty Affairs Committee will base its evaluation of the appeal on the specific claim(s) set forth in the petition.

Committee Responsibilities

The responsibilities of the Faculty Affairs Committee are as follows:

a. The committee reports to the University president, in writing, its findings and rationale for its recommendation to uphold or reject the appealed recommendation(s); in addition, a minority report may be submitted;
b. The committee provides copies of its report to the petitioner, the Advancement Committee, and the provost;
c. The committee must maintain confidentiality with regard to its proceeding and findings.

Responsibilities of the University President

If the provost's recommendation on tenuring the faculty member is negative, the University president must wait until the candidate has had time to complete the appeals process to evaluate the candidate's application for tenure.

If an appeal is made,

(a) By **February 10,** the University president evaluates the candidate's application for tenure and renders a decision on the same. The University president considers all materials which are part of the candidate's application for tenure; the president's notifies the applicant and sends a copy of their letter to the provost, the dean of the applicant's College/School, and department chair.

If the faculty member chooses, he or she may submit a timely and dated written response to the University president's decision on their appeal and/or tenure decision. This written response will be made part of his or her permanent record.

IMPORTANT NOTE: Faculty members may appeal negative decisions on tenure and promotion simultaneously.

B10.2.2. Appeals by Tenure-track or Tenured Faculty against a negative decision on Promotion

Basis of Appeal

A faculty member may appeal a negative promotion recommendation of the provost following the procedures below. The basis for appeal must rest on errors in procedure, inadequate consideration, gross abuse of the faculty member's rights and privileges, violation of academic freedom, or violation of the principle of fundamental fairness. The faculty member must cite the appropriate sections from the *Faculty Handbook* and *Faculty Bylaws.*

Timeline

A regular faculty may appeal a negative recommendation by the provost regarding promotion to the Faculty Affairs Committee.

- By **January 5** following notification of the negative recommendation on their candidacy, the faculty member must first notify the FAC and the provost about their intent to appeal. Once notified of the faculty member's intent to appeal, the provost retains the faculty member's file;

- By **January 15,** the faculty member must submit their formal appeal petition and all supporting documents to the FAC chair. The chair informs the University president and provost. The provost passes on the faculty member's file to the FAC chair;

- By **January 25**, the FAC must review the faculty member's appeal petition and forward it and the appellant's file to the University president along with the committee's decision. (In addition, a minority report may be submitted.)

The Committee Procedure

The FAC considers the petition, the promotion file, the Advancement Committee's and provost's letters and other materials or information pertaining to the process that was followed. The Faculty Affairs Committee will base its evaluation of the appeal on the specific claim(s) set forth in the petition

Committee Responsibilities

The responsibilities of the Faculty Affairs Committee are as follows:

a. The committee reports to the University president, in writing, its findings and rationale for its recommendation to uphold or reject the appealed recommendation(s); in addition, a minority report may be submitted;

b. The committee provides copies of its report to the petitioner, the Advancement Committee, and the provost;

c. The committee must maintain confidentiality with regard to its proceeding and findings.

Responsibilities of the University President

If the provost's recommendation on promoting the faculty member is negative, the University president must wait until the candidate has had time to complete the appeals process as described above before evaluating the candidate's application for promotion.
If an appeal is made,

By February 10, the University president must render a decision on the appeal. The University president considers all materials which are part of the candidate's application for promotion; the president notifies the applicant and sends a copy of their letter to the provost, the dean of the applicant's College/School, and department chair.

If the faculty member chooses, he or she may submit a timely and dated written response to the University president's decision on their appeal and/or promotion decision. This written response will be made part of his or her permanent record.

B10.3. Appeals by Tenured Faculty against Decisions to Terminate for Cause

B10.3.1. Basis of Appeal

A tenured faculty member may appeal the decision to terminate their contract of employment for cause on the basis of violations in process, gross abuse of the faculty member's rights and privileges, and/or violations of the *Faculty Handbook* and *Faculty Bylaws*.

B10.3.2. Notification, Petition, and Time Frame

Within one week of receipt of notification of the decision to terminate a tenured faculty member for cause, the faculty member notifies the chair of the Faculty Affairs Committee of the intent to

appeal.

Within two weeks of notification of termination, the petitioner submits a petition to the Faculty Affairs Committee. The petition will set forth the reasons why the petitioner believes the termination decision was in error. It may contain any evidence, which the petitioner deems pertinent to the case.

Upon receipt of the petition, the chair of the committee notifies the University president and provost and requests materials relevant to the decision in the case, including a copy of the document specifying the reasons asserted as the basis for termination of employment.

B10.3.3. Committee Responsibilities

The responsibilities of the Faculty Affairs Committee are as follows:

a. to consider the case carefully, including the specific reasons asserted as a basis for termination, the petitioner's and respondent's arguments and such other testimony, arguments and evidence as the committee deems necessary;
b. to report to the University president within five working days of completion of deliberations, in writing, its findings and rationale for its recommendation to uphold or reject the termination decision (in addition, a minority report may be submitted);
c. to provide copies of its report to the petitioner and the provost;
d. to maintain the confidential nature of its proceedings, except as noted above.

B10.3.4. Responsibilities of the University President

The president will consider the relevant materials and provide a decision and justification, in writing, to the faculty member and the Faculty Affairs Committee within ten working days.

If the faculty member chooses, a timely and dated written response will be made part of the faculty member's permanent record.

B10.4. Grievances

The University recognizes and endorses the importance of academic due process, the right of redress, and of adjudicating grievances without fear of prejudice or reprisal. Accordingly, the University encourages the informal and prompt settlement of grievances where possible as well as the formal processes set forth in this section to respect and protect academic due process, academic, and professional conduct.

B10.4.1. The Faculty Affairs Committee

Grievances by faculty members are heard by the Faculty Affairs Committee.

B10.4.2. Faculty Covered by the Grievance Process

Faculty governed by the grievance process include ranked faculty, unranked teaching faculty, and

librarians with faculty status. When the grievance involves faculty other than ranked faculty, the grieved issue must
relate directly to the individual's instructional (faculty) function rather than staff or administrative function. When in question, the Faculty Affairs Committee will determine jurisdiction. If the jurisdiction cannot be satisfactorily resolved, the provost will decide.

B10.4.3. Grievance

The grievance process is intended to include those matters not accorded the opportunity for redress through the appeals process established for recommendation/decision for promotion, tenure, non-renewal and termination. This is an internal process of self-governance and does not include legal counsel for either party.

B10.4.4. Informal Resolution

The University encourages the resolution of grievances on an informal basis whenever possible. Faculty members should first seek remedy through normal peer-to-peer and/or administrative channels. If this proves unsatisfactory, the faculty member may then petition the Faculty Affairs Committee for redress.

B10.4.5. Petition

The petition must be submitted to the chair of the Faculty Affairs Committee within thirty working days of a significant incident related to the grievance.

The petition will set forth in detail, the grievance and state against whom the grievance is directed. It will contain any evidence, which the petitioner deems pertinent to establishing a prima facie case.

B10.4.6. Committee Action and Time Frame

Preliminary Procedures

Once a grievance is filed in writing with the FAC, the committee must determine the following:

a. Whether the grievant has standing under the Faculty Grievance Policy;
b. Whether the grievance has been filed in a timely fashion;
c. Whether the grievance identifies an appropriate respondent(s);
d. Whether the grievance adequately identifies the existing policies alleged to have been violated; and
e. Whether the grievance contains an adequate statement of the facts relevant to the complaint.

If the committee decides that the facts do not warrant a hearing, it will notify the petitioner in writing. The committee may also seek to bring about a settlement of the issue satisfactory to the parties. If, in the opinion of the committee, such a settlement is improbable or inappropriate, the committee will hear the dispute, following the procedures outlined below. The hearing will be held within thirty calendar days of receipt of the petition.

If a party to the grievance feels that a member of the committee has a conflict of interest in the case,

the party should bring it to the attention of the committee chair. Should the FAC decide that one of its members has a conflict of interest in the case, that member shall remove themselves from the case or be removed by the chair. An alternate member may be appointed by the faculty president.

Hearing Procedures

1. Hearings shall be scheduled by the FAC with due regard for the schedule of both parties. Grievances involving faculty/academic staff who hold academic year appointments will normally not be held during summer semester unless the faculty/academic staff member has a summer appointment. On the rare occasion when a party fails to respond to repeated attempts to schedule a hearing or unreasonably delays the scheduling of a hearing, the FAC will schedule the hearing for the first date available to the committee members and the other party;

2. The FAC shall provide written notice of the time and place of the hearing, the names of any witnesses, and copies of any documents submitted by the parties and deemed relevant by the committee, to each party at least seven (7) days before the hearing;

3. The hearing shall be conducted in good faith and must be completed within 14 calendar days unless the FAC determines that an extension of time is necessary;

4. All hearings shall be recorded. A party may request and obtain a copy of the recording from the FAC;

5. Hearings shall be closed unless all parties agree otherwise;

6. The privacy of confidential records used in the hearing shall be respected;

7. All parties may present their cases in person and may call witnesses on their behalf. The names of witnesses must be provided to the FAC at least seven days prior to the hearing date;

8. All parties are entitled to bring a tenured colleague of their choice to the hearing. The name of the attending colleague must be provided to the FAC at least seven days prior to the hearing date;

9. Any party shall be entitled to ask pertinent questions of any witness or the other party at appropriate points in hearings. The chair of the committee shall determine what questions are pertinent;

10. The grievant bears the burden of proving that there has been a violation of policy;

11. The FAC, in confidential deliberations, after hearing all evidence presented by the grievant and respondent, shall decide whether the preponderance of the evidence supports the allegations made by the grievant;

12. After making a determination on the grievance, the FAC shall recommend appropriate redress consistent with existing policies, procedures, and practices to the provost or president, as appropriate;

13. The provost or president, once they receive the determination and recommendation of the Faculty Grievance Committee, shall decide on appropriate action, and in writing, within 14 working days of receipt of the findings and recommendations, inform the grievant and respondent, with a copy to the FAC and any other members of the community, as appropriate;

14. In cases regarding sensitive personal matters and not involving academic freedom, the records will not be released without mutual agreement.

15. All original records are permanently retained by the University.

Indemnification

In accordance with the University's Indemnification Policy, indemnification shall be provided to all members of the Faculty Affairs Committee, members who attend and provide information at hearing and appeals sessions, and University faculty serving as unpaid, volunteer counsel for the parties to a grievance and in their roles as participants in a grievance. A copy of the Indemnification Policy shall be provided to all participants who attend a hearing related to grievances or appeals.

APPENDIX A

SAMPLE LETTER OF APPOINTMENT

Date: X

Dr. X
Address: X

Dear Dr. X:

I am pleased to offer you the position of Assistant Professor in the Department of X within the College/School of X at Saint Martin's University. Your Department Chair is Dr. X. Appointment

Details

- Rank and Status: XXX; Full-time - 9-month
- Salary: 9-months' salary of $XXX, from August 16, XXXX to May 15,XXXX, payable in twelve monthly installments beginning on August 31, XXXX
- Tenure Status: Tenure-Track
- Date of First-Year Review: X
- Date of Third-Year Review: X
- Date of Tenure and Promotion Application: X (Year 6 of your Tenure-Track appointment)
- Effective Date of Tenure and/or Promotion, if awarded: X (Year 7 of your appointment)
- Benefits: Retirement contribution as currently authorized by the Board of Trustees; medical insurance and other coverage/options as defined by the Human Resources Office for all employees. Please consult with Ms. Cynthia Jonson, Associate VP for Human Resources, at 360- 438-XXXX for details.

Appointment Terms

- Salary: $XX per 9-month contract period
- Load: 12 semester credits in each regular semester of the academic year
- Moving Expenses: Reimbursement up to 10% of base salary for actual moving expenses to the Lacey area, within 60 days of the appointment, to be reimbursed upon submission of receipts

Your teaching responsibilities will include courses in your area of disciplinary expertise and in the University's core curriculum.

All regular faculty members are evaluated annually for reappointment in the tenure-track, and are expected to demonstrate a continuing commitment to effective teaching and professional development, scholarly activity, and service to the University community.

In preparing to progress towards a successful application for tenure and promotion in Year XXXX, you

should discuss discipline-specific details regarding teaching and scholarship with your chair and with your mentor, who will be assigned to you by your chair. You must also consult your department's *Tenure and Promotion Guidelines*, which are available on the provost's web site at www.stmartin.edu/Provost/DepartmentalGuidelines.Tenure&Promotion; these will guide your department in their annual evaluation of your progress towards tenure and promotion. They will also guide the College/School tenure and promotion committee, your dean, the Advancement Committee, and the provost as they evaluate your application for tenure and promotion in the sixth year of your tenure-track appointment. Tenure and promotion are granted by the University's Board of Trustees upon recommendation by the University president.

For additional details concerning your appointment and conditions of employment and work life that pertain particularly to regular faculty, please refer to the *Faculty Handbook* and *Faculty Bylaws* which are available on the University's website at www.stmartin.edu/FacultyHandbook&Bylaws. You should also consult the *Employee Handbook*, which is available on the University's web site at www.EmployeeHandbook.com.

Please indicate in writing to my office, within ten business days, your acceptance of this offer of employment at Saint Martin's University. Please retain this Letter of Appointment for your records and for inclusion in the portfolio of materials you will be expected to submit in support of your application for tenure and promotion.

I am pleased to welcome you into the Saint Martin's University community and look forward to working with you in coming years. Please feel free to contact my office or Dean X in the College/School of X should you have any questions regarding this appointment.

Sincerely, XXX, Provost

cc: Dr. X, Dean of the College/School of X Ms. X, Associate VP for Human Resources Ms. X, Vice President of Finance

APPENDIX B

Faculty Senate Constitution and Bylaws Preamble

The Faculty Senate is the voice of the faculty and the centerpiece of faculty governance and of faculty participation in shared governance. Except when the faculty assembly is in session, the Senate exercises powers typically vested in the faculty and represents its will.

The Faculty Senate consists of elected Senators drawn from the regular faculty of each College and School. It serves as the representative body of the faculty for conducting faculty and academic business, the agent for overseeing and coordinating the faculty committee structure, and a forum for discussing issues affecting the faculty and the University.

The Faculty Senate promotes a climate of academic freedom, academic integrity, and inclusive diversity; equity in tenure, promotion, workload, and salary distribution; an optimal learning environment throughout the University; and an environment conducive to fundamental fairness, social and economic justice, and Benedictine hospitality.

Senate Constitution

Article I - Name
The name of this organization is the Faculty Senate of Saint Martin's University (hereafter referred to as Faculty Senate).

Article II – Powers and Responsibilities
The Faculty Senate serves as the representative body of the faculty and, except when the Faculty Assembly is in session, exercises powers typically invested in it by the faculty of Saint Martin's University. The Senate:

1. works to support, through the charters of its faculty committees, an optimal learning environment and rigorous academic standards;

2. articulates the faculty voice on academic matters such as curriculum, degree requirements, academic standards, admission policies, faculty research, faculty membership and aspects of student life which relate to the educational process;

3. oversees, coordinates, and, when appropriate, charges faculty committees;

4. serves as a forum for the discussion of matters of importance affecting the faculty, the University, and the Academy either through the Senate itself or by convening the Faculty Assembly;

5. coordinates with faculty and University leaders in the appointment of academic leaders, such as deans and the provost, and serves in an advisory capacity to the Board of Trustees, president, and other leaders in searches for other administrative officers;

6. serves in an advisory capacity, both directly and through its committees, on budget and planning matters, university organizational structure, and in matters affecting faculty work life and the educational mission of the University.

Article III - Membership
The Faculty Senate shall be comprised of regular faculty members who represent the faculty of Saint Martin's University.

Article IV Officers
The officers of the Faculty Senate and the process for their election shall be provided in the bylaws.

Article V - Meetings
The Senate shall have regular meetings during the academic year, as provided in the bylaws.

Article VI – Bylaws The bylaws adopted by the Faculty Senate shall be its governing rules so long as they are consistent with this Constitution.

Article VII - Amendment
Amendment of the Constitution requires a two-thirds vote of the Faculty Senate with a subsequent majority vote of the Faculty Assembly. A proposed amendment must be distributed to members of the Faculty Senate at least two weeks prior to its consideration. The proposed amendment must be sent to the faculty at least two weeks prior to a Faculty Assembly meeting. Amendment of the Constitution must be approved by a majority of the regular faculty voting at the Faculty Assembly in which the amendment is presented.

Senate Bylaws

Article I Membership
Section 1
The Senate shall consist of the faculty president (presiding officer); the president-elect;
six (6) Faculty Senators elected from and by the Colleges and Schools; and five (5) Faculty Senators elected at-large by the Faculty Assembly.

Section 2
The School of Business, the Hal and Inge Marcus School of Engineering and the College of Education and Counseling Psychology will each have one designated Senator. The College of Arts and Sciences will have three designated Senators. Election of Senators is conducted in accordance with the rules and procedures adopted by each college and school.

Section 3
Election of the president-elect and Senators-at-Large shall occur at the last Faculty Assembly meeting of the academic year.

Section 4
Nominations for President-Elect may occur at both the next-to-the last and/or last Faculty Assembly of the academic year. Faculty Senators-at-Large are nominated and voted on individually. Nominations for each position for Senators-at-Large are taken individually from the floor during the last Faculty Assembly of the academic year. Election of each position for Senators-at-Large is by secret ballot. The nominee for each position receiving the majority or plurality of votes is elected Senator-at-Large. In case of a tie vote, a run-off election is held until one of the candidates receives either a majority or plurality of votes from those voting.

Article II Officers and Senators
Section 1
The Officers of the Faculty Senate shall be the president and president–elect.

Section 2
The responsibilities of the Officers and Senators are:

President: presides at all meetings of the Senate and Faculty Assembly, sends a written agenda to all faculty in advance of each meeting, provides official communication to the faculty, University president, administration, and Board of Trustees, and executes all other responsibilities incidental to the office.

President-Elect: Assumes the responsibilities of the president during an absence or inability to act and

performs other responsibilities incidental to the office, including meeting arrangements.

Senators: Participate with the president and president-elect in making decisions on issues related to the Faculty Senate and perform other responsibilities incidental to the office.

Section 3
The terms of office are:
President: one year
President-Elect: one year
Senators: two years.

No Senator may serve more than four consecutive years. Terms are staggered so that one-half (1/2) of the Senators selected by the Colleges and Schools are elected each year and either two (2) or three (3) of the at- large Senators are elected each year.

Section 4
Mid-term vacancies in College and School positions are filled in accordance with rules and procedures adopted by each College and School. The term of office lasts only as long as the vacated term. Vacancies of longer than one semester for Senators-at-Large are determined by a vote of the faculty. The election takes place at any Faculty Assembly meeting as determined by the faculty president. The term of office lasts only as long as the vacated term. Vacancies of a semester or less for Senators-at-Large are filled by appointment made by the Faculty President. The term of office continues for the period specified by the faculty president, but in no case continues beyond one semester.

Article III Meetings
Section 1
A quorum for the transaction of business consists of a simple majority of voting members.

Section 2
Robert's Rules of Order, the latest edition, is followed in conducting Faculty Senate meetings.

Section 3
The agenda, time, and location of a Faculty Senate meeting are sent to all faculty on the Monday morning before the meeting occurs. Minutes of each Faculty Senate meeting are sent to all faculty no later than one week after their approval.

Section 4
The presiding officer may not vote except in the case of a tie. Voting is conducted by voice or hand. At the request of any Senator, a vote is taken by secret ballot. Changes to the Faculty Handbook are considered by the Senate and sent to the Faculty Assembly for consideration. Except for Faculty Handbook changes, a 2/3 vote of the Senate is necessary to send an issue to the Faculty Assembly for consideration. All motions, except amendments to the Faculty Senate Constitution and issues being referred to the Faculty Assembly, are approved by majority vote of those present. No voting by proxy is permitted.

Article IV Committees
Section 1
Faculty committees as described in the Faculty Handbook, and ad hoc faculty committees, report their findings and present recommendations to the Faculty Senate for consideration. The Senate submits and refers matters to the committees for their review, study and recommendations.

Section 2
In order that the faculty be kept informed of the progress of its committees, all standing committees submit regular written reports of their actions to the Senate. The frequency and level of detail of the reports is determined by the individual committees in consultation with the Senate. In addition to those reports, by December 1 and April 15, the chair of each standing committee, in consultation with

committee membership, develops and delivers to the Faculty Senate a written summary of committee deliberations, actions and plans. Committee reports and summaries, which are submitted to the faculty president, are distributed electronically to the faculty as a whole.

Article V Executive Committee
Section 1
The Executive Committee of the Faculty Senate consists of the faculty president, President-Elect and two Senators appointed by the faculty president.
Section 2
The Executive Committee assists the faculty president in setting meeting agendas, consults on Senate business between meetings, and serves in an advisory capacity.

Article VI Amendments to the Bylaws
Amendments to the Senate's Bylaws may be presented by any voting member of the Senate.
An amendment to the Senate Bylaws is deemed approved if it is endorsed by a two-thirds of the Senate's voting members present.

When a quorum, as defined in Article III, is present, rules of order may be suspended by a majority of the voting members of the Senate.

APPENDIX C

AAUP 1966 Statement on Government of Colleges and Universities

The statement that follows is directed to governing board members, administrators, faculty members, students, and other persons in the belief that the colleges and universities of the United States have reached a stage calling for appropriately shared responsibility and cooperative action among the components of the academic institution. The statement is intended to foster constructive joint thought and action, both within the institutional structure and in protection of its integrity against improper intrusions. It is not intended that the statement serve as a blueprint for governance on a specific campus or as a manual for the regulation of controversy among the components of an academic institution, although it is to be hoped that the principles asserted will lead to the correction of existing weaknesses and assist in the establishment of sound structures and procedures. The statement does not attempt to cover relations with those outside agencies that increasingly are controlling the resources and influencing the patterns of education in our institutions of higher learning: for example, the United States government, state legislatures, state commissions, interstate associations or compacts, and other inter-institutional arrangements. However, it is hoped that the statement will be helpful to these agencies in their consideration of educational matters.

Students are referred to in this statement as an institutional component coordinate in importance with trustees, administrators, and faculty. There is, however, no main section on students. The omission has two causes: (1) the changes now occurring in the status of American students have plainly outdistanced the analysis by the educational community, and an attempt to define the situation without thorough study might prove unfair to student interests, and (2) students do not in fact at present have a significant voice in the government of colleges and universities; it would be unseemly to obscure, by superficial equality of length of statement, what may be a serious lag entitled to separate and full confrontation.

The concern for student status felt by the organizations issuing this statement is embodied in a note, "On Student Status," intended to stimulate the educational community to turn its attention to an important need.

This statement was jointly formulated by the American Association of University Professors, the American Council on Education (ACE), and the Association of Governing Boards of Universities and Colleges (AGB). In October 1966, the board of directors of the ACE took action by which its council "recognizes the statement as a significant step forward in the clarification of the respective roles of governing boards, faculties, and administrations," and "commends it to the institutions which are members of the Council." The Council of the AAUP adopted the statement in October 1966, and the Fifty-third Annual Meeting endorsed it in April 1967. In November 1966, the executive committee of the AGB took action by which that organization also "recognizes the statement as a significant step forward in the clarification of the respective roles of governing boards, faculties, and administrations," and "commends it to the governing boards which are members of the Association." (In April 1990, the Council of the AAUP adopted several changes in language in order to remove gender-specific references from the original text.

1. Introduction

This statement is a call to mutual understanding regarding the government of colleges and universities. Understanding, based on community of interest and producing joint effort, is essential for at least three reasons. First, the academic institution, public or private, often has become less autonomous; buildings, research, and student tuition are supported by funds over which the college or university exercises a diminishing control. Legislative and executive governmental authorities, at all levels, play a part in the making of important decisions in academic policy. If these voices and forces are to be successfully heard and integrated, the academic institution must be in a position to meet them with its own generally unified view. Second, regard for the welfare of the institution remains important despite the mobility and interchange of scholars. Third, a college or university in which all the components are aware of their interdependence, of the usefulness of communication among themselves, and of the force of joint action will enjoy increased capacity to solve educational problems.

2. The Academic Institution: Joint Effort

a. Preliminary Considerations

The variety and complexity of the tasks performed by institutions of higher education produce an inescapable interdependence among governing board, administration, faculty, students, and others. The relationship calls for adequate communication among these components, and full opportunity for appropriate joint planning and effort.

Joint effort in an academic institution will take a variety of forms appropriate to the kinds of situations encountered. In some instances, an initial exploration or recommendation will be made by the president with consideration by the faculty at a later stage; in other instances, a first and essentially definitive recommendation will be made by the faculty, subject to the endorsement of the president and the governing board. In still others, a substantive contribution can be made when student leaders are responsibly involved in the process.

Although the variety of such approaches may be wide, at least two general conclusions regarding joint effort seem clearly warranted: (1) important areas of action involve at one time or another the initiating capacity and decision-making participation of all the institutional components, and (2) differences in the weight of each voice, from one point to the next, should be determined by reference to the responsibility of each component for the particular matter at hand, as developed hereinafter.

b. Determination of General Educational Policy

The general educational policy, i.e., the objectives of an institution and the nature, range, and pace of its efforts, is shaped by the institutional charter or by law, by tradition and historical development, by the present needs of the community of the institution, and by the professional aspirations and standards of those directly involved in its work. Every board will wish to go beyond its formal trustee obligation to conserve the accomplishment of the past and to engage seriously with the future; every faculty will seek to conduct an operation worthy of scholarly standards of learning; every administrative officer will strive to meet his or her charge and to attain the goals of the institution. The interests of all are coordinate and related, and unilateral effort can lead to confusion or conflict. Essential to a solution is a reasonably explicit statement on general educational policy. Operating responsibility and authority, and procedures for continuing review, should be clearly defined in official regulations.

When an educational goal has been established, it becomes the responsibility primarily of the faculty to determine the appropriate curriculum and procedures of student instruction. Special considerations may require particular accommodations: (1) a publicly supported institution may be regulated by

statutory provisions, and (2) a church-controlled institution may be limited by its charter or bylaws. When such external requirements influence course content and the manner of instruction or research, they impair the educational effectiveness of the institution.

Such matters as major changes in the size or composition of the student body and the relative emphasis to be given to the various elements of the educational and research program should involve participation of governing board, administration, and faculty prior to final decision.

c. Internal Operations of the Institution

The framing and execution of long-range plans, one of the most important aspects of institutional responsibility, should be a central and continuing concern in the academic community.

Effective planning demands that the broadest possible exchange of information and opinion should be the rule for communication among the components of a college or university. The channels of communication should be established and maintained by joint endeavor. Distinction should be observed between the institutional system of communication and the system of responsibility for the making of decisions.

A second area calling for joint effort in internal operation is that of decisions regarding existing or prospective physical resources. The board, president, and faculty should all seek agreement on basic decisions regarding buildings and other facilities to be used in the educational work of the institution.

A third area is budgeting. The allocation of resources among competing demands is central in the formal responsibility of the governing board, in the administrative authority of the president, and in the educational function of the faculty. Each component should therefore have a voice in the determination of short- and long-range priorities, and each should receive appropriate analyses of past budgetary experience, reports on current budgets and expenditures, and short- and long-range budgetary projections. The function of each component in budgetary matters should be understood by all; the allocation of authority will determine the flow of information and the scope of participation in decisions.
Joint effort of a most critical kind must be taken when an institution chooses a new president.

The selection of a chief administrative officer should follow upon a cooperative search by the governing board and the faculty, taking into consideration the opinions of others who are appropriately interested. The president should be equally qualified to serve both as the executive officer of the governing board and as the chief academic officer of the institution and the faculty. The president's dual role requires an ability to interpret to board and faculty the educational views and concepts of institutional government of the other. The president should have the confidence of the board and the faculty.

The selection of academic deans and other chief academic officers should be the responsibility of the president with the advice of, and in consultation with, the appropriate faculty. Determinations of faculty status, normally based on the recommendations of the faculty groups involved, are discussed in Part 5 of this statement; but it should here be noted that the building of a strong faculty requires careful joint effort in such actions as staff selection and promotion and the granting of tenure. Joint action should also govern dismissals; the applicable principles and procedures in these matters are well established.

d. External Relations of the Institution

Anyone—a member of the governing board, the president or other member of the administration, a member of the faculty, or a member of the student body or the alumni— affects the institution when speaking of it in public. An individual who speaks unofficially should so indicate. An individual who speaks officially for the institution, the board, the administration, the faculty, or the student body should be guided by established policy.

It should be noted that only the board speaks legally for the whole institution, although it may delegate responsibility to an agent. The right of a board member, an administrative officer, a faculty member, or a student to speak on general educational questions or about the administration and operations of the individual's own institution is a part of that person's right as a citizen and should not be abridged by the institution. There exist, of course, legal bounds relating to defamation of character, and there are questions of propriety.

3. The Academic Institution: The Governing Board

The governing board has a special obligation to ensure that the history of the college or university shall serve as a prelude and inspiration to the future. The board helps relate the institution to its chief community: for example, the community college to serve the educational needs of a defined population area or group, the church-controlled college to be cognizant of the announced position of its denomination, and the comprehensive university to discharge the many duties and to accept the appropriate new challenges which are its concern at the several levels of higher education.

The governing board of an institution of higher education in the United States operates, with few exceptions, as the final institutional authority. Private institutions are established by charters; public institutions are established by constitutional or statutory provisions. In private institutions the board is frequently self- perpetuating; in public colleges and universities the present membership of a board may be asked to suggest candidates for appointment. As a whole and individually, when the governing board confronts the problem of succession, serious attention should be given to obtaining properly qualified persons. Where public law calls for election of governing board members, means should be found to ensure the nomination of fully suited persons, and the electorate should be informed of the relevant criteria for board membership.

Since the membership of the board may embrace both individual and collective competence of recognized weight, its advice or help may be sought through established channels by other components of the academic community. The governing board of an institution of higher education, while maintaining a general overview, entrusts the conduct of administration to the administrative officers—the president and the deans—and the conduct of teaching and research to the faculty. The board should undertake appropriate self-limitation. One of the governing board's important tasks is to ensure the publication of codified statements that define the overall policies and procedures of the institution under its jurisdiction.

The board plays a central role in relating the likely needs of the future to predictable resources; it has the responsibility for husbanding the endowment; it is responsible for obtaining needed capital and operating funds; and in the broadest sense of the term it should pay attention to personnel policy. In order to fulfill these duties, the board should be aided by, and may insist upon, the development of long-range planning by the administration and faculty. When ignorance or ill will threatens the institution or any part of it, the governing board must be available for support. In grave crises it will be

expected to serve as a champion.
Although the action to be taken by it will usually be on behalf of the president, the faculty, or the student body, the board should make clear that the protection it offers to an individual or a group is, in fact, a fundamental defense of the vested interests of society in the educational institution.

4. The Academic Institution: The President

The president, as the chief executive officer of an institution of higher education, is measured largely by his or her capacity for institutional leadership. The president shares responsibility for the definition and attainment of goals, for administrative action, and for operating the communications system that links the components of the academic community. The president represents the institution to its many publics. The president's leadership role is supported by delegated authority from the board and faculty.

As the chief planning officer of an institution, the president has a special obligation to innovate and initiate. The degree to which a president can envision new horizons for the institution, and can persuade others to see them and to work toward them, will often constitute the chief measure of the president's administration.

The president must at times, with or without support, infuse new life into a department; relatedly, the president may at times be required, working within the concept of tenure, to solve problems of obsolescence. The president will necessarily utilize the judgments of the faculty but may also, in the interest of academic standards, seek outside evaluations by scholars of acknowledged competence.

It is the duty of the president to see to it that the standards and procedures in operational use within the college or university conform to the policy established by the governing board and to the standards of sound academic practice. It is also incumbent on the president to ensure that faculty views, including dissenting views, are presented to the board in those areas and on those issues where responsibilities are shared.
Similarly, the faculty should be informed of the views of the board and the administration on like issues.

The president is largely responsible for the maintenance of existing institutional resources and the creation of new resources; has ultimate managerial responsibility for a large area of nonacademic activities; is responsible for public understanding; and by the nature of the office is the chief person who speaks for the institution. In these and other areas the president's work is to plan, to organize, to direct, and to represent. The presidential function should receive the general support of board and faculty.

5. The Academic Institution: The Faculty

The faculty has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process. On these matters the power of review or final decision lodged in the governing board or delegated by it to the president should be exercised adversely only in exceptional circumstances, and for reasons communicated to the faculty. It is desirable that the faculty should, following such communication, have opportunity for further consideration and further transmittal of its views to the president or board.
Budgets, personnel limitations, the time element, and the policies of other groups, bodies, and agencies having jurisdiction over the institution may set limits to realization of faculty advice.

The faculty sets the requirements for the degrees offered in course, determines when the requirements have been met, and authorizes the president and board to grant the degrees thus achieved.

Faculty status and related matters are primarily a faculty responsibility; this area includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal. The primary responsibility of the faculty for such matters is based upon the fact that its judgment is central to general educational policy. Furthermore, scholars in a particular field or activity have the chief competence for judging the work of their colleagues; in such competence it is implicit that responsibility exists for both adverse and favorable judgments. Likewise, there is the more general competence of experienced faculty personnel committees having a broader charge. Determinations in these matters should first be by faculty action through established procedures, reviewed by the chief academic officers with the concurrence of the board. The governing board and president should, on questions of faculty status, as in other matters where the faculty has primary responsibility, concur with the faculty judgment except in rare instances and for compelling reasons which should be stated in detail.

The faculty should actively participate in the determination of policies and procedures governing salary increases.

The chair or head of a department, who serves as the chief representative of the department within an institution, should be selected either by departmental election or by appointment following consultation with members of the department and of related departments; appointments should normally be in conformity with department members' judgment. The chair or department head should not have tenure in office; tenure as a faculty member is a matter of separate right. The chair or head should serve for a stated term but without prejudice to reelection or to reappointment by procedures that involve appropriate faculty consultation. Board, administration, and faculty should all bear in mind that the department chair or head has a special obligation to build a department strong in scholarship and teaching capacity.
Agencies for faculty participation in the government of the college or university should be established at each level where faculty responsibility is present. An agency should exist for the presentation of the views of the whole faculty. The structure and procedures for faculty participation should be designed, approved, and established by joint action of the components of the institution. Faculty representatives should be selected by the faculty according to procedures determined by the faculty.

The agencies may consist of meetings of all faculty members of a department, school, college, division, or university system, or may take the form of faculty-elected executive committees in departments and schools and a faculty-elected senate or council for larger divisions or the institution as a whole.

The means of communication among the faculty, administration, and governing board now in use include: (1) circulation of memoranda and reports by board committees, the administration, and faculty committees; (2) joint ad hoc committees; (3) standing liaison committees; (4) membership of faculty members on administrative bodies; and (5) membership of faculty members on governing boards. Whatever the channels of communication, they should be clearly understood and observed.

On Student Status

When students in American colleges and universities desire to participate responsibly in the

government of the institution they attend, their wish should be recognized as a claim to opportunity both for educational experience and for involvement in the affairs of their college or university. Ways should be found to permit significant student participation within the limits of attainable effectiveness. The obstacles to such participation are large and should not be minimized: inexperience, untested capacity, a transitory status which means that present action does not carry with it subsequent responsibility, and the inescapable fact that the other components of the institution are in a position of judgment over the students. It is important to recognize that student needs are strongly related to educational experience, both formal and informal. Students expect, and have a right to expect, that the educational process will be structured, that they will be stimulated by it to become independent adults, and that they will have effectively transmitted to them the cultural heritage of the larger society. If institutional support is to have its fullest possible meaning, it should incorporate the strength, freshness of view, and idealism of the student body.

The respect of students for their college or university can be enhanced if they are given at least these opportunities: (1) to be listened to in the classroom without fear of institutional reprisal for the substance of their views, (2) freedom to discuss questions of institutional policy and operation, (3) the right to academic due process when charged with serious violations of institutional regulations, and (4) the same right to hear speakers of their own choice as is enjoyed by other components of the institution.

Notes

1. See the 1940 "Statement of Principles on Academic Freedom and Tenure," AAUP, *Policy Documents and Reports,* 10th ed. (Washington, D.C., 2006), 3–11, and the 1958 "Statement on Procedural Standards in Faculty Dismissal Proceedings," ibid., 12–15. These statements were jointly adopted by the Association of American Colleges (now the Association of American Colleges and Universities) and the American
Association of University Professors; the 1940 "Statement" has been endorsed by numerous learned and scientific societies and educational associations.

2. With respect to faculty members, the 1940 "Statement of Principles on Academic Freedom and Tenure" reads: "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" (*Policy Documents and Reports,* 3–4). Back to text

3. Traditionally, governing boards developed within the context of single-campus institutions. In more recent times, governing and coordinating boards have increasingly tended to develop at the multi-campus regional, system wide, or statewide levels. As influential components of the academic community, these supra-campus bodies bear particular responsibility for protecting the autonomy of individual campuses or institutions under their jurisdiction and for implementing policies of shared responsibility. The American Association of University Professors regards the objectives and practices recommended in the "Statement on Government" as constituting equally appropriate guidelines for such supra-campus bodies, and looks toward continued development of practices that will facilitate application of such guidelines in this new context. [Preceding note adopted by the AAUP's Council in

June 1978.]

4. With regard to student admissions, the faculty should have a meaningful role in establishing institutional policies, including the setting of standards for admission, and should be afforded opportunity for oversight of the entire admissions process. [Preceding note adopted by the Council in June 2002.]

5. The American Association of University Professors regards collective bargaining, properly used, as another means of achieving sound academic government. Where there is faculty collective bargaining, the parties should seek to ensure appropriate institutional governance structures which will protect the right of all faculty to participate in institutional governance in accordance with the "Statement on Government."
[Preceding note adopted by the Council in June 1978.]

Appendix D

AAUP 1940 Statement of Principles on Academic Freedom and Tenure

In 1940, following a series of joint conferences begun in 1934, representatives of the American Association of University Professors and of the Association of American Colleges (now the Association of American Colleges and Universities) agreed upon a restatement of principles set forth in the 1925 Conference Statement on Academic Freedom and Tenure. This restatement is known to the profession as the 1940 Statement of Principles on Academic Freedom and Tenure*. The* 1940 Statement *is printed below, followed by Interpretive Comments as developed by representatives of the American Association of University Professors and the Association of American Colleges in 1969. The governing bodies of the two associations, meeting respectivelyin November 1989 and January 1990, adopted several changes in language in order to remove gender-specific references from the original text.*

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to ensure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. [1] The common good depends upon the free search for truth and its free exposition.

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.[**1**] [2]

Tenure is a means to certain ends; specifically: (1) freedom of teaching and research and of extramural activities, and (2) 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

1. Teachers are entitled to full freedom in research and in the publication of the 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.

2. 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. [**2**] Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment. [**3**]

3. 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. [**4**]

Academic Tenure

After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure, and their service should be terminated only for adequate cause, except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies.

In the interpretation of this principle it is understood that the following represents acceptable academic practice:

1. The precise terms and conditions of every appointment should be stated in writing and be in the possession of both institution and teacher before the appointment is consummated.

2. Beginning with appointment to the rank of full-time instructor or a higher rank,[**5**] the probationary period should not exceed seven years, including within this period full- time service in all institutions of higher education; but subject to the proviso that when, after a term of probationary service of more than three years in one or more institutions, a teacher is called to another institution, it may be agreed in writing that the new appointment is for a probationary period of not more than four years, even though thereby the person's total probationary period in the academic profession is extended beyond the normal maximum of seven years.[**6**] Notice should be given at least one year prior to the expiration of the probationary period if the teacher is not to be continued in service after the expiration of that period.[**7**]

3. During the probationary period a teacher should have the academic freedom that all other members of the faculty have. [**8**]

4. Termination for cause of a continuous appointment, or the dismissal for cause of a teacher previous to the expiration of a term appointment, should, if possible, be considered by both a faculty committee and the governing board of the institution. In all cases where the facts are in dispute, the accused teacher should be informed before the hearing in writing of the charges and should have the opportunity to be heard in his or her own defense by all bodies that pass judgment upon the case. The teacher should be permitted to be accompanied by an Advisor of his or her own choosing who may act as counsel. There should be a full stenographic record of the hearing available to the parties concerned. In the hearing of charges of incompetence, the testimony should include that of teachers and other scholars, either from the teacher's own or from other institutions. Teachers on continuous appointment who are dismissed for reasons not involving moral turpitude should receive their salaries for at least a year from the date of notification of dismissal whether or not they are continued in their duties at the institution. [**9**]

5. Termination of a continuous appointment because of financial exigency should be demonstrably bona fide.

Appendix E

AAUP Statement on Professional Ethics

The statement that follows was originally adopted in 1966. Revisions were made and approved by the Association's Council in 1987 and 2009.

Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and the Committee on Professional Ethics, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles on Academic Freedom and Tenure,* the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings,* or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure.*

The Statement

1. 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.

2. 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.

3. 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, even when it leads to findings and conclusions that differ from their own. 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.

4. 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.

5. 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 of speaking or acting 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.

APPENDIX F

AAUP Minimum Standards for Good Practice If a Formal System of Post-Tenure Review Is Established

1. Post-tenure review must ensure the protection of academic freedom as defined in the 1940 *Statement of Principles.* The application of its procedures, therefore, should not intrude on an individual faculty member's proper sphere of professional self-direction, nor should it be used asa subterfuge for effecting programmatic change. Such a review must not become the occasion for a wide-ranging "fishing expedition" in an attempt to dredge up negative evidence.
2. Post-tenure review must not be a reevaluation or revalidation of tenured status as defined in the 1940 *Statement.* In no case should post-tenure review be used to shift the burden of proof from the institution's administration (to show cause why a tenured faculty member should be dismissed) to the individual faculty member (to show cause why he or she should be retained).
3. The written standards and criteria by which faculty members are evaluated in post-tenure review should be developed and periodically reviewed by the faculty. The faculty should also conduct the actual review process. The basic standard for appraisal should be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position, not whether the faculty member meets the current standards for the award of tenure as those might have changed since the initial granting oftenure.
4. Post-tenure review should be developmental and supported by institutional resources for professional development or a change of professional direction. In the event that an institution decides to invest the time and resources required for comprehensive or "blanket" review, it should also offer tangible recognition to those faculty members who have demonstrated high or improved performance.
5. Post-tenure review should be flexible enough to acknowledge different expectations in different disciplines and changing expectations at different stages of faculty careers.
6. Except when faculty appeals procedures direct that files be available to aggrieved faculty members, the outcome of evaluations should be confidential, that is, confined to the appropriate college or university persons or bodies and the faculty member being evaluated, released otherwise only at the discretion, or with the consent of, the faculty member.
7. If the system of post-tenure review is supplemented, or supplanted, by the option of a formal development plan, that plan cannot be imposed on the faculty member unilaterally, but must be a product of mutual negotiation. It should respect academic freedom and professional self-direction, and it should be flexible enough to allow for subsequent alteration or even its own abandonment. The standard here should be that of good faith on both sides—a commitment to improvement by the faculty member and to the adequate support of that improvement by the institution—rather than the literal fulfillment of a set of nonnegotiable demands or rigid expectations, quantitative or otherwise.
8. A faculty member should have the right to comment in response to evaluations, and to challenge the findings and correct the record by appeal to an elected faculty grievance committee.[5] He or she should have the same rights of comment and appeal concerning the manner in which any individualized development plan is formulated, the plan's content, and any resulting evaluation.
9. In the event that recurring evaluations reveal continuing and persistent problems with a faculty

member's performance that do not lend themselves to improvement after several efforts, and that call into question his or her ability to function in that position, then other possibilities, such as a mutually agreeable reassignment to other duties or separation, should be explored. If these are not practicable, or if no other solution acceptable to the parties can be found, then the administration should invoke peer consideration regarding any contemplated sanctions.[6]

10. The standard for dismissal or other severe sanction remains that of adequate cause, and the mere fact of successive negative reviews does not in any way diminish the obligation of the institution to show such cause in a separate forum before an appropriately constituted hearing body of peers convened for that purpose. Evaluation records may be admissible but rebuttable as to accuracy. Even if they are accurate, the administration is still required to bear the burden of proof and demonstrate through an adversarial proceeding not only that the negative evaluations rest on fact, but also that the facts rise to the level of adequate cause for dismissal or other severe sanction. The faculty member must be afforded the full procedural safeguards set forth in the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings* and the *Recommended Institutional Regulations on Academic Freedom and Tenure,* which include, among other safeguards, the opportunity to confront and cross-examine adverse witnesses.

Notes

1. These procedures are set forth in the 1940 *Statement of Principles on Academic Freedom and Tenure*, the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*, and the Association's "Recommended Institutional Regulations on Academic Freedom and Tenure." These documents appear in AAUP, *Policy Documents and Reports*, 11th ed. (Baltimore: Johns Hopkins University Press, 2015), 13– 19, 91–93, and 79–90.
2. See William Van Alstyne, "Tenure: A Summary, Explanation, and 'Defense,'" *AAUP Bulletin* 57(1971): 328–33, and Matthew W. Finkin, "The Assault on Faculty Independence," *Academe: Bulletin of the AAUP* 83 (July–August 1997): 16–21.
3. Here, and in other guidelines and standards set forth below, the procedures, in addition to conforming with established AAUP-supported standards, should also conform to the applicable provisions of any collective bargaining agreement.
4. For the applicable policy statements, see note 1.
5. See Regulation 16, "Recommended Institutional Regulations," *Policy Documents and Reports,* 88.
6. See Regulations 5–7, "Recommended Institutional Regulations," ibid., 83–85.

NOTES

[i] The faculty notes that the principles of fairness and collaboration/consultation derive also from the *Rule of Benedict*, Chapter 3. Though the specifics of the rule apply to the monastic context of the Abbey and the Abbot's jurisdiction within the Abbey, the principles of consultation by University leaders and fairness constitute noteworthy models for the general conduct of University life at Saint Martin's:

> As often as anything important is to be done in the monastery, the abbot shall call the whole community together and himself explain what the business is; and after hearing the advice of the brothers, let him ponder it and follow what he judges the wiser course. The reason we have said all should be called for counsel is that the Lord often reveals what is better to the younger. The brothers, for their part, are to express their opinions with all humility, and not presume to defend their own ways obstinately. The decision is rather the abbots to make, so that when he has determined what is more prudent, all may obey. Nevertheless, just as it is proper for disciples to obey the master, so it is becoming for the master on his part to settle everything with foresight and fairness.

These principles – of consultation among constituents and fairness in decision-making – also define aspects of University life and conduct as outlined in the *Faculty Handbook* and *Bylaws*.

[ii] The Faculty notes that the University's transition to College/School deans evolved as its footprint expanded, a context that is not unlike that prescribed by the *RB* for the creation of deans in a monastery, and that the spirit of the University's transition, as in many of its activities, captures values articulated by the *RB* and the monastic order of Benedictine monks to whom the University owes its identity and essential character:

> If the brotherhood is large, let brethren of good repute and holy life be chosen from among them and be appointed deans; and let them take care of their deaneries in everything according to the commandments of God and the directions of their Abbot. Let such be chosen deans as the Abbot may safely trust to share his burden. Let them not be chosen for their rank, but for the merit of their life and their wisdom and knowledge; and if any of them, puffed up with pride, should be found blameworthy and, after having been corrected once and again and even a third time, refuseth to amend, let him be deposed, and one who is worthy be placed in his stead.

[iii] Current full-time visiting faculty members who were hired prior to December 2013 and have taught at Saint Martin's for two-three years may be considered for tenure-track appointments in the University within the next three-five years through a locally-advertised search, subject to the following contexts and conditions:

- They are not currently replacing a regular faculty member who has taken on administrative functions temporarily or has undertaken a leave of absence and is expected to return to the department in due course;
- They have established a record of successful teaching, show promise of continuing scholarly engagement and activity, and have the potential to contribute to the life of the University through service;
- The department involved can demonstrate the need for an additional tenure-track

appointment in the area of the visiting faculty member's curricular expertise; if the department is able to
demonstrate curricular need but not in the visiting faculty member's area of expertise, the department's request for an additional tenure-track hire will be considered among all such requests for the year;

- The department endorses by a two-thirds majority vote the visiting faculty member as a candidate to be considered for a tenure-track position;

- The dean endorses the request made by the department;

- University finances permit this transition.

Final approval is granted by the University president upon a recommendation by the provost.

Recommended Further Reading

American Association of University Professors (AAUP)

Faculty members are encouraged to consult Policy Documents and Position Papers on the AAUP web site: www.aaup.org

American Association of University Women (AAUW)

Faculty members are also encouraged to consult documents and statements on the AAUW website: www.aauw.org. The AAUW advances "equity for women and girls through advocacy, education, philanthropy, and research." It is the nation's leading voice promoting equity and education for women and girls. Since its founding in 1881, AAUW members have examined and taken positions on the fundamental issues of the day — educational, social, economic, and political.

Other sites of interest to faculty include:

www.chronicle.com

www.insidehighered.com

http://www.timeshighereducation.co.uk/

http://www.universitiesnews.com/