



Faculty Handbook

Last Revised: June 2023

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Preface

A. History of the University

The University of St. Thomas was founded in 1885 by Archbishop John Ireland, less than a year after he was installed as St. Paul's third bishop. What began as the St. Thomas Aquinas Seminary – with 62 students and a faculty of five – has grown to be Minnesota's largest independent university with four campuses and more than 11,000 students.

Built near a river bluff on farmland that was still considered “far removed from town” in the late 1800s, the university's main campus is nestled today in a residential area midway between the downtowns of St. Paul and Minneapolis.

In its first decade, St. Thomas was a high school, college and seminary; students enrolled in either the preparatory, classical or theological departments. In 1894 the theological department moved to an adjacent campus where it became The Saint Paul Seminary. The preparatory and classical departments, meanwhile, remained on the original campus and became the College of St. Thomas.

The classical department gradually grew to a four-year college curriculum. The first baccalaureate degrees were conferred in 1910 and St. Thomas was officially accredited in 1916. The preparatory department became the St. Thomas Military Academy, a high school that moved to a suburban campus in 1965.

After 92 years of all-male enrollment, St. Thomas became coeducational in 1977. Approximately half of the undergraduates and half of the graduate students are women.

Coeducation, coupled with new graduate programs as well as new campuses, contributed to St. Thomas' growth over the past two decades. Enrollment increased from under 2,500 students in 1970 to more than 11,000 today. The undergraduate program currently enrolls approximately 5,400 students.

Long-standing graduate programs in business, education, professional psychology and social work offer degrees at the master's, specialist, and doctoral levels.

St. Thomas' original “classical” and “theological” departments came together once again in 1987 through an affiliation between the seminary and university. Together they created the School of Divinity which offers graduate degrees in pastoral studies, divinity and theology. St. Thomas is home to the undergraduate St. John Vianney Seminary.

In 1990, recognizing the many changes and the addition of graduate programs to the institution, the name of the College of St. Thomas was changed to the University of St. Thomas.

B. Mission, Vision and Convictions

Founded in 1885, the University of St. Thomas is a Catholic, diocesan university based in the Twin Cities of St. Paul and Minneapolis. The largest private university in Minnesota, St. Thomas offers bachelor's degrees in over 85 major fields of study and more than 45 graduate degree programs including master's, education specialist, juris doctor and doctorates.

Mission

Inspired by Catholic intellectual tradition, the University of St. Thomas educates students to be morally responsible leaders who think critically, act wisely and work skillfully to advance the common good.

Vision

We seek to be a recognized leader in Catholic higher education that excels in effective teaching, active learning, scholarly research and responsible engagement with the local community as well as with the national and global communities in which we live.

Convictions

As a community we are committed to:

- **Pursuit of truth**

We value intellectual inquiry as a life-long habit, the unfettered and impartial pursuit of truth in all its forms, the integration of knowledge across disciplines, and the imaginative and creative exploration of new ideas.

- **Academic excellence**

We create a culture among faculty, students and staff that recognizes the power of ideas and rewards rigorous thinking.

- **Faith and reason**

We actively engage Catholic intellectual tradition, which values the fundamental compatibility of faith and reason and fosters meaningful dialogue directed toward the flourishing of human culture.

- **Dignity**

We respect the dignity of each person and value the unique contributions that each brings to the greater mosaic of the university community.

- **Diversity**

We strive to create a vibrant diverse community in which, together, we work for a more just and inclusive society.

- **Personal attention**

We foster a caring culture that supports the well-being of each member.

- **Gratitude**

We celebrate the achievements of all members of our community in goals attained and obstacles overcome, and in all things give praise to God.

C. Assessment of Programs

Assessment of our educational programs is an integral part of the university's commitment to excellent teaching and effective learning. St. Thomas uses assessment of student learning outcomes to understand, and thereby continuously improve, student learning through informed decision making and planning. Assessment is sustained by the faculty and fully supported by the administration. Information is systematically collected and examined both to document and improve student learning. The information gained from the assessment process becomes part of the curricular development.

As a result, students, alumni, and employees, are asked from time to time to participate in testing, surveys, interviews, or other methods of collecting data for the assessment of the academic program.

D. Accreditation

Regarding institutional accreditation, the University of St. Thomas has maintained continuous accreditation by the Higher Learning Commission (www.hlcommission.org) since 1916.

The University of St. Thomas has specialized accreditation for some of its academic programs, which are listed at www.stthomas.edu/accreditation-assessment/specialized-accreditation/. The University of St. Thomas also offers several programs leading to professional licensure within the State of Minnesota. More information about our programs and professional licensure is provided at www.stthomas.edu/accreditation-assessment/professional-licensure-disclosures/.

The University of St. Thomas is registered with the Minnesota Office of Higher Education pursuant to sections 136A.61 to 136A.71. Registration is not an endorsement of the institution. Credits earned at the institution may not transfer to all other institutions. Contact information for the Minnesota Office of Higher Education is:

1450 Energy Park Drive, Suite 350
St. Paul, MN 55108-5227
Phone: (651) 642-0567
Toll Free: (800) 657-3866
Fax: (651) 642-0675
<https://www.ohe.state.mn.us/>

The University of St. Thomas has been approved by the Minnesota Office of Higher Education to participate in the State Authorization Reciprocity Agreements (SARA; www.nc-sara.org). SARA is a voluntary agreement among the 49 member states, the District of Columbia, Puerto Rico, and the U.S. Virgin Islands that permits certain types of educational activities without requiring institutions to seek state-by-state authorization.

E. Organization Charts

The university's leadership can be found at: <http://www.stthomas.edu/president/university-leadership>.

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Chapter 1

Faculty Organization Plan and the Role of Faculty in Shared Governance

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I. The Concept of Shared Academic Governance

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The notion of shared governance calls for a general commitment on the part of faculty, the governing board and its administrative agents to work together to strengthen and enhance the university. While universities define shared governance in a variety of ways, the central idea is that the faculty, administration and governing board work together to fulfill the mission of the university. Each of these three partners brings special areas of expertise and competence to the relationship, just as each has its own field of responsibilities. Using the perspective of shared governance, this document will describe the faculty governance system at the University of St. Thomas, as well as those ways in which faculty, administration and governing board work together for the common good within the university.

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The University of St. Thomas strives for a system of shared governance which, in its implementation, will create a culture of mutual trust, mutual respect, transparency, communication and accountability.

A. Areas of Primary Faculty Responsibility

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St. Thomas takes as its point of departure that faculty have primary responsibility for academic aspects of the university. Primary responsibility means that faculty make decisions in consultation with the academic deans and other academic administrators and subject to the approval of the president.

These areas include:

1. Material found in the following chapters of this Faculty Handbook
 - a. Chapter 1: Faculty Organization Plan and Role of Faculty in Shared Governance
 - b. Chapter 2: Faculty Appointments
 - c. Chapter 3: Faculty Evaluation
 - d. Chapter 4: Tenure/Tenure and Simultaneous Promotion to Associate Professor
 - e. Chapter 5: Promotion
 - f. Chapter 6: Termination of Faculty Appointments
 - g. Chapter 7: Faculty Grievance Policy
 - h. Chapter 8: Clinical Faculty
2. curriculum, including program revision and standards for granting degrees
3. subject matter and methods of instruction, including educational policies, allocation of resources for teaching enhancement, and assessment of student

- 46 learning and grading standards
47 4. research, including freedom of scholarly inquiry, standards for evaluation of
48 faculty scholarship, and allocation of faculty research funds
49 5. faculty status, including faculty ethics, peer review in hiring and retention,
50 and procedures for redressing grievances
51 6. those aspects of student life that relate to the academic experience, including
52 student academic ethics, and academic co-curricular policies
53 7. admissions to graduate programs and to undergraduate majors, with due
54 attention to the economic constraints of enrollment goals
55

56 **B. Areas Meriting Significant Faculty Consultation**

57 Because all aspects of the university are interconnected, meaningful consultation
58 with faculty is essential in areas that significantly affect the academic character and
59 quality of the university. Meaningful consultation occurs through substantive
60 discussions between administrators and appropriate faculty bodies as specified in
61 this document. These discussions take place early and frequently in the deliberative
62 process.
63

64 Strategic planning is a particularly important area for meaningful consultation.
65 Broadly, strategic planning is a collaborative endeavor whose ultimate
66 responsibility is that of the president and the Board of Trustees. However, when
67 planning involves institutional academic priorities, such as the development and
68 elimination of academic programs or the organization of academic structures and
69 units, meaningful consultation with the faculty is especially important. Ideally,
70 decisions will reflect consensus between the administrative leadership and the
71 appropriate bodies of the faculty.
72

73 Additional areas for meaningful faculty consultation include but are not limited to:

- 74 1. mission
75 2. undergraduate admissions, enrollment management, and financial aid
76 3. budget
77 4. hiring and evaluation of academic administrators
78 5. policies and priorities related to affirmative action and human resources
79 6. accreditation and institutional assessment, such as the National Survey for
80 Student Engagement and alumni surveys
81 7. recommendation of candidates for honorary degrees (see IV.B.3.a.ix.
82 below)
83 8. academic facilities, including instructional technologies
84 9. aspects of student life that affect academic climate and quality
85 10. policies related to academic calendars
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87 The more directly decisions about these areas affect the academic character and
88 quality of the university, the more extensive the consultation with faculty should
89 be.
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91 **II. DEFINITIONS**

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A. Full-time faculty

For purposes of faculty governance, full-time faculty are defined as those faculty who for a given academic year meet all of the following criteria: (1) hold a full-time faculty contract as defined in Chapter 2—Faculty Appointments in the Faculty Handbook; and (2) are evaluated by the criteria for evaluating faculty outlined in Chapter 3—Faculty Evaluation in the Faculty Handbook; and (3) carry a teaching load of at least 1/3 of a full-time faculty load. In calculating teaching load, course releases for sabbaticals, scholarly research, phased retirement, parental leave, department service (e.g. department chair), and service as a faculty representative on committees shall be counted as the equivalent of courses taught. Questions about whether an individual qualifies as a full-time faculty member under this definition are to be referred to the CFNE. This definition of full-time faculty is intended to be used only for the purposes of participation in governance activities as described in this Faculty Organization Plan.

B. Class day

For governance purposes, class days consist of days during the regular faculty contract period of September 1 through May 31 each academic year, exclusive of official university holidays and weekends.

C. Quorum

The quorum for the Faculty Senate will be two thirds of the voting members of the Faculty Senate.

A quorum for a meeting of the full faculty as described in Article III.C. 10 shall be the smallest whole number greater than 50 percent of the total membership of that body. In calculating the total membership of the body, faculty members on sabbatical or other approved leaves of absence are not included. Faculty on sabbatical or other approved leaves of absence retain their full-floor and voting privileges even though they do not count in calculating the quorum.

The quorum for meetings of Committees of the Faculty will be the smallest whole number greater than 50%.

D. Amendments to the Faculty Organization Plan

This plan may be amended at any meeting of the Faculty Senate by a 60% majority of those present and voting. Proposed amendments must be submitted in writing to the Executive Committee and distributed with the agenda at least one week prior to the meeting of the Faculty Senate at which action is to be taken. Amendments shall be incorporated into the pertinent section of the Faculty Organization Plan, unless otherwise specified.

E. Bylaws

The Faculty Senate shall adopt Bylaws, found in Section VIII. These Bylaws shall govern the meetings of the Faculty Senate and the University Faculty, except as

138 modified by either of these bodies as authorized in these Bylaws.
139

140 **III. The Faculty Senate and Officers of the Faculty**

141 The Faculty Senate is an essential foundation for a meaningful faculty voice in shared
142 governance.
143

144
145 The Faculty Senate is responsible for establishing university-wide academic standards
146 and policies in accordance with the university's mission, and with particular attention to
147 the common good of the university. Faculty of individual schools and colleges exercise
148 the autonomy appropriate to their expertise and to their particular understanding of the
149 values and boundaries of their disciplines, as they contribute to the mission and the
150 common good of the university. Schools and colleges thus have autonomy except in
151 those areas expressly delegated to the Faculty Senate or to specific committees in this
152 document.

153
154 The Faculty Senate is responsible for establishing policies that represent minimum
155 standards of faculty rights and responsibilities. Faculty of individual schools and
156 colleges may establish additional faculty rights and responsibilities provided that they
157 are no less stringent than the university-wide standards, are not in violation of the
158 Faculty Handbook, and do not abrogate faculty rights or university policies. The
159 Faculty Affairs Committee, in collaboration with the executive vice president and
160 provost, is responsible for ensuring that schools and colleges do not violate the
161 minimum standards set by the Faculty Senate.
162

163 All actions of the Faculty Senate are subject to approval, veto, or return for
164 reconsideration by the president of the university, as outlined in VII.A. below.
165

166 **A. Officers of the Faculty**

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- 168 1. The officers of the faculty are the chair of the faculty, the immediate past
169 chair of the faculty, and the chair-elect of the faculty. Each of these
170 positions is a one- year term, beginning on July 1. Holders of these positions
171 will be members of the Faculty Senate, but may not simultaneously serve as
172 senators representing schools or colleges.
173
 - 174 2. Full-time faculty members will elect each spring a chair-elect of the faculty.
175 This individual must be a tenured full-time faculty member who has
176 completed at least one year of service in the Faculty Senate. Candidates for
177 this position will provide a statement of qualifications, including
178 information about past service to the university, to be included on the ballot.
179 If a sitting senator is elected chair- elect, that senator will vacate the seat,
180 and that senator's constituency will elect a new senator to fill out that term.
181
 - 182 3. The chair, chair-elect and immediate past chair will not all be from the

183 same school or college.

184

185 4. The chair, chair-elect and immediate past chair serve on the Executive
186 Committee of the Faculty Senate. The chair of the Faculty serves as chair
187 of the Faculty Senate and as the presiding officer at meetings of the
188 University Faculty. The chair-elect of the Faculty serves as vice-chair of
189 the Faculty Senate and presides at meetings in the absence of the Chair.

190

191 5. The chair of the FAC, chair-elect, and immediate past chair have full floor
192 privileges at meetings of the Faculty Senate. The Presiding Officer may
193 vote in the case of a tie.

194

195 6. An officer of the faculty may be recalled. In order for such a recall to
196 commence, at least 15% of the full-time faculty or 30% of the senators
197 must sign a petition requesting the officer's removal, and submit the
198 petition to the secretary of the Faculty Senate. At the next scheduled
199 Faculty Senate meeting following the secretary's receipt of a recall petition
200 fulfilling one of the signature requirements set forth above, the Faculty
201 Senate will vote on whether to recall the officer. If the recall vote passes by
202 a 60% majority, the officer will be recalled and the full-time faculty will
203 hold an election organized by the Committee on Faculty Nominations and
204 Elections (see IV.B.2. below) to elect a new officer. Officers who have
205 been recalled remain eligible for future elections as a senator.

206

207 **B. Principles of Representation and Participation**

208

209 1. The Faculty Senate serves as a decision-making body for academic issues as
210 described in Section I above.

211

212 2. The Faculty Senate will be small enough for each senator to participate in
213 deliberations and to recognize the importance of that senator's contribution.

214

215 3. The Faculty Senate will be large enough for each senator to represent an
216 identifiable constituency with whom that senator can consult on a regular
217 basis. In turn, faculty as members of a designated constituency will have at
218 least one senator to whom they can go with concerns.

219

220 4. The Faculty Senate will combine representation by schools and colleges
221 with representation based on the relative size of the full-time faculty of each
222 school or college. Representation will be calculated as follows: one senator
223 per school or college, plus one senator for every 16 full-time faculty in that
224 school or college rounding up at 8 full-time faculty. For governance
225 purposes, a school that is located within a college is considered to be part of
226 that college. In January of even numbered years beginning in 2008, the
227 Faculty Affairs Committee will review the formula by which representation
228 is calculated and will make recommendations to the Faculty Senate if the

- 229 Faculty Affairs Committee concludes that a change is warranted.
230
- 231 5. The full-time faculty of each school or college will determine how they will
232 elect their senators within the parameters defined in this document. The full-
233 time faculty of a school or college may designate subgroups of departments
234 within that school or college as the basis for electing their senators. Eligible
235 faculty may be nominated by themselves or by any other member of the
236 electing unit with full-time faculty status. All open Faculty Senate positions
237 will have at least two candidates, insofar as possible. All elections will be by
238 secret ballot. All full-time faculty within an electing unit are eligible to vote
239 on all seats within that unit. Faculty within schools and colleges will stagger
240 the three-year terms to which they elect senators.
241
- 242 6. All officers and elected members of the Faculty Senate will be full-time
243 faculty members, except as provided in 7 and 8, below.
244
- 245 7. Two representatives of the adjunct faculty shall serve staggered two-year
246 terms in the Faculty Senate. The Adjunct Faculty Council will determine
247 how to conduct the election of their senators by all eligible adjunct faculty
248 members. In order to serve as Senate representatives, the adjunct faculty
249 members must satisfy the requirements for membership in the adjunct
250 faculty constituency as stipulated in the Adjunct Faculty Council By-Laws
251 (Article III.A.). If at any point during his or her two-year term an adjunct
252 faculty member fails to meet these requirements, the Adjunct Faculty
253 Council will designate a replacement to serve the remainder of the term.
254 The adjunct faculty senators shall be entitled to vote on any matter coming
255 before the Faculty Senate, with the exceptions of proposals to revise
256 Chapter 4 (“Tenure/Tenure and Simultaneous Promotion to Associate
257 Professor”) and Chapter 5 (“Promotion”) of the Faculty Handbook.
258
- 259 8. The two adjunct faculty senators shall not be from the same school or
260 college.
261
- 262 9. The president, the executive vice president and provost, and a representative
263 of the academic deans will be ex officio members of the Faculty Senate,
264 with full floor privileges.
265
- 266 10. All full-time faculty members as defined in Section II.A. have limited floor
267 privileges at Faculty Senate meetings except when the Faculty Senate is
268 meeting in executive session.
269
- 270 11. Other members of the university community may request the opportunity to
271 attend or address the Faculty Senate; they will have attendance or limited
272 floor privileges only when expressly granted by the Executive Committee of
273 the Faculty Senate or by decision of the Chair or by a majority vote of the
274 Faculty Senate.

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12. Persons who are not members of the university community will have attendance or limited floor privileges only when expressly granted by the Executive Committee of the Senate or by a two-thirds vote of the Faculty Senate.

13. Any senator may move that the Faculty Senate go into executive session at any time. The vote to go into executive session will be by secret ballot. Only duly elected faculty senators (or their proxies), the faculty officers, the secretary of the Faculty Senate, and the parliamentarian may be present when the Faculty Senate is in executive session.

C. Faculty Senate Operating Procedures

1. The Faculty Senate will follow Robert’s Rules of Order, except where otherwise stipulated in this document.
2. The Faculty Senate will be chaired by the chair of the faculty. The chair-elect of the faculty will serve as vice-chair, presiding in the absence of the chair.
3. Following the same procedures as those outlined for selecting faculty representatives to Committees of the University, senators will select a secretary of the Faculty Senate and a parliamentarian, who will each serve for two year terms. If a sitting senator is elected secretary of the Faculty Senate or parliamentarian, that senator will vacate the seat, and that senator’s constituency will elect a new senator to fill out that term. The secretary of the Faculty Senate and the parliamentarian are members of the Faculty Senate with limited floor privileges. The secretary of the Faculty Senate and parliamentarian may be present when the Faculty Senate meets in Executive Session. The secretary of the Faculty Senate and the parliamentarian will also serve as secretary and parliamentarian at meetings of the University Faculty as described in Article III.C.10
4. Each meeting’s agenda will be formed by the Executive Committee (which consists of the chair, the immediate past chair, the chair-elect, the chair of the Faculty Affairs Committee, and the executive vice president and provost), along with the secretary of the Faculty Senate and the parliamentarian. In considering proposals for inclusion on the agenda, the Executive Committee will ensure that all such proposals have been developed through a process that includes appropriate communication with all affected faculty, deans, and administrators.
5. The Executive Committee, at its discretion and for any Faculty Senate meeting, may create a consent agenda comprising any items requiring Faculty Senate approval that the committee regards as routine or non-controversial. Information related to all items placed on the consent agenda will be attached to the general meeting agenda, and distributed at least one week before the meeting. At the request of any senator, any item will be removed from the consent agenda and placed on the regular agenda for fuller consideration. Non- removal of an item from the consent agenda will result in its automatic approval. The consent agenda precedes old business on the meeting

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agenda.

6. The Faculty Senate will be scheduled to meet once every two weeks.
 7. The Executive Committee can call additional meetings and will call additional meetings if requested either by 20% of the senators or by the president.
 8. Amendments to the following chapters of the Faculty Handbook will require a 60% majority vote of the Faculty Senate to pass:
 - a. Chapter 1: Faculty Organization Plan and Role of the Faculty in Shared Governance
 - b. Chapter 2: Faculty Appointments
 - c. Chapter 3: Faculty Evaluation
 - d. Chapter 4: Tenure/Tenure and Simultaneous Promotion to Associate Professor
 - e. Chapter 5: Promotion
 - f. Chapter 6: Termination of Faculty Appointments
 - g. Chapter 7: Faculty Grievance Policy
 - h. Chapter 8: Clinical Faculty
- The Executive Committee will determine which proposals constitute amendments to these sections of the *Faculty Handbook*.
9. The secretary of the Faculty Senate will maintain a web site including, as a minimum, agendas posted at least one week before meetings, minutes including results of all formal votes, posted within one week of their approval, and any documents distributed to the Faculty Senate.
 10. All Faculty Senate actions are subject to reconsideration by the full faculty if 10% of full-time faculty file a request for reconsideration within 10 class days (excluding January-term and summer) of the publication of that action. Requests for reconsideration are submitted to the secretary of the Faculty Senate. If the secretary of the Faculty Senate receives requests for reconsideration from at least 10% of the full-time faculty, the secretary of the Faculty Senate will notify the Executive Committee, and the action will not be in effect. The Executive Committee will then solicit from those requesting reconsideration information about the nature of their concerns about the Faculty Senate action, and invite those faculty to attend the Faculty Senate meeting at which the action will be reconsidered. If the Faculty Senate revises its action, the new action is subject to reconsideration by the full faculty, with the same 10% threshold. If the Faculty Senate does not revise its action, the action, along with an explanation of the concerns raised and of the Faculty Senate's reasons for not revising the action, is published. If 20% of full-time faculty file a request for reconsideration within 10 class days (excluding January-term and summer) of the publication of that action and explanations, a special meeting of the full faculty will be called by the chair of the faculty for the purpose of resolving the issue through a vote of the full-time faculty. Such a vote will be the final faculty or Faculty Senate action on this matter for a period of one year. If a faculty meeting does not achieve quorum, the action of the Faculty Senate stands. For purposes of this paragraph, "Faculty Senate actions" are final actions that receive a formal vote by the Faculty Senate, but do not

369 include non-final steps (such as referrals to other bodies or tabling of proposals),
370 parliamentary measures (such as approval of the agenda and minutes, dividing a motion for
371 separate votes, etc.), honorary resolutions (such as commending someone for an
372 accomplishment or on retirement), or creation of temporary advisory or investigative ad hoc
373 committees (although any proposal submitted by such an ad hoc committee and adopted by
374 the Faculty Senate is subject to this reconsideration procedure).

375
376 11. Newly-elected senators will participate in an orientation to familiarize them with the
377 work of the Faculty Senate. This orientation will be organized by the Executive
378 Committee or its delegate.

379
380 12. Elected senators will ordinarily serve staggered three-year terms.

381
382 13. If a senator is unable to attend a meeting of the Faculty Senate, another full-time
383 faculty member may exercise that senator's full floor and voting privileges, provided
384 that the absent senator or the designated substitute will inform the secretary of the
385 Faculty Senate prior to the commencement of the meeting. The senator who is unable
386 to attend the meeting will select a substitute for that meeting. The absent senator will
387 assure that the individual to whom the proxy is given has been fully informed of the
388 issues to be considered at the meeting. The substitute senator must hold an
389 appointment in the same representational unit as the absent senator. Currently elected
390 senators are not eligible to serve as proxies for absent senators. If the president,
391 executive vice president and provost or the Dean's Representative cannot attend a
392 Faculty Senate meeting, each may identify an alternate to attend the meeting,
393 provided that the alternate informs the secretary of the Faculty Senate prior to the
394 commencement of the meeting. The absent ex-officio member will assure that the
395 alternate is fully informed of the issues to be considered at the meeting.

396
397 14. An elected senator may be recalled by the electing unit which the senator represents.
398 In order for such recall to commence, at least 20% of the senator's constituents must
399 sign a petition requesting that senator's removal and submit it to the chair of the
400 Committee on Faculty Nominations and Elections. Following receipt of such a
401 petition, the senator's constituents will vote on whether to recall the senator. If the
402 recall vote passes by a simple majority of all eligible faculty within the electing unit,
403 the senator will be recalled and the electing unit will hold another election to elect a
404 new senator. Senators who have been recalled are eligible for future participation in
405 the Faculty Senate.

406
407 **D. The Faculty Senator's Role and Responsibilities**

408 Elected by faculty in a particular school, each individual senator has a duty to voice the
409 concerns and to represent the interests of that school; yet each senator is equally
410 accountable for contributing to the common good of the academic community that is the
411 University of St. Thomas.

412
413 1. Senators' General Responsibilities. A faculty senator's role carries three general
414 responsibilities:

415 a. To receive and/or solicit faculty input on matters that may be brought to the

416 Faculty Senate; if appropriate, to bring those matters before the Faculty Senate for
417 consideration. Meeting this responsibility ensures that the particular constituency
418 whom the senator represents is given a voice; collectively, the process fosters an
419 environment of bottom-up, pro-active governance that responds to the concerns of
420 all academic areas of the university.

421 b. To contribute to the quality of discussion on matters before the Faculty Senate by
422 presenting and considering all pertinent facts; to contribute to the mutual understanding
423 and acceptance of Faculty Senate decisions and recommendations by ensuring that all
424 legitimate perspectives may be aired. In meeting this responsibility, the faculty senator
425 contributes to a decision- making process that seeks the common good through broad
426 participation in a climate marked by civility, mutual trust and mutual respect.
427 c. To give expression to faculty voice on matters immediately before the Faculty Senate
428 through active engagement in Faculty Senate deliberations and through informed and
429 conscientious voting. In meeting this responsibility, the faculty senator acts as steward of
430 the intellectual, cultural, spiritual and material welfare of the community.

431
432 2. Senators' Specific Duties. A faculty senator must also be prepared to assume several
433 specific duties:

434 a. To participate in a formal orientation to the work of the Faculty Senate and to
435 their responsibilities and duties as senators.
436 b. To attend Faculty Senate meetings and to do the requisite preparation, including
437 being informed on issues and items to be deliberated at each meeting.
438 c. To communicate with constituent faculty regularly and in a timely manner on
439 governance and academic matters that fall within the purview of the Faculty
440 Senate and especially on matters currently before the Faculty Senate; to report
441 and if necessary to explain to constituent faculty the reason for the senator's vote
442 on a particular issue.
443 d. To employ communication practices which enhance the Faculty Senate's ability
444 to understand and to effectively represent the university faculty as a whole, while
445 promoting the common good of the university.
446 e. To serve, as needed, on Faculty Senate subcommittees, and/or on task groups
447 designated by the Faculty Senate as a means for conducting the work of the
448 Faculty Senate.
449 f. To serve, as called and as able, in Faculty Senate leadership positions.
450 g. To serve, in the usual case, a term of three years.

451
452 The faculty member who serves as a senator assumes a special burden of
453 responsibility as a representative of the faculty and makes an important contribution
454 to the welfare and well-being of the university. Given the scope of the senator's
455 responsibilities and the time required to meet them, the job of the faculty senator will
456 be recognized as a major service commitment to the university.
457

458 **IV. Committees of the Faculty**

459 **A. General Principles and Operating Procedures**

460 1. All committees have as their ultimate purpose contributing to the common good as
461

462 articulated in the university’s mission statement. To this end, all committees will
463 strive to actualize the principles of mutual respect, mutual trust, transparency,
464 accountability, and communication.

- 465
- 466 2. Committees charged with areas identified in I. A. as “Areas of Primary Faculty
467 Responsibility” are considered Committees of the Faculty.
468
 - 469 3. To ensure attention to the university’s mission and common good, all Committees of
470 the Faculty will adopt procedures that include appropriate communication with all
471 affected faculty, deans, and administrators. At a minimum, each committee will
472 make available on its website (or in another comparable manner) its agenda, at least
473 three days before its meetings, and its minutes as soon as they are approved. At a
474 minimum, minutes shall include the topics discussed and the results of votes taken,
475 but such reporting should also observe appropriate confidentiality. Typically, the
476 names of individual voters are not given, nor are details that would identify any
477 faculty member whose proposals or situation was discussed at the committee
478 meeting.
479
 - 480 4. All Committees of the Faculty will comprise at least a majority of full-time faculty
481 members.
482
 - 483 5. At the end of each academic year, all Committees of the Faculty will elect from their
484 membership a full-time faculty member to chair the committee for the next year. The
485 chair will be responsible for convening the committee and for orienting new members
486 to the committee’s responsibilities and procedures. The members of the Committee
487 on Undergraduate Studies, the Educational Policies and Planning Committee, and the
488 college Curriculum Committees have the option of electing the administrative
489 member of the committee to chair the committee.
490
 - 491 6. Committee members will be drawn from various schools and colleges in order to
492 ensure that a variety of perspectives and experiences are brought to all committee
493 discussions and deliberations. Committee members are not representing specific
494 interests, but ensuring that university-wide decisions reflect the best interests of the
495 university as a whole.
496
 - 497 7. Except where otherwise stipulated in this plan or by vote of the Faculty Senate,
498 Committees of the Faculty will have eight (8) full-time faculty members, without
499 regard to rank, serving staggered four-year terms. These members will be drawn
500 proportionally from the various schools and colleges of the university, with smaller
501 units grouped for purposes of committee membership. As a general practice, four (4)
502 of the members will represent the College of Arts and Sciences and two (2) will
503 represent the Opus College of Business. In addition, the following groups of schools
504 and colleges will be represented by one (1) member each: School of Law/School of
505 Divinity/School of Engineering; and the Morrison Family College of Health/School
506 of Education/Dougherty Family College. Where eligible adjunct faculty members (as
507 defined by the Adjunct Faculty Council By-Laws) are permitted to serve on Standing

508 Committees of the Faculty, their terms shall be two years. Except where otherwise
509 indicated, an adjunct faculty member may not serve as the chair of a standing
510 Committee of the Faculty.

- 511
- 512 8. A faculty member (including an adjunct faculty member) may serve on only one
513 standing committee at a time, whether a standing Committee of the Faculty or a
514 standing Committee of the University, except as follows:
- 515
- 516 a. Faculty who serve on a standing Committee of the Faculty or a standing
517 Committee of the University may also serve on Curriculum Committees described
518 in section IV.B.9, and standing committees of schools, colleges, or departments;
519 and
 - 520 b. The Chair of the Faculty Affairs Committee also shall serve *ex officio* on the
521 Executive Committee of the Faculty Senate; and
 - 522 c. Members of the Executive Committee of the Faculty Senate also may serve *ex*
523 *officio* on other standing Committees of the Faculty or standing Committees of the
524 University; and
 - 525 d. Faculty who serve a regular term (i.e., not as a substitute or replacement) on a
526 standing Committee of the Faculty or a standing Committee of the University may
527 also serve concurrently as substitutes or replacements for up to one year on, at
528 most, one additional standing Committee of the Faculty or standing Committee of
529 the University (as described in section IV.B.2.c.iii); and
 - 530 e. Faculty who serve on a standing Committee of the Faculty or a standing
531 Committee of the University may also serve on advisory committees related to the
532 undergraduate core curriculum (as described in section IV.B.8).
- 533
- 534 9. Committee members will be elected by the faculty grouping from which they are
535 drawn through a process determined by those faculty, and organized and overseen by
536 the Committee on Faculty Nominations and Elections according to the procedures
537 found in Article IV.B.2.c.i.
- 538
- 539 10. There may at times be situations in which a faculty member or faculty chair (hereafter
540 simply “member”) is severely underperforming the role on the committee. In such
541 rare cases there should be a process in place for removing the member. Grounds for
542 dismissal may include, but will not be limited to, failure to attend meetings on a
543 regular basis, failure to do the work of the committee, and other similar issues. In the
544 first instance, of course, the committee should try to resolve the situation amicably
545 internally—ideally by encouraging appropriate performance by the member and, failing that,
546 by encouraging resignation by the member if unable to perform the role.
- 547
- 548 11. If the committee cannot resolve the matter internally, the following procedures should
549 apply: a 2/3 majority of members (not including the affected member) at a properly
550 called meeting may recommend removal of a member or chair. In the event of such a
551 vote, the affected member shall be notified by the committee of the vote. If the
552 member decides to resign, the CFNE should be notified of that fact. If the member
553 desires to remain on the committee, then (1) the committee must notify CFNE of its
554 vote and the circumstances giving rise to the vote and (2) the affected member must

555 show cause to CFNE why the member should not be removed from the committee.
556 CFNE must then consider the information submitted. Removal of the member from
557 the committee requires a simple majority vote of the CFNE at a properly called
558 meeting. If the affected member is serving on the CFNE itself, the same procedures
559 shall apply, except that the Faculty Affairs Committee shall function as the
560 investigating body.

- 561
- 562 12. All Committees of the Faculty will submit at least two reports to the secretary of the
563 Faculty Senate each year. The first report is due no later than December 31; the
564 second report is due no later than May 31. Both reports will include information
565 about committee membership, meeting frequency, the semester's activities, policy
566 issues under discussion and actions taken (with due consideration of confidentiality
567 and privacy requirements, where appropriate) and anticipated up-coming major
568 issues. The second report will also function as a self-evaluative annual report,
569 identifying aspects of the committee work that are going well and areas of
570 responsibility that might call for adjustment. Submitting these reports is the
571 responsibility of the committee chair.
- 572
- 573 13. Committees of the Faculty have the authority to implement policies passed by the
574 Faculty Senate and approved by the president. Any committee-approved revisions of
575 or additions to current policies must be brought to the Faculty Senate for approval.
- 576
- 577 14. When interpretations of current policies seem to cause controversy or to be shifting,
578 or when gaps in policies are identified, these issues should be included in the reports
579 to the Faculty Senate. Based on information from the reports or from other sources,
580 the Faculty Senate may then request further information, or the Executive Committee
581 may place the issue on the Faculty Senate agenda for further consideration and
582 clarification, or the Faculty Senate or Executive Committee may refer the issue to the
583 Faculty Affairs Committee.
- 584
- 585 15. The Faculty Senate may create ad hoc committees or work groups charged with areas
586 identified in I. A. as "Areas of Primary Faculty Responsibility" as needed. These ad
587 hoc committees or work groups may include administration members as the Faculty
588 Senate finds appropriate to the subject matter of the committee.
- 589
- 590 16. Logistical support for Committees of the Faculty will be provided by the office of the
591 administrative member of the committee. If the committee has no administrative
592 member, logistical support will be provided by the Academic Affairs Office as
593 necessary. The level of logistical support will be developed by the Implementation
594 Committee for this governance system (See VII.H. below).

595

596 **B. Standing Committees of the Faculty**

- 597 1. Executive Committee of the Faculty Senate
- 598 a. Purpose:
- 599 i. to assume primary responsibility for ensuring the faculty's participation in and
600 responsibility for shared governance

- 601 ii. to serve as a mechanism for the exchange of opinions and ideas between
602 faculty and administration
603 iii. to create the agenda for all Faculty Senate meetings
604 iv. to act on requests from all persons who are not full time faculty members for
605 attendance privileges or limited floor privileges for any Faculty Senate
606 meeting
607 v. to ensure regular, timely communication among the Faculty Senate, all
608 committees, the faculty, and the administration
609 vi. to structure opportunities for consultation between the Faculty Senate and the
610 faculty as a whole
611 b. Membership: chair of the faculty, chair-elect of the faculty, immediate past chair
612 of the faculty, chair of the Faculty Affairs Committee, and executive vice
613 president and provost.
- 614 2. Committee on Faculty Nominations and Elections (CFNE)
615 a. Purpose:
616 i. to act as the nominating committee for the memberships on all elected
617 committees
618 ii. to propose a slate of individuals to the Faculty Senate for the positions of
619 secretary of the Faculty Senate and parliamentarian for representatives to
620 committees of the Board of Trustees, and for members of all university
621 committees and task forces that are not otherwise elected
622 iii. for all committees that are not chaired by faculty, to appoint one faculty
623 member of the committee to be responsible for all reports to the Faculty
624 Senate.
625 iv. to provide a triennial review of the standing-committee structure, and conduct
626 an annual evaluation of all ad hoc committees
627 v. at the end of each academic year, to review the number of full-time faculty in
628 each school or college, and to make adjustments in the number of senators
629 representing each academic unit as necessary
630 vi. at the beginning of each academic year, to provide an orientation session for
631 chairs/new members of Committees of the Faculty and Committees of the
632 University. The orientation session should include the chair of the faculty and
633 the executive vice president and provost.
- 634 b. Membership: as in IV.A.7. above.
635 c. Procedures: The Faculty Senate will determine any changes in policy for elections
636 to standing and ad hoc committees. Beyond specific policies set by the Faculty
637 Senate, each academic unit will have the freedom to set their own policies. The
638 CFNE will be responsible for the ballots and will conduct the elections.
639 i. Elections for standing Committees of the Faculty and ad hoc committees of
640 the Faculty.
641 a) The CFNE organizes, facilitates and oversees these elections, and ensures
642 that they are conducted in a fair and timely manner.
643 b) These elections will be completed early enough in the spring semester for
644 the CFNE to be able to consider the results in developing a slate of
645 candidates for Committees of the University.
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- ii. Elections for standing Committees of the University, and for secretary of the Faculty Senate and parliamentarian of the Faculty Senate
 - a) The CFNE will solicit from faculty and administrators nominations for faculty representatives to Committees of the University. It will also solicit from faculty nominations for secretary of the Faculty Senate and parliamentarian of the Faculty Senate. These nominations will include information regarding each nominee’s prospective contributions to the committee or position. The CFNE will choose from among these nominations, and submit a slate of candidates to the Faculty Senate along with the information for the candidates chosen. The slate, along with an explanation of the balance of faculty representation on the slate, will be announced at the third to the last Faculty Senate meeting of the academic year. In developing the slate, the CFNE will seek broad representation of the faculty, while taking into consideration the particular needs of each committee. At the second to the last Faculty Senate meeting of the academic year, additional nominations can be taken from the floor, provided that they have been submitted to the Executive Committee at least one week prior to the meeting. These nominations must also include information about the prospective contributions of the nominee.
 - b) If no further nominations for any position have been received prior to the meeting, the slate is deemed endorsed by consent. If any nominations have been added to the slate, then the Faculty Senate will vote on each committee for which nominations have been submitted. All other committees will be endorsed by consent.
 - c) Self-nominations are accepted. Nominations by governance units, i.e., department, school or college, are also accepted but are not binding upon the CFNE or the Senate.
 - iii. Faculty representatives to ad hoc Committees of the University, task forces, and search committees, and substitutes and replacements for all committees.
 - a) The CFNE will appoint faculty members for all non-standing Committees of the University, as identified in V.C, below, except for search committees for academic deans and vice presidents. For all such committees, the CFNE will inform the faculty at large of any open position. They will accept nominations from faculty and administrators for one week. Then, in consultation with the executive vice president and provost, they will choose faculty representatives, seeking broad representation of the faculty while taking into consideration the particular needs of each committee. The CFNE will report the appointments to the Faculty Senate and to the appropriate committee chair.
 - b) With respect to searches for academic deans and vice presidents, the hiring authority (the president or executive vice president and provost) will consult with the Faculty Affairs Committee on arrangements for faculty participation on search committees. Final responsibility for the structure of

694 the search committee rests with the president or executive vice president
695 and provost, as appropriate. Some but not all of the faculty members on
696 such search committees may be appointed by the hiring authority. The
697 CFNE will identify the other faculty representatives to such committees,
698 either through appointment or election, as appropriate to the structure of
699 the search committee.

- 700
- 701 c) In the event that a faculty officer is unable to finish the term, the CFNE
702 will in a timely manner organize a special election to replace the officer.
703
- 704 d) Except as specified in (c) above, the CFNE may appoint substitutes or
705 replacements for any faculty member serving on any Committee of the
706 Faculty who is unable to serve the entire term. Substitutes will be
707 appointed to fill a vacancy when a committee member takes a leave of a
708 year or less and wishes to return to the committee. Replacements will be
709 appointed to fill a vacancy when a committee member would be absent
710 from the committee for more than one year. When substitutes and
711 replacements are needed, the CFNE will inform the electing body of any
712 vacancy. Faculty from this body will have one week to nominate full-time
713 faculty to serve as substitutes or replacements. The CFNE will select a
714 substitute or replacement and report the name to the Faculty Senate and to
715 the appropriate committee chair. Replacements will serve on the
716 committee until a new member can be elected at the next regularly
717 scheduled election for Committees of the Faculty. The newly elected
718 member will finish the term of the original member.
719
- 720 e) The CFNE may appoint substitutes or replacements for any faculty
721 representative unable to serve the entire term on any Committee of the
722 University. Substitutes will be appointed to fill a vacancy when a
723 committee member takes a leave of a year or less and wishes to return to
724 the committee. Replacements will be appointed to fill a vacancy when a
725 committee member would be absent from the committee for more than
726 one year. When substitutes and replacements are needed CFNE will
727 inform the faculty at large of any vacancy. Faculty and administrators will
728 have one week to nominate replacements. The CFNE will select a
729 substitute or replacement and report the name to the Faculty Senate and to
730 the appropriate committee chair. Replacements will serve on the
731 committee until a new member can be elected at the next regularly
732 scheduled election for Committees of the University. The newly elected
733 member will finish the term of the original member.
- 734 f) When replacing a faculty member of a Committee of the Faculty, the
735 CFNE may follow the process set out in paragraph (d) or call a special
736 election to select a new member to serve a term of a specified length no
737 longer than four years in order to re-establish uniformly staggered terms
738 across the committee.
- 739 g) When replacing a faculty member of a Committee of the University, the

740 CFNE may appoint a new member to serve a term of a specified length no
741 longer than four years in order to re-establish uniformly staggered terms
742 across the committee.
743

744 3. Faculty Affairs Committee (FAC)

745 a. Purpose: The Faculty Affairs Committee is concerned with all matters relevant to
746 the faculty's well-being, in the context of the overall well-being of the university.
747 It facilitates the faculty's role in shared governance and serves as a protector of
748 faculty rights and a promoter of faculty responsibilities. More specifically, its
749 purpose is:

- 750 i. to support the informal and formal grievance procedures as set out in the
751 Faculty Handbook
- 752 ii. to serve as a mechanism for the exchange of opinions and ideas among
753 faculty, deans, and administrators
- 754 iii. to initiate proposals, including proposals to form ad hoc committees with
755 particular charges, related to faculty governance and to faculty rights and
756 responsibilities, including any aspects of the Faculty Handbook not delegated
757 to a standing committee; all such proposals will be submitted to the Faculty
758 Senate for approval
- 759 iv. to receive proposals from members of the university community, including
760 administrators and any others who do not have specific representation on the
761 Faculty Senate for ultimate consideration by the Faculty Senate; in
762 collaboration with the Executive Committee of the Faculty Senate, to serve as
763 the vehicle for bringing such proposals to the Faculty Senate
- 764 v. in collaboration with the executive vice president and provost, to clarify and
765 interpret the Faculty Handbook; to mediate, or to arbitrate if necessary,
766 situations in which school or college actions seem to be at odds with
767 university policies, and where appropriate, to refer issues to the Faculty
768 Senate
- 769 vi. to receive questions and concerns related to shared governance, to investigate
770 and clarify issues raised by any member of the university community; to
771 provide informal mediation among affected parties, and to facilitate more
772 formal action either through its own procedures, if all parties are faculty, or
773 through a process developed in collaboration with the administration, if
774 parties include both faculty and non-faculty
- 775 vii. in consultation with the appropriate administrators, agree on the degree of
776 faculty participation on "Additional Committees of the University" (see V.C.
777 below)
- 778 viii. to consult with the appropriate hiring authority on the degree of faculty
779 participation on search committees for academic administrators (see 2.c iii. (b)
780 above)
- 781 ix. to receive nominations from the full-time faculty, prepare the ballot, and
782 conduct balloting for the annual recognition of the "Professor of the Year"
- 783 x. to receive from faculty names of potential candidates for honorary degrees,
784 and to refer such names to the president, who may submit them, in addition to
785 those recommendations that are made to the president from other sources, to
786

- 787 the Board of Trustees
- 788 b. Membership: as in IV.A.7. above, except that all members must be tenured
- 789 faculty. In addition, the chair will serve on the Executive Committee of the
- 790 Faculty Senate and, with the chair of the faculty, will participate in the AAAC and
- 791 the Academic Affairs Committee of the Board of Trustees. The chair of the
- 792 Faculty Affairs Committee may not simultaneously serve as a department chair or
- 793 a member of the Faculty Senate.
- 794
- 795 4. Tenure and Promotion Committee
- 796 a. Purpose: to serve as an advisory board to the president on faculty rank and tenure.
- 797 b. Membership:
- 798 i. as in IV.A.7 above, except that all members must be tenured faculty.
- 799 ii. the president of the university and the executive vice president and provost
- 800 will attend as non-voting members all meetings at which candidates for
- 801 promotion and tenure are discussed and recommendations are decided
- 802 iii. department chairs and faculty with full-time administrative appointments are
- 803 excluded from membership; faculty assuming such positions will be required
- 804 to resign from the committee.
- 805 c. Procedures:
- 806 i. Applicants for tenure and promotion are to follow the procedures documented
- 807 in the Faculty Handbook.
- 808 ii. The Tenure and Promotion Committee elects a faculty chair from among its
- 809 members.
- 810 iii. The executive vice president and provost serves as secretary to keep minutes
- 811 of all meetings, and to be informed as to all pertinent facts in the cases to be
- 812 discussed at meetings. The secretary will send notices of meetings, with the
- 813 agenda.
- 814 iv. The committee will meet at least once each semester.
- 815 v. The appropriate dean of the academic unit presents the file of the candidate
- 816 for tenure or promotion and is present for discussion, but does not vote and is
- 817 not present for the vote. In the case of a candidate who holds a combined
- 818 appointment in different academic units, the dean of the academic unit in
- 819 which the faculty member holds the primary appointment presents the case;
- 820 the dean of the academic unit in which the faculty member holds the
- 821 secondary appointment may, however, be present for the presentation and may
- 822 add any additional, pertinent comments.
- 823 vi. At the request of the committee, a specific chair or director of an academic
- 824 unit or the chair of a tenure committee may be asked to appear before the
- 825 committee to provide information or clarification, or to answer questions
- 826 relevant to a candidate.
- 827 vii. All committee members who have participated in the decision on a tenure or
- 828 promotion application at a lower level will recuse themselves from the
- 829 deliberations and voting in the Tenure and Promotion Committee in that case.
- 830 viii. Only faculty holding the rank of professor will deliberate or vote on
- 831 applications for promotion to that rank. At least three professors must be
- 832 involved in such deliberations and voting. To ensure that this minimum is

833 achieved, the Tenure and Promotion Committee should have four members at
834 the rank of professor in case one is unavailable to participate. If the Tenure
835 and Promotion Committee does not include four faculty members at the rank
836 of professor, the committee will add professors using the process described
837 below. The participation of these additional members is limited solely to
838 applications for promotion to professor. Membership as an additional member
839 of the Tenure and Promotion Committee may occur simultaneously with
840 service on another standing committee. The process for selecting these
841 additional members will be as follows: at the beginning of the academic year,
842 the chair of the Tenure and Promotion Committee shall determine if additional
843 professors are needed. If there are not four professors on the committee, the
844 entire committee will select names from a list of professors who have
845 experience serving on the Tenure and Promotion Committee, or its
846 predecessor, the Academic Council, and invite them to serve as additional
847 members reviewing applications for promotion to professor for the entire
848 academic year. The number to be added will be the number needed to have
849 four professors on the committee. While this process should occur at the
850 beginning of the academic year, the Tenure and Promotion Committee can
851 add professors at any time if the need arises.

- 852 ix. Members of the committee who wish to apply for promotion must resign their
853 position for the academic year during which they submit such application.
854

855 5. Faculty Development Committee

856 a. Purpose:

- 857 i. to receive applications for sabbatical leaves and faculty development grants,
858 to make recommendations to the appropriate university officials for the
859 awarding of leaves and grants, and to award grants directly to the faculty from
860 the funds it controls;
- 861 ii. to revise internal grant materials, such as applications and policies, as deemed
862 necessary or desirable, and to help develop new grant descriptions and
863 materials as such opportunities arise;
- 864 iii. to advise the director of the Center for Faculty Development, when needed, on
865 the planning and implementation of programs that further faculty professional
866 development, to participate in the institutional program review process, and to
867 assist, when appropriate, in implementation of programs for faculty;
- 868 iv. to participate in the process for hiring for the position of director of Faculty
869 Development by reviewing applications and nominations and, after due
870 consideration, presenting its recommendations to the AVP for Faculty
871 Advancement and the Vice Provost.

- 872 b. Membership: as in IV.A.7. above plus one eligible adjunct faculty member, if
873 appointed by the Adjunct Faculty Council. The Director of Faculty Development,
874 the AVP for Faculty Advancement, the Sponsored Programs Director, and an
875 Associate Director of Faculty Development will serve as non-voting ex officio
876 members and are not eligible to serve as chair of the committee.

877 c.

878
879 6. Committee on Teaching Evaluation

- 880 a. Purpose:
- 881 i. to maintain familiarity with current research on teaching effectiveness, which
- 882 includes both the implications of learning theory as applied to higher
- 883 education and the practical consequences of evaluation systems in use here
- 884 and elsewhere, and to maintain familiarity with the validity and reliability of
- 885 evaluation systems
- 886 ii. to oversee the various procedures developed for evaluation, to research the
- 887 results, to develop norms based upon relevant experience at the university and
- 888 institutions nationally, and to promote the proper use of the results of
- 889 evaluation, in light of the goals of academic excellence
- 890 iii. to promote and facilitate both the formative and summative use of teaching
- 891 evaluation, including peer evaluation
- 892 iv. to draft proposals for legislative actions and submit them to the Faculty Senate
- 893 for consideration when the duties listed above lead to ideas for improvements
- 894 to the present system
- 895 b. Membership: as in IV.A.7. above, plus one eligible adjunct faculty member, if
- 896 appointed by the Adjunct Faculty Council, the executive vice president and
- 897 provost or designee, one dean selected by the Deans' Council, one undergraduate
- 898 student member, and one graduate student member.
- 899

900 7. Educational Policies and Planning Committee (EPPC)

- 901 a. Purpose:
- 902 i. to assume responsibility for long-range planning, formulation, and oversight
- 903 of educational policy
- 904 ii. to assume responsibility for ensuring that appropriate academic standards are
- 905 maintained in all academic programs at the university, college, school,
- 906 program, and departmental levels, including general education requirements
- 907 and non-degree credit-bearing education programs
- 908 iii. to formulate, subject to Faculty Senate approval, policies regarding the
- 909 following undergraduate matters pursuant to sections 7.d and 7.e; and to
- 910 formulate policies regarding the following graduate matters pursuant to
- 911 section 7.f: organization of the curriculum; academic calendars; course
- 912 credits; student course load; classification of students; grades; procedures and
- 913 criteria for admissions to undergraduate majors; academic probation and
- 914 suspension; grade reports; transfer of credit; residence requirements; non-
- 915 degree credit-bearing programs; and requirements for graduation, degrees, and
- 916 honors.
- 917 iv. to assume special responsibility for interdisciplinary (IDSC) courses, and for
- 918 interdisciplinary programs and academic initiatives that involve more than one
- 919 school or college (e.g., the Aquinas Scholars Program, community-based
- 920 learning).
- 921 v. as described in sections 7.d and 7.e below, to review undergraduate
- 922 curricular proposals sent to it by college/school curriculum committees and
- 923 the Core Curriculum Committee and to recommend to the Faculty Senate
- 924 substantive revisions to the undergraduate core curriculum.
- 925 vi. as described in section 7.f below, to review major graduate curricular

926 proposals sent to it by college/school curriculum committees.

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b. Scope and expectations:

- i. For purposes of reviewing curriculum proposals, the EPPC is divided into two sub-committees: the Undergraduate Curriculum Committee (UCC) and the Graduate Curriculum Committee (GCC). The primary responsibility of these two sub-committees is their respective curricula. The Undergraduate Curriculum Committee is also responsible for overseeing the operation of the undergraduate core curriculum; receiving regular reports from the Core Curriculum Assessment Committee (CCAC) (IV.B.8), which is charged with coordinating and overseeing ongoing assessment of the core curriculum; and serving as a mechanism for changes to the core. The Undergraduate Curriculum Committee and Graduate Curriculum Committee may also bring to the EPPC proposals for creating or reviewing academic policies.
- ii. The work of the Undergraduate Curriculum Committee and Graduate Curriculum Committee is expected to focus on those matters that are likely to impact the university at large or other colleges/schools in the university, and will avoid duplicating the curriculum review process conducted at the college/school level. As general guidelines, the EPPC and its sub-committees should consider whether a curricular proposal would: (a) have a significant effect on the nature of curricula; (b) have a significant impact on resources outside of the originating school/college; (c) result in significant and inappropriate duplication of the education or responsibilities of another school/college; (d) significantly undermine the quality of a University of St. Thomas degree; or (e) be inconsistent with the university's mission.
- iii. The EPPC and its sub-committees should give full consideration to accreditation requirements of a program, department, school/college, or the university.

- c. Membership: The Undergraduate Curriculum Committee will have twenty-four members, consisting of twenty-two regular faculty members; one (1) eligible adjunct faculty member, if appointed by the Adjunct Faculty Council; and the executive vice president and provost or the designee of the executive vice president and provost as a non-voting member. There is a standing invitation to attend Undergraduate Curriculum Committee meetings (as non-voting observers) to all deans or their designees, and to the Director of Accreditation and Assessment or a designee. Regular faculty members representing schools and colleges of the university will be elected according to procedures found in Chapter I, Article IV.B.2.c.i. Faculty members of the Undergraduate Curriculum Committee will be drawn from schools and colleges of the university as follows: ten (10) representing the College of Arts and Sciences, including: one from each department guaranteed a course in the core (English, History, Modern and Classical Languages, Philosophy, Theology); one from each core area that does not automatically get some representation through the first five departments (Fine Arts, Natural Sciences, Social Scientific Analysis, Quantitative Analysis); one (1) at-large representative from the College of Arts and Sciences drawn from

972 a department not guaranteed a course in the core (from any department except
973 English, History, Modern and Classical Languages, Philosophy, Theology); eight
974 (8) representatives from outside the College of Arts and Sciences, including two
975 (2) from the Opus College of Business, one (1) from the School of Education,
976 one (1) from the School of Engineering, one (1) from the College of Health, one
977 (1) from the Dougherty Family College, two (2) at-large representatives from
978 professional schools. Regular faculty members representing the Advisory
979 Committees related to the core curriculum will be appointed by the Committee
980 for Faculty Nominations and Elections according to the procedures found in
981 Article IV.B.2.c.iii. and will be elected by their Advisory Committees to their
982 representative role on the Undergraduate Curriculum Committee. These four (4)
983 representatives from any college or school include: one (1) representative from
984 the Diversity, Inclusion, and Social Justice Advisory Committee, one (1)
985 representative from the Global Perspectives Advisory Committee, one (1)
986 representative from the Writing Across the Curriculum Advisory Committee, and
987 one (1) representative from the Information and Research Literacy Advisory
988 Committee. The Graduate Curriculum Committee will have nine members,
989 consisting of seven (7) full-time faculty members; one (1) eligible adjunct
990 faculty member, if appointed by the Adjunct Faculty Council; and the executive
991 vice president and provost or the designee of the executive vice president and
992 provost as a non-voting member. A faculty member who (1) is teaching regularly
993 in a graduate program, (2) has served as a member of a college/school or
994 department curriculum committee, and (3) preferably is serving simultaneously
995 as a member of a college/school or department curriculum committee will be
996 elected for membership on the Graduate Curriculum Committee by the pertinent
997 school/college curriculum committee. Faculty members of the Graduate
998 Curriculum Committee will be drawn from the schools and colleges of the
999 university as follows: one (1) each representing the College of Arts and Sciences;
1000 the Opus College of Business; the School of Education; the School of Law; the
1001 Saint Paul Seminary School of Divinity; the School of Engineering; and the
1002 School of Social Work.

1003
1004 d. Procedures for undergraduate curricular proposals:

- 1005 i. The Undergraduate Curriculum Committee will receive undergraduate
1006 curricular proposals from the curriculum committees of the various schools
1007 and colleges. Curricular proposals include proposals for new courses or
1008 substantial changes to existing courses, proposals for changes to existing
1009 degrees, majors or minors, and proposals for new degrees or programs,
1010 majors, or minors. The Undergraduate Curriculum Committee will review the
1011 proposals to ensure their maintenance of appropriate academic standards, to
1012 assess their impact on other schools and colleges, and to confirm their
1013 consistency with the mission of the university. In order for the Undergraduate
1014 Curriculum Committee to receive any curricular proposal, it must have
1015 undergone the following process:

- 1016
1017 a) A department submits a proposal to the curriculum committee of its school
1018 or college.

- 1019 b) If the school/college curriculum committee approves the proposal, it then
1020 subjects the proposal to the consent procedure within the school or college
1021 (see 9.c i. below). If it does not approve the proposal, it notifies the
1022 originating department of the reasons for its decision.
- 1023 c) If the proposal fails consent, it is sent back to the originating department
1024 for reconsideration.
- 1025 d) If the proposal passes consent, the dean of the school or college from
1026 which the proposal is initiated forwards the proposal to the Undergraduate
1027 Curriculum Committee, along with a letter of transmittal certifying that
1028 the school/college approval process has been followed, and indicating the
1029 dean's approval or non-approval with explanatory comments as
1030 appropriate. In addition, any proposal for a new degree or program, major,
1031 or minor, will be accompanied by a letter from the executive vice
1032 president and provost commenting upon the proposal's relevance to the
1033 mission of the university, and availability of university resources to
1034 support the proposal.
- 1035 ii. Then, upon receipt of the proposal, the Undergraduate Curriculum Committee
1036 will inform all other school/college curriculum committees of the proposal
1037 (see 9.c.ii. below). It is the responsibility of each of these curriculum
1038 committees to identify any objections and register them with the
1039 Undergraduate Curriculum Committee within twenty (20) class days. After
1040 the twenty-class period for review by other school/college committees has
1041 passed, the Undergraduate Curriculum Committee will follow one of three
1042 review processes, depending on the type of curricular change involved.
- 1043 a) In the case of proposals for new courses or substantial changes to existing
1044 courses, except those courses that meet an allied requirement in another
1045 school or college or that fulfill an undergraduate core or core area
1046 requirement,
- 1047 1) if none of the school/college curriculum committees raises objections,
1048 the proposal is simply received by the Undergraduate Curriculum
1049 Committee as an informational item for the purpose of university-wide
1050 notification.
- 1051 2) if any of the school/college curriculum committees raises an objection,
1052 the Undergraduate Curriculum Committee reviews the proposal and
1053 the objection(s), consults with all interested units, and either approves
1054 the proposal or remands it to the originating department. The
1055 Undergraduate Curriculum Committee's approval of such course
1056 proposal is then subject to university- wide consent.
- 1057 b) In the case of proposals for changes to existing degrees, majors or minors,
1058 as well as proposals for new courses or substantial changes to existing
1059 courses that meet an allied requirement in another school or college,
- 1060 1) if none of the school/college curriculum committees raises objections,
1061 the Undergraduate Curriculum Committee receives the proposal as an
1062 informational item which it may choose to review. If the
1063 Undergraduate Curriculum Committee chooses not to review the
1064 proposal, the proposal is simply subject to university-wide consent. If

- 1065 the Undergraduate Curriculum Committee chooses to review the
1066 proposal and approves it, the Undergraduate Curriculum Committee's
1067 approval of the proposal is then subject to university-wide consent.
- 1068 2) if any of the school/college curriculum committees raises an objection,
1069 the Undergraduate Curriculum Committee reviews the proposal and
1070 the objection(s), consults with all interested units, and either approves
1071 the proposal or remands it to the originating department. The
1072 Undergraduate Curriculum Committee's approval of such course
1073 proposal is then subject to university- wide consent.
- 1074 c) In the case of proposals for new degrees or programs, majors or minors,
1075 the Undergraduate Curriculum Committee will consider the proposal
1076 along with any comments it receives from the school/college curriculum
1077 committees. The Undergraduate Curriculum Committee's approval of any
1078 proposal for new degrees or programs, majors or minors is subject to
1079 university-wide consent.
- 1080 iii. If the Undergraduate Curriculum Committee rejects any proposal, it will
1081 remand the proposal to the originating department with a written explanation
1082 of the reasons for that decision, and initiate conversations with that
1083 department. The department may then submit a revised proposal, which
1084 follows the above procedures. If the originating department and the
1085 Undergraduate Curriculum Committee are not able to come to a resolution,
1086 the originating department may take the proposal directly to the Faculty
1087 Senate.
- 1088 iv. University-wide consent means that notice of the proposal or the
1089 Undergraduate Curriculum Committee's approval of a proposal will be
1090 circulated by e-mail to all full-time faculty. If 10% of full-time faculty file a
1091 request for reconsideration within 10 class days of the publication of a
1092 proposal, that proposal will be subject to reconsideration by the Faculty
1093 Senate. Requests for reconsideration are submitted to the secretary of the
1094 Faculty Senate.
- 1095 v. To facilitate review of proposals pending before or decided by the
1096 Undergraduate Curriculum Committee, the Undergraduate Curriculum
1097 Committee will maintain a website on which all proposals relating to
1098 curricula, degrees and programs, majors and minors will be available, together
1099 with supporting documentation.
- 1100 vi. Any proposal for a new degree or program, major or minor that passes
1101 Undergraduate Curriculum Committee review and university-wide consent
1102 becomes a recommendation to the administration.
- 1103 e. Procedures for undergraduate core curriculum proposals:
- 1104 i. The Undergraduate Curriculum Committee will receive proposals from
1105 departments, programs and school/college curriculum committees relating to
1106 the undergraduate core curriculum. The Undergraduate Curriculum
1107 Committee may also receive proposals from an ad hoc committee charged
1108 with reviewing and suggesting revisions to the core curriculum.
- 1109 a) In the case of less substantive changes, for example, the proposal to have a
1110 specific course count or no longer count as meeting a core requirement, or

- 1111 changes to a specific course description, the Undergraduate Curriculum
1112 Committee will consider the proposal. If it is approved, it is subject to
1113 university-wide consent.
- 1114 b) In the case of more substantive changes to the undergraduate core
1115 curriculum requirements, for example, the elimination or addition of a
1116 core area requirement, the Undergraduate Curriculum Committee will
1117 consider the proposal. If the proposal is approved, it will be sent as a
1118 recommendation to the Faculty Senate for its consideration. In cases
1119 where there is a disagreement whether a particular change is more
1120 substantive or less substantive, the Undergraduate Curriculum Committee
1121 will render a final decision.
- 1122 c) If the Undergraduate Curriculum Committee does not approve a proposal,
1123 it will return the proposal with a written explanation of the reasons for the
1124 decision. A revised proposal may then be submitted if the originator of
1125 the proposal and the Undergraduate Curriculum Committee are not able to
1126 come to a resolution, the originating department/program may take the
1127 proposal directly to the Faculty Senate.
- 1128 f. Procedures for graduate curricular proposals:
- 1129 i. Course Proposals: In the case of proposals for new graduate courses,
1130 substantial changes to existing graduate courses, and designation of required
1131 courses in graduate programs, the originating department shall regularly
1132 submit an informational report on all such course proposals after final
1133 approval by the school/college. The informational report shall identify the
1134 name of the course, the course number, the CIP code (Classification of
1135 Instructional Programs), the number of credits, whether the course is required
1136 or elective, and provide a brief description of the course. This informational
1137 report shall be sent to all chairs of curriculum committees (who will keep
1138 academic deans and department chairs appropriately informed) and to the
1139 Graduate Curriculum Committee. Within thirty (30) class days after receipt of
1140 the informational report, the Graduate Curriculum Committee by a two-thirds
1141 vote may re-designate the proposal as a major graduate curricular proposal if
1142 it concludes that the proposal falls within the description in section f.ii.
1143 Without re-designation as a major graduate curricular proposal, the Graduate
1144 Curriculum Committee may offer advisory suggestions on a course proposal
1145 to the originating department.
- 1146
- 1147 ii. Major Graduate Curricular Proposals: In the case of proposals for (1) new
1148 graduate degrees or programs, (2) new credit-bearing certificate programs, (3)
1149 increases or decreases in the total credit hours required to complete a degree,
1150 (4) significant restructuring of a graduate program, and (5) changes that
1151 require cooperation or will significantly draw on resources from other
1152 schools/colleges, the Graduate Curriculum Committee will review proposals
1153 to consider whether they will have a significant impact on resources outside of
1154 the originating school/college, result in significant and inappropriate
1155 duplication of the education or responsibilities of another school/college,
1156 significantly undermine the quality of a University of St. Thomas degree, or

1157 be inconsistent with the university's mission. After completion of the
1158 appropriate curriculum process in the originating department's school or
1159 college and at the time of its submission to the Graduate Curriculum
1160 Committee, any major graduate curricular proposal will be accompanied by a
1161 letter from the appropriate academic dean or dean's designee, after
1162 consultation with the executive vice president and provost, commenting on the
1163 proposal's relevance to the mission of the university and availability of
1164 university resources to support the proposal. When the proposal is submitted
1165 to the Graduate Curriculum Committee, it shall also be sent to all academic
1166 deans, all department chairs, and all chairs of curriculum committees. Within
1167 thirty (3) class days after submission, and with full consideration of the
1168 distinctive nature of each graduate program, the Graduate Curriculum
1169 Committee shall vote to approve or reject a major graduate curricular
1170 proposal. If the Graduate Curriculum Committee rejects any major graduate
1171 curricular proposal, it will remand the proposal to the originating department
1172 with a written explanation of the reasons for that decision, and initiate
1173 conversations with that department. The department may then submit a
1174 revised proposal, which follows the curricular process in the school or college.
1175 If the originating department and the Graduate Curriculum Committee are not
1176 able to come to a resolution after remand, the originating department may take
1177 the proposal directly to the Faculty Senate. Any major curricular proposal that
1178 passes Graduate Curriculum Committee or Faculty Senate review becomes a
1179 recommendation to the administration.

1180
1181 iii. Other Graduate Curricular Matters: With the approval of the executive vice
1182 president and provost, the Graduate Curriculum Committee may establish
1183 default rules for graduate programs regarding, for example, classification of
1184 students, grades, academic probation and suspension, student course loads,
1185 grade reports, transfer of credit, residence requirements, requirements for
1186 honors, and academic calendar. An individual graduate program may adopt
1187 more specific rules on these matters.

1188
1189 8. Advisory Committees related to the core curriculum

- 1190 a. All Advisory Committees share a common purpose, to: (1) make
1191 recommendations to the Undergraduate Curriculum Committee for policy
1192 changes related to courses as needed; (2) work with the deans to ensure that a
1193 sufficient number of types of courses are offered each semester to make it
1194 possible for undergraduates to complete their core requirements within the
1195 typical four-year period; (3) support the preparation for and participation in
1196 accreditation reviews according to the schedule determined by the Office of the
1197 Vice Provost for Academic Affairs; and (4) in collaboration with the Office of
1198 Accreditation and Assessment, regularly assess relevant courses and use data for
1199 continuous improvement.
- 1200 b. Core Curriculum Assessment Committee (CCAC)
- 1201 i. Purpose: In addition to the overall purposes of the Advisory Committees,
1202 the Core Curriculum Assessment Committee will coordinate and oversee

- 1203 assessment of the core curriculum, which includes creating and maintaining
1204 an assessment schedule and ensuring best practices in assessment of the
1205 core curriculum. In accomplishing this, the Core Curriculum Assessment
1206 Committee will report to the Undergraduate Curriculum Committee on
1207 assessment issues, and collaborate with faculty members representing
1208 programs and departments that teach core courses, so that faculty are
1209 involved in assessments tied to the courses they teach.
- 1210 ii. Membership: The Core Curriculum Assessment Committee will consist of
1211 fourteen (14) members, two non-voting and twelve voting members. The
1212 non-voting members are a University Assessment Analyst, and the
1213 Associate Vice Provost for Accreditation, Assessment, and Curriculum;
1214 who will chair the Core Curriculum Assessment Committee. Voting
1215 members include eight (8) regular faculty members. Six (6) regular faculty
1216 members will be appointed by the Committee for Faculty Nominations and
1217 Elections according to the procedures found in Article IV.B.2.c.iii.a: one
1218 (1) faculty member from each College of Arts and Sciences division; one
1219 (1) faculty member representing the Opus College of Business; and one (1)
1220 faculty member drawn from a group comprising the three schools with
1221 baccalaureate curricula: the School of Education, the School of
1222 Engineering, and the College of Health. The other two (2) regular faculty
1223 members will be appointed by the chair of the Core Curriculum
1224 Assessment Committee on the basis of their expertise in student learning
1225 assessment. The chair of the Core Curriculum Assessment Committee will
1226 consult with the other faculty members on the committee before appointing
1227 the remaining two. Regular faculty members will serve staggered four-year
1228 terms. One (1) adjunct faculty representative will be appointed by the
1229 Adjunct Faculty Council, with a term of two years. The remaining three (3)
1230 members will be the Dean of the College of Arts and Sciences or the dean's
1231 designee; a Dean of another school or college or the dean's designee, who
1232 rotates every two years; the Associate Vice Provost for University Libraries
1233 or designee.
- 1234 c. Writing Across the Curriculum (WAC) Advisory Committee
- 1235 i. Purpose: In addition to the purpose of all Academic Advisory Committees,
1236 The Writing Across the Curriculum Advisory Committee will: (a) maintain
1237 the quality and integrity of the University of St. Thomas' Writing Across
1238 the Curriculum program in accordance with best practices such as those
1239 outlined by the Council of Writing Program Administrators (WPA) and the
1240 Association for Writing Across the Curriculum (AWAC); (b) Work with
1241 the Writing Across the Curriculum director to interpret and clarify the
1242 university's policies connected to all aspects of the Writing Across the
1243 Curriculum program, including faculty certification and the four-course
1244 graduate requirement for undergraduate students; (c) encourage and
1245 support faculty as they complete research on Writing Across the
1246 Curriculum pedagogy leading to academic presentations and publications;
1247 (d) provide resources and support to the Writing Across the Curriculum-
1248 certified faculty and others who want to use Writing Across the Curriculum

- 1249 pedagogies to enhance their teaching and improve student learning, e.g.
1250 topic-specific or discipline-specific workshops, speakers, web resources,
1251 and individual consultation; and (e) assist with the evaluation of transfer
1252 course petitions that might be proposed to fulfill the University of St.
1253 Thomas Writing Across the Curriculum requirements.
- 1254 ii. Membership: The committee will consist of twelve (12) members,
1255 including one (1) representative from each College of Arts and Sciences
1256 division; one (1) each from the School of Engineering, Opus College of
1257 Business, College of Health, School of Education, and Dougherty Family
1258 College; one (1) adjunct representative appointed by the Adjunct Faculty
1259 Council, the Director of the Center for Writing (*ex officio*), and the Writing
1260 Across the Curriculum Director (*ex officio*, non-voting). Regular faculty
1261 members will serve staggered four-year terms, and will be appointed by the
1262 Committee for Faculty Nominations and Elections according to the
1263 procedures found in Article IV.B.2.c.iii. The adjunct faculty representative
1264 will be appointed by the Adjunct Faculty Council, serving a two-year term.
1265 Committee members will elect one of their regular faculty members or one
1266 of their *ex officio* members to serve as representative to the Undergraduate
1267 Curriculum Committee.
- 1268 d. Diversity, Inclusion, and Social Justice (DISJ) Advisory Committee
- 1269 i. Purpose: In addition to the overall purposes of Academic Advisory
1270 Committees, this committee will ensure that ensure that all Diversity,
1271 Inclusion, and Social Justice courses conform to the course features for this
1272 requirement as described in the 2018 Senate Undergraduate Curriculum
1273 Plan, and assist with the evaluation of transfer course petitions that might
1274 be proposed to fulfill Diversity, Inclusion, and Social Justice requirements.
- 1275 ii. Membership: The committee will consist of eight members, including one
1276 regular faculty member from each College of Arts and Sciences division,
1277 and two regular faculty members from outside the College of Arts and
1278 Sciences. Regular faculty members will serve staggered four-year terms,
1279 and will be will be appointed by the Committee for Faculty Nominations
1280 and Elections according to the procedures found in Article IV.B.2.c.iii. One
1281 adjunct faculty representative will be appointed by the Adjunct Faculty
1282 Council, serving a two-year term. Committee members will elect one or
1283 two of their regular faculty members to serve as chair and as representative
1284 to the Undergraduate Curriculum Committee – these roles may both be
1285 filled by one committee member, or may be filled by two different
1286 members. The Associate Vice Provost for Inclusive Excellence or designee
1287 will be an *ex officio* voting member of the committee.
- 1288 e. Global Perspectives (GP) Advisory Committee
- 1289 i. Purpose: In addition to the overall purposes of Academic Advisory
1290 Committees, this committee will ensure that all Global Perspectives
1291 courses conform to the course features for this requirement as described in
1292 the 2018 Senate Undergraduate Curriculum Plan, and assist with the
1293 evaluation of transfer course petitions that might be proposed to fulfill
1294 Global Perspectives requirements.

1295 ii. Membership: The committee will consist of eight members, including one
1296 regular faculty member from each College of Arts and Sciences division,
1297 and two regular faculty members from outside the College of Arts and
1298 Sciences. Regular faculty members will serve staggered four-year terms,
1299 and will be will be appointed by the Committee for Faculty Nominations
1300 and Elections according to the procedures found in Article IV.B.2.c.iii. One
1301 adjunct faculty representative will be appointed by the Adjunct Faculty
1302 Council, serving a two-year term. The Chair of ARCIE or designee will be
1303 an *ex officio* voting member of the committee. Committee members will
1304 elect one or two of their regular faculty members to serve as chair and as
1305 representative to the Undergraduate Curriculum Committee – these roles
1306 may both be filled by one committee member, or may be filled by two
1307 different members.

1308 f. Information and Research Literacy (IRL) Advisory Committee

1309 i. Purpose: In addition to the purpose of all Academic Advisory Committees,
1310 the Information and Research Literacy Committee will collaborate with
1311 university libraries and faculty to support the development of information
1312 literacy and ensure it is integrated into every undergraduate program that
1313 offers a major.

1314 ii. Membership: The committee will consist of eight members, including one
1315 regular faculty member from each College of Arts and Sciences division,
1316 and two regular faculty members from outside the College of Arts and
1317 Sciences. Regular faculty members will serve staggered four-year terms,
1318 and will be will be appointed by the Committee for Faculty Nominations
1319 and Elections according to the procedures found in Article IV.B.2.c.iii. One
1320 adjunct faculty representative will be appointed by the Adjunct Faculty
1321 Council, serving a two-year term. The Associate Vice Provost for Libraries
1322 or designee will be an *ex officio* voting member of the committee.
1323 Committee members will elect one or two of their regular faculty members
1324 to serve as chair and as representative to the Undergraduate Curriculum
1325 Committee – these roles may both be filled by one committee member, or
1326 may be filled by two different members.

1327
1328 9. Curriculum Committees

1329 a. Purpose: each school and college will establish a curriculum committee to
1330 review curricular proposals initiated by individual departments within the
1331 college/school. In the case of a department or program that has been eliminated,
1332 the dean may introduce proposals regarding the elimination of that department's
1333 or program's courses and curriculum. Curriculum committees will be a major
1334 locus for deliberation and consultation between faculty and their deans.

1335 b. Membership: determined by each school/college

1336 c. Procedures:

1337 i. Any curricular proposal (new courses or substantive changes to existing
1338 courses, changes to existing degrees, majors or minors, or new degrees,
1339 majors or minors) is subject to consent within the school or college where
1340 the proposal originated. A proposal fails consent if at least 10% of full-time
1341 faculty within the school or college file a request for reconsideration within

1342 10 class days of the publication of the proposal. Requests for
1343 reconsideration are submitted to the chair of the curriculum committee.
1344 When the full-time faculty as a whole within the school or college has had
1345 an opportunity to vote directly on a curricular proposal, either through a
1346 meeting of a curriculum committee on which all full-time faculty are
1347 members or a faculty meeting open to all full-time faculty within the
1348 school or college, then the school or college may elect either to treat the
1349 faculty vote as approval by the school or college of the curricular proposal
1350 (and thus dispense with consent procedures) or follow the consent
1351 procedures set forth in IV.B. 7.c.i.
1352

- 1353 ii. If the proposal passes consent, the school/college curriculum committee
1354 informs all school and college curriculum committees of the proposal.
1355 Simultaneously, the dean of the originating school or college attaches a
1356 letter of transmittal, certifying that the school/college approval process has
1357 been followed, indicating the date on which the proposal was distributed to
1358 the other school/college curriculum committees, and indicating the dean's
1359 approval or non-approval with explanatory comments as appropriate. In the
1360 case of proposals for new degrees, majors, or minors, the proposal is then
1361 forwarded to the executive vice president and provost to comment upon the
1362 proposal's relevance to the mission of the university and availability of
1363 university resources to support the proposal. The proposal is then sent to the
1364 EPPC for informational purposes or review, as outlined in the EPPC procedures.
1365
- 1366 iii. Curriculum committees will review all proposals received from other
1367 curriculum committees for potential duplication of effort or overlap. They
1368 will also make all such proposals available to full-time faculty in their
1369 school/college. Any objections must be registered with the EPPC within
1370 twenty (20) class days.
1371

1372 10. Committee on Undergraduate Studies

- 1373 a. Purpose: to interpret academic policies in cases that are presented by individual
1374 students from the undergraduate colleges or schools, and to grant waivers when
1375 appropriate, to readmit students who have been dismissed for academic reasons,
1376 and to approve individualized majors/minors.
- 1377 b. Membership: five full-time faculty members, as follows: three representing the
1378 College of Arts and Sciences, one representing the College of Business, and one
1379 representing the group of schools/colleges comprised of Education, Health, and
1380 Engineering; one eligible adjunct faculty member, if appointed by the Adjunct
1381 Faculty Council; the executive vice president and provost or the designee of the
1382 executive vice president and provost; and one member from the Academic
1383 Counseling Office.
1384

1385 11. Academic Review Committee for International Education (ARCIE)

- 1386 a. Purpose:
- 1387 i. to review and decide upon approval for all St. Thomas-administered and St.
1388 Thomas faculty-directed international courses and programs, as well as

1389 other courses and programs administered by International Education,
1390 except those approved by the EPPC. (ARCIE will not review the academic
1391 content of any programs or courses that are approved by the EPPC
1392 processes for undergraduate in sections 7.d and 7.e or graduate curricular
1393 proposals in section 7.f). However, it will review, even for such programs
1394 and courses, the rationale for teaching the program or course at the site
1395 proposed, and will consider as well whether International Education can
1396 support the requisite geographical and disciplinary distribution [for
1397 example, to avoid teaching too many courses in one location or one
1398 disciplinary area in one semester]). Specifically excluded are institutional
1399 agreements and student exchanges, cohort programs housed off campus,
1400 and distance learning courses. The committee will work in collaboration
1401 with the staff of the International Education Center, the sponsoring
1402 academic department or graduate program, and the appropriate curriculum
1403 committee.
1404 ii. to periodically review and approve continued offerings of a course to
1405 design proposal forms, and revise them as appropriate
1406
1407 b. Membership: as in IV.A.7. above, plus one eligible adjunct faculty member, if
1408 appointed by the Adjunct Faculty Council. The director of International Programs,
1409 or designated representative, shall serve as an ex-officio, non-voting member.
1410

1411 **V. Committees of the University**

1412 **A. General Principles and Operating Procedures**

- 1413 1. All committees have as their ultimate purpose contributing to the common good as
1414 articulated in the university's mission statement. To this end, all committees will
1415 strive to actualize the principles of mutual respect, mutual trust, transparency,
1416 accountability, and communication. Committee members will be drawn from various
1417 schools and colleges, administrative offices, and units in order to ensure that a variety
1418 of perspectives and experiences are brought to all committee discussions and
1419 deliberations. Committee members are not representing specific interests, but
1420 ensuring that university-wide decisions reflect the best interests of the university as a
1421 whole.
1422
1423
- 1424 2. All committees charged with areas identified in I. B. as "Areas Meriting Significant
1425 Faculty Consultation" are considered Committees of the University. This includes but
1426 is not limited to standing committees, advisory committees, ad hoc committees,
1427 working groups and task forces that include faculty representatives. Standing
1428 Committees of the University have the purpose(s) set forth in Section V.B. below.
1429 Other Committees of the University are charged with the responsibilities determined
1430 at the time of establishment, by the person or body establishing the committee.
1431
1432
- 1433 3. Except where otherwise stipulated in this plan, full-time faculty representatives to
1434 Committees of the University are selected in accordance with the procedures outlined

1435 for the Committee on Faculty Nominations and Elections (IV.B.2.c.ii. and iii. above).
1436 As appropriate, the CFNE will solicit nominations from full-time faculty and
1437 administrators, and will recommend individuals based both on the need to provide
1438 wide representation of the full-time faculty and on the particular needs of each
1439 committee.

1440
1441 4. All Committees of the University (V. B and C below) will submit at least two reports
1442 to the secretary of the Faculty Senate each year. The first report is due no later than
1443 December 31; the second report is due no later than May 31. Both reports will include
1444 information about committee membership, meeting frequency, the semester's
1445 activities, policy issues under discussion and actions taken (with due consideration of
1446 confidentiality and privacy requirements, where appropriate) and anticipated up-
1447 coming major issues. The second report will also function as a self-evaluative annual
1448 report, identifying aspects of the committee work that are going well and areas of
1449 responsibility that might call for adjustment. A full-time faculty member of each
1450 committee will be designated by the Committee on Faculty Nominations and
1451 Elections as responsible for submitting these reports. The designated faculty member
1452 will provide the committee chair the opportunity to review and recommend changes
1453 to these reports prior to their submission and publication.

1454
1455 5. Except where otherwise stipulated, faculty representatives to standing Committees of
1456 the University will serve staggered four-year terms. Where eligible adjunct faculty
1457 members (as defined by the Adjunct Faculty Council By-laws) are permitted to serve
1458 on standing Committees of the University, their terms shall be two years. Except
1459 where otherwise indicated, adjunct faculty members shall not be charged with writing
1460 the bi-annual reports on the work of a standing Committee of the University.

1461
1462 6. A faculty member (including an adjunct faculty member) may serve on only one
1463 standing committee at a time, whether a standing Committee of the Faculty or a
1464 standing Committee of the University, except as follows:

1465
1466 a. Faculty who serve on a standing Committee of the Faculty or a standing
1467 Committee of the University may also serve on Curriculum Committees described
1468 in section IV.B.9, and standing committees of schools, colleges, or departments;
1469 and

1470 b. The Chair of the Faculty Affairs Committee also shall serve *ex officio* on the
1471 Executive Committee of the Faculty Senate; and

1472 c. Members of the Executive Committee of the Faculty Senate also may serve *ex*
1473 *officio* on other standing Committees of the Faculty or standing Committees of the
1474 University; and

1475 d. Faculty who serve a regular term (i.e., not as a substitute or replacement) on a
1476 standing Committee of the Faculty or a standing Committee of the University may
1477 also serve concurrently as substitutes or replacements for up to one year on, at
1478 most, one additional standing Committee of the Faculty or standing Committee of
1479 the University (as described in section IV.B.2.c.iii).

1480

1481 7. There may at times be situations in which a faculty member or faculty chair (hereafter
1482 simply “member”) is severely underperforming the role on the committee. In such
1483 rare cases there should be a process in place for removing the member. Grounds for
1484 removal may include but will not be limited to failure to attend meetings on a regular
1485 basis, failure to do the work of the committee, and other similar issues. In the first
1486 instance, of course, the committee should try to resolve the situation amicably
1487 internally—ideally by encouraging appropriate performance by the member, and
1488 failing that, by encouraging resignation by the member if unable to perform the role.
1489 If the committee cannot resolve the matter internally, the following procedures should
1490 apply: either the chair of the committee or a 2/3 majority of faculty members on the
1491 committee (not including the affected member) may recommend to CFNE that a
1492 member should be removed. This recommendation should be accompanied by an
1493 explanation of the circumstances giving rise to the recommendation. If such
1494 recommendation is made, CFNE shall notify the affected member. If the member
1495 desires to remain on the committee, then the member should provide CFNE with an
1496 argument against being removed from the committee. Removal of a committee
1497 member requires a 2/3 majority vote of the CFNE, at a properly called meeting.
1498

1499 **B. Standing Committees of the University**
1500

1501 **1. Enrollment and Financial Aid Committee**

- 1502 a. Purpose:
 - 1503 i. to meet near the beginning of each spring semester as needed to review
 - 1504 undergraduate recruitment and financial aid challenges in the current
 - 1505 academic/budget year, with a view to balancing considerations of all the
 - 1506 strategic goals established for enrollment services by the Board of Trustees
 - 1507 and senior university leadership, and to identify and suggest potential courses
 - 1508 of action to address such challenges for future cycles.
 - 1509 ii. The committee may also meet at other times of the year as needed to provide
 - 1510 input and make recommendations to process changes.
 - 1511 iii. In addition to the current cycle, the committee will review long term
 - 1512 projections and plans and progress toward their achievement.
 - 1513 iv. Results of the deliberation and attendant recommendations regarding strategic
 - 1514 plans may be conveyed to the president of the university for consideration,
 - 1515 and, if approved, will be incorporated into future plans and models.
 - 1516 v. The primary focus of the committee will be on admissions and financial aid
 - 1517 matters related to matriculation of new undergraduate students to St. Thomas.
- 1518 b. Membership: (14-17): vice president for enrollment management (Chair),
- 1519 executive vice president and provost (or designee), chief financial officer (or
- 1520 designee), vice president for student affairs (or designee), vice president for
- 1521 mission (or designee), director of admissions, director of financial aid, two
- 1522 Deans as selected by the Dean’s Council, four full-time faculty members, one
- 1523 eligible adjunct faculty member (if appointed by the Adjunct Faculty Council),
- 1524 and two or three additional staff appointed by Chair, as needed.
- 1525

1526 **2. Grievance and Discipline Committee**

- 1527 a. In the case of grievances, the purpose is: to ensure the academic and non- academic

1528 rights of students and faculty members by hearing any case in which a student
1529 thinks one of the rights listed in the Statement of Student Rights and
1530 Responsibilities has been denied, unless a more specific grievance, appeal or
1531 review procedure has been established for a matter. The committee will consider
1532 only whether the challenged action or decision by a member of the faculty,
1533 administration, student body or any agency of these groups was unfair (arbitrary)
1534 or capricious.

1535 b. In the matters of discipline, the purpose is:

1536 i. *Academic Misconduct*: to serve as the board of appeal for all decisions, made
1537 at the level of a dean or equivalent, regarding student academic misconduct
1538 except where students are subject to a special code of conduct, for example,
1539 an honor code or special code of student responsibility in a professional or
1540 other program.

1541 ii. *Non-Academic Misconduct*: to serve as the board of appeal for decisions
1542 involving the *Student Code of Conduct* that result in the student's removal
1543 from the residence halls, cancellation of a residence agreement, and/or
1544 suspension or expulsion from the University, except where students are
1545 subject to a special code of conduct that sets forth a different appeal
1546 procedure, for example, an honor code or special code of student
1547 responsibility in a professional or other program.

1548 c. Membership: five full-time faculty members, one eligible adjunct faculty member,
1549 if appointed by the Adjunct Faculty Council; three administrators; and four
1550 students. The committee will elect a chair annually from among the committee's
1551 full-time faculty members.

1552 d. Procedure for student grievances: In the case of student-initiated grievances, each
1553 panel selected to hear an individual case will consist of one student member, one
1554 administrative member, one faculty member and the chair, who is non-voting, who
1555 will preside at meetings and who will see that the parties involved are given a fair
1556 and impartial hearing. The chair may take part in the questioning and discussion.
1557 Once a panel has been selected, all voting members plus the chair must be present
1558 in person to hear the case. The grievance hearing procedures are outlined in the
1559 *Student Bill of Rights Grievance Process*. Decisions of the committee related to a
1560 student grievance may be appealed to the executive vice president and provost.

1561 e. Procedures for disciplinary appeals:

1562 i. The chair will select, from among the members of the committee, a special
1563 five-member hearing panel for each disciplinary case. Each such special
1564 hearing panel will consist of two faculty members, one administrator and two
1565 students.

1566 ii. The policies and procedures to be followed by this committee are as specified
1567 in the *Student Code of Conduct*.

1568 After the hearing, the panel will issue a written recommendation and the reasons
1569 underlying that recommendation to the executive vice president and provost (in
1570 case of academic misconduct), or to the vice president for student affairs (for non-
1571 academic misconduct cases).

1572 3. Student Life Committee

1573 a. Purpose: to serve as a forum where students, faculty, staff, and administrators
1574

1575 share ideas, concerns, and viewpoints related to student life at the university.
1576 The Student Life Committee actively seeks to improve the quality of student life
1577 in nonacademic areas at the university in these ways:

- 1578 i. by recommending modifications in the Statement of Student Rights and
1579 Responsibilities and bringing forward these recommendations for approval by
1580 the student, faculty, and administrative bodies. Proposals for such
1581 modifications may also be initiated by the appropriate student, faculty, and
1582 administrative bodies. Proposals will go into effect upon approval by the three
1583 bodies specified. The undergraduate student government, faculty, and
1584 administration will each set up its respective body and methods for approval.
1585 When one of the bodies suggests modifications of a proposal, the Student Life
1586 Committee will act as a conference committee to put forth suggestions and
1587 recommendations.
- 1588 ii. By recommending rules and policies on areas such as, but not limited to,
1589 student conduct, clubs and organizations, and other on and off campus
1590 functions sponsored by a university organization. Proposals in this category
1591 go into effect upon approval by the vice president for student affairs.
- 1592 iii. By reviewing and providing feedback on matters impacting the student life
1593 experience. Proposals in this category go into effect upon approval by the vice
1594 president for student affairs.
- 1595 iv. None of the above limits the authority of the vice president for student affairs
1596 to establish policies and rules within the purview of Student Affairs.
- 1597 b. Membership: five students (one of whom must be a graduate student), four full-
1598 time faculty members, one adjunct faculty member if appointed by the Adjunct
1599 Faculty Council, a staff representative from the Dougherty Family College, three
1600 administrators, plus the dean of students as a non-voting member. The committee
1601 will elect its own chair annually. The committee will be empowered to elect a
1602 student co-chair, if it so wishes. Up to two of the faculty members of this
1603 committee, designated by the CFNE, will also attend meetings of the Student
1604 Affairs Committee of the Board of Trustees, each with a term of two years. The
1605 vice president for student affairs and director of campus life will serve as non-
1606 voting ex officio members.

1607 1608 **4. Committee on Diversity and Inclusion**

- 1609 a. Purpose:
 - 1610 i. To address issues of diversity and inclusion, particularly matters of access and
1611 equity, in the recruitment, retention and advancement of faculty, staff and
1612 students.
 - 1613 ii. To promote opportunities for ongoing public discussion related to diversity
1614 and inclusion.
 - 1615 iii. To recommend programs for diversity and inclusion training and education.
 - 1616 iv. To monitor hiring practices and outcomes in accordance with Affirmative
1617 Action goals.
 - 1618 v. To encourage regular assessment of the university climate for diversity and
1619 inclusion.
 - 1620 vi. To support the strategic goals of the University in collaboration with other

- 1621 offices with respect to diversity and inclusion in recruiting, hiring, admitting
 1622 and retaining faculty, staff and students.
- 1623 vii. To recommend policies and procedures as they relate to St. Thomas' mission
 1624 for diversity planning, evaluation and accountability.
 - 1625 viii. To partner with various university departments and offices to provide a
 1626 respectful and welcoming atmosphere for students, faculty, staff, alumni and
 1627 guests.
 - 1628 ix. To support efforts of outreach, curriculum, research, scholarship and creative
 1629 activity that aim to improve understanding of diverse cultures.
 - 1630 x. To expand understanding of the meaning of diversity and inclusion, including
 1631 but not limited to race, gender, age, sexual orientation, socioeconomic
 1632 background, marital status, religion, creed, national origin, family structure,
 1633 disability, language and culture.
 - 1634 xi. To engage the community in respecting human dignity and embracing
 1635 diversity integral to the mission and vision of the University.
 - 1636 xii. To advise and support the chief diversity officer.
- 1637
- 1638 b. Membership: three full-time faculty members; one eligible adjunct faculty
 1639 member, if appointed by the Adjunct Faculty Council; one dean (selected by the
 1640 Deans' Council); one non-exempt staff member (elected by the Staff Council);
 1641 one administrative staff member (appointed by the chief administrative officer);
 1642 the associate vice-president for human resources; one Human Resources partner
 1643 (appointed by the associate vice-president for human resources); one
 1644 representative elected by the University Committee on Women (selected by that
 1645 committee); the Director of the Luann Dummer Center for Women; the
 1646 executive director of Institutional Diversity; and the affirmative action officer,
 1647 who chairs the committee. In addition to attending committee meetings and
 1648 participating in the activities listed in the "purpose" section above, committee
 1649 members must be willing to become familiar with affirmative action/equal
 1650 opportunity employment philosophy, practices and laws; to serve as an advocate
 1651 for individuals or groups on sensitive issues of diversity and discrimination; and
 1652 to maintain confidentiality in regard to committee deliberations and other
 1653 sensitive information received in one's role as a committee member.

1654 **5. Fringe Benefits Advisory Committee**

- 1656 a. Purpose:
 - 1657 i. to advise the administration on the fringe benefits programs of the university
 - 1658 ii. to review and monitor the fringe benefits programs of the university and of
 1659 similar academic institutions as well as of the general market. These benefits
 1660 include both purchased services, such as health insurance and retirement, as
 1661 well as various leave time programs, such as paid leave time and vacation.
- 1662 b. Membership: four full-time faculty members; one eligible adjunct faculty
 1663 member, if appointed by the Adjunct Faculty Council; two staff representatives
 1664 appointed by the Staff Council; the vice-president for business affairs; three
 1665 administrative appointments made by the executive vice president and provost;
 1666 the associate vice-president for human resources, who chairs the committee, and

1667 two non-voting staff appointed by the chair.
1668
1669 c. Procedures: The opinion of the FBAC will be solicited by the Department of
1670 Human Resources prior to that department recommending to the administration
1671 changes in fringe benefits of the university. The FBAC is expected to
1672 communicate with its constituencies and to consider the reaction of those
1673 constituencies. The committee members may suggest agenda items. Based upon
1674 review of all of these matters, the FBAC may recommend to the administration
1675 changes in the fringe benefits of the university.

1676 6. Budget Advisory Committee

1677 a. Purpose:

- 1678 i. The Budget Advisory Committee is responsible for reviewing the major
1679 components of the institution's annual operating budget. The Budget Advisory
1680 Committee has the opportunity to recommend parameters and guidelines for
1681 these major components (1) to the Executive Budget Committee (EBC),
1682 which consists of the president, executive vice president and provost, and the
1683 chief financial officer and vice president for business affairs, and (2) through
1684 the Executive Budget Committee to the Board of Trustees.
- 1685 ii. The Budget Advisory Committee will evaluate and recommend operating
1686 budget scenarios. The committee reviews strategic and capital budget issues
1687 of the institution and makes recommendations regarding the operating budget
1688 within the framework of these strategic issues. The committee will provide
1689 feedback on an annual basis about the budget model, the budget process and
1690 suggested revisions.

1691 b. Membership: The Budget Advisory Committee is representative of the St. 1692 Thomas community and includes faculty, students, staff and administration, for a 1693 total voting membership of sixteen as follows:

- 1694 • four full-time faculty members;
- 1695 • one eligible adjunct faculty member, if appointed by the Adjunct Faculty
1696 Council;
- 1697 • one undergraduate student appointed by the undergraduate student
1698 government;
- 1699 • deans or their designates from the College of Arts and Science, the Opus
1700 College of Business, and the School of Engineering, with a fourth dean
1701 from the School of Education, the School of Law, the School of Social
1702 Work, or the School of Divinity on a rotating basis;
- 1703 • the vice president of student affairs;
- 1704 • the vice president of information technology services;
- 1705 • the associate vice president for facilities;
- 1706 • the associate vice president of auxiliary services;
- 1707 • the associate vice president of human resources; and
- 1708 • the associate vice president for financial planning and budgeting.
- 1709 • Ex officio and non-voting member: controller and director, financial
1710 planning and budget

1711 c. Chair: The Budget Advisory Committee will be chaired by the associate vice 1712 president for financial planning and budgeting.

1713 d. Up to two faculty members of this committee, designated by the CFNE, will also
1714 attend meetings of the Finance/Audit Committee of the Board of Trustees, each
1715 with a term of two years.
1716

1717 **7. University Technology Advisory Committee**

1718 a. Purpose: to guide the selection and implementation of technologies and to serve as
1719 a clearing house for technology issues, such as software acquisition and
1720 distribution, classroom technology, and mobile computing.

1721 b. Membership: Membership is representative of the University of St. Thomas
1722 community and includes faculty, students, staff and administrators, for a total
1723 membership of twenty-eight as follows:

- 1724 • ten full-time faculty members
 - 1725 • one adjunct faculty representative
 - 1726 • three deans or their designees from the College of Arts and Science, the Opus
1727 College of Business, and the School of Engineering with the fourth dean from
1728 one of the other schools on a rotating basis
 - 1729 • two student designees
 - 1730 • ten staff representing the following areas
 - 1731 ○ enrollment/registrar
 - 1732 ○ student affairs
 - 1733 ○ library services
 - 1734 ○ university development and alumni relations
 - 1735 ○ institutional effectiveness
 - 1736 ○ facilities/auxiliary services
 - 1737 ○ public safety
 - 1738 ○ human resources
 - 1739 ○ business affairs
 - 1740 ○ marketing and communication
 - 1741 • one designee representing the non-exempt staff council
- 1742

1743 **8. Library Advisory Committee**

1744 a. Purpose: Though the primary mechanism for library/faculty consultation and
1745 communication is through library liaisons to academic units, this committee
1746 complements this mechanism and functions

1747 i. to serve as liaison and advocate for the library with various campus
1748 constituencies, and to communicate with the library from the perspective of
1749 those constituencies

1750 ii. to advise and consult in the development of major policy regarding library
1751 services

1752 iii. to advise library leadership and staff on allocation of budget

1753 iv. to review and comment on library plans, goals and priorities.

1754 b. Membership: six full-time faculty members, three of whom should have
1755 significant teaching responsibilities with undergraduate courses and three of
1756 whom should have significant teaching responsibilities with graduate courses;
1757 one eligible adjunct faculty member, if appointed by the Adjunct Faculty
1758 Council; two students; and staff representatives from appropriate Information

1759 Resources and Technologies divisions.

1760

1761

9. Institutional Review Board (IRB)

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a. Purpose: In accordance with the University's Federalwide Assurance, to review proposed research involving human participants to safeguard the rights, safety, and welfare of people involved in research activities conducted at or sponsored by the University of St. Thomas.

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b. Membership: Ten full-time faculty members, two unaffiliated members from the community, and the Director of the Institutional Review Board (*ex officio*) who also serves as the committee chair. To ensure compliance with federal regulations, faculty nominations will be solicited from disciplines commonly reviewed by the board and will be appointed to the committee by the Institutional Official in consultation with the members of the IRB. Faculty are appointed to a four-year term and may serve for a maximum of eight consecutive years.

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10. University Learning Assessment Committee

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a. Purpose: to support a university-wide learning assessment structure that encourages appropriate processes for all programs with stated learning objectives. More specifically, the responsibilities of the University Learning Assessment Committee are:

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i. to facilitate the implementation of the University Learning Assessment Plan, and periodically evaluate and revise this plan

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ii. to identify opportunities to connect faculty, staff and groups who are actively involved in learning assessment in order to collaborate across programs, maximize current resources, and identify opportunities to strengthen the continuous improvement learning assessment model

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iii. to advise the Office of Accreditation and Assessment on learning assessment related issues such as accreditation, program review, annual reporting, and learning assessment budgeting

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b. Membership: a designated assessment coordinator (faculty or administrator) from each school or college; two additional full-time faculty members appointed in accordance with V.A.3; one adjunct faculty member appointed by the Adjunct Faculty Council; the university learning assessment analyst; the vice provost for academic affairs or designee; the vice president for student affairs or designee, the director or the University of St. Thomas libraries or designee, and the director of accreditation and assessment. The committee is chaired by the director of accreditation and assessment.

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11. University Policy Advisory Committee (UPAC)

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a. Purpose:

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i. to help ensure a streamlined and coordinated institutional approach to policymaking and policy maintenance by implementing the policy management and approval process established by the president; and

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ii. to provide advice to the president regarding compliance with the process for the establishment, revision, and withdrawal of policies that are subject to the president's approval.

1802

1803

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- 1805 b. Membership: The general counsel (who serves as chair of the committee); the
1806 chair of the Faculty Affairs Committee; one additional full-time faculty member;
1807 the vice provost for academic affairs; the diversity and inclusion officer, the
1808 chief human resources officer or designee; and the vice president for student
1809 affairs or designee.
1810

12. University Committee on Global Strategy

- 1811 a. Purpose:
1812 i. to develop, implement, and guide our university's overall global strategy
1813 ii. to advise the President and Provost on institutional decision-making that relates
1814 to international endeavors; and to advise the Senior International Officer
1815 iii. to establish criteria and processes for vetting new institutional partnerships and
1816 agreements with international entities; and to approve, in consultation with the
1817 Provost, new international partnerships and agreements
1818 iv. to regularly review existing international partnerships and agreements to ensure
1819 that they remain aligned with our institutional mission and priorities
1820 v. to establish and maintain regional working groups (e.g., Africa, Asia, Latin
1821 America); and to coordinate both curricular and co-curricular initiatives
1822 associated with these regional working groups
1823 vi. to establish and promote international professional development opportunities for
1824 staff and administrators
1825 b. Membership: chaired by the university's Senior International Officer; three full-
1826 time faculty members; one eligible adjunct faculty member, if appointed by the
1827 Adjunct Faculty Council; one academic dean selected by the Deans' Council; one
1828 staff member from each of the following five offices: the Office of International
1829 Students and Scholars, the Office of Study Abroad, Student Diversity and
1830 Inclusion Services, the Office for Mission, and University Development and
1831 Alumni Relations.
1832

13. Committee on Mission

- 1833 a. Purpose: to promote the mission and Catholic identity of the university in order to
1834 better integrate it into the university and be intentional about its implementation.
1835 i. to engage the university community in a discussion of the charism of the
1836 university and how we live it.
1837 ii. to promote the integration of Catholic Intellectual Tradition and Catholic Social
1838 Teaching into the life of the university, with explicit and sustained attention to
1839 issues of diversity, inclusion, and belonging.
1840 iii. to promote the development of leadership and service consistent with our faith
1841 tradition.
1842 iv. to promote and sustain a Catholic culture at the university.
1843 v. to review the university's strategic priorities for the appropriate inclusion and
1844 progress of mission-related goals.
1845 vi. to monitor data-based evidence for gaps and trends in the achievement of mission-
1846 related goals, and make appropriate recommendations.
1847 vii. to evaluate the presence of inter-religious dialogue and the climate for non-
1848 Catholics, and make appropriate recommendations.
1849
1850

- 1851 viii. to discuss what it means to act in communion with the church.
1852 b. Membership: one representative of the President’s Office; one dean; one associate
1853 dean; two representatives from Student Affairs; two representatives from
1854 Academic Affairs; two representatives from administrative offices; one
1855 representative from Admissions; executive director of the Center for the Common
1856 Good; four full-time faculty; and one adjunct faculty if appointed by the Adjunct
1857 Faculty Council. The committee is chaired by the vice president for mission.
1858

1859 **14. Intercollegiate Athletics Advisory Committee (IAAC)**

- 1860 a. Purpose
- 1861 i. to protect the academic integrity of the University, ensure the primacy of the
1862 educational experience in athletic programs, bolster the student athlete’s academic
1863 experience, and ensure that all parties are treated fairly in the process. This will be
1864 accomplished in the following ways:
 - 1865 ii. The IAAC will formulate and recommend policy regarding all academic aspects of
1866 athletic programs at the University, including, but not limited to, policies to assure
1867 athletes can participate fully in their education and career development. Examples
1868 include missed class policy, finals week competition, priority registration,
1869 reviewing contests and travel schedules, coordinate academic schedules three years
1870 or more in advance, etc.
 - 1871 iii. The Athletic Department will provide sufficient oversight to assure admissions
1872 staff, administrators, faculty, and students are protected from inappropriate
1873 pressures associated with athletic performance, reporting any potential violation to
1874 the IAAC.
 - 1875 iv. The committee will monitor the educational experiences of student-athletes and the
1876 impact of athletics on all academic programs at the University.
 - 1877 v. The IAAC will assure there is regular and open sharing of information with the
1878 university community about the University’s athletic programs, including
1879 information about new and existing policies, academic performance of student
1880 athletes and student athlete academic support services.
 - 1881 vi. The committee shall make recommendations to the Athletic Director on matters
1882 pertaining to the academic integrity of intercollegiate athletics; the academic and
1883 personal well-being of student-athletes; and the accountability of the athletics
1884 program to the values and mission of the University of St. Thomas.
 - 1885 vii. The committee will convene an appeals panel to review student athlete academic
1886 and scholarship concerns that cannot be resolved via other means to ensure all
1887 parties are treated fairly.
1888 .
- 1889 b. Membership
- 1890 i. Voting members: Athletic Director, Senior Associate Athletic Director (Senior
1891 Women Administrator, SWA), Senior Associate Athletic Director, Student-
1892 Athlete Welfare & Development (all concurrent with position); Faculty Athletic
1893 Representative (appointed by the President), Coach Representative (elected by
1894 coaches to a two year term, Faculty (six; two from CAS and one each from OCB,
1895 Engineering/Education, MFCOH/SSW, one adjunct faculty member from any
1896 School, with the FAR occupying at least one of the slots for the faculty from their

- 1897 School, serving staggered three-year terms, and selected in accordance with the
 1898 procedures outlined for the CFNE in the Faculty Handbook, IV.B.2.c.ii and iii);
 1899 Students (three, of which two must be student-athletes, one athlete from women’s
 1900 sports and one athlete from men’s sports, with the Athletic Director determining
 1901 the procedure for electing or appointing the two student-athletes, and the Student
 1902 Body President appointing the other student representative.)
- 1903 ii. Non-voting members: Dean of Students (or designate), Associate Vice Provost for
 1904 Student Achievement, Athletic Compliance Officer, Director of Academic
 1905 Support Services for Athletics (all concurrent with position)
- 1906
- 1907 c. Chair: The IAAC will be chaired by the Faculty Athletic Representative (FAR)
- 1908 i. The FAR is appointed by the President in consultation with the IAAC to a four-
 1909 year renewable term.
- 1910 ii. The role, responsibilities, and compensation for the FAR are specified in a
 1911 position description document kept on file in the Athletics Department and made
 1912 available upon request.
- 1913
- 1914 d. Procedures
- 1915 i. The FAR will be responsible for calling meetings, setting agendas, representing
 1916 the Committee as requested by the Board of Trustees, and organizing reports from
 1917 the Intercollegiate Athletic Advisory Committee to the Faculty Senate and the
 1918 University community.
- 1919 ii. The IAAC will review and advise on the following:
- 1920 • Review the athletic department's compliance regarding admissions, the
 - 1921 academic performance and progress of student-athletes toward graduation;
 - 1922 • Review the development of general athletics policies related to academic
 - 1923 matters;
 - 1924 • Review programs in place for student-athlete physical and emotional well-
 1925 being.
- 1926
- 1927 iii. The IAAC will meet once a semester with additional meetings scheduled as
 1928 needed.
- 1929 iv. One faculty representative from the IAAC will participate in the hiring process for
 1930 senior administration, head coaches and academic oversight positions within the
 1931 athletics department.
- 1932 v. The bi-annual written reports required of all Standing Committees of the
 1933 University produced by the IAAC for the Executive Committee of the Faculty
 1934 Senate will also be shared with the President of the University, the Board of
 1935 Trustees, and members of the Faculty Senate. In addition, the Chair of the IAAC,
 1936 along with the Director of Athletics, shall address the Faculty Senate at least once
 1937 each academic year. They shall report to the Senate on all aspects of the
 1938 University's athletic programs and respond to questions.
- 1939

1940 **C. Additional Committees of the University Charged with Areas Identified in I.B. as**
 1941 **“Areas Meriting Significant Faculty Consultation” (including but not limited to**
 1942 **advisory committees, ad hoc committees, working groups and task forces)**

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In order to ensure meaningful consultation in areas for which standing committees may not be necessary, the university administration may from time to time create ad hoc committees to consider academic-related issues, including but not limited to those set forth in Section I.B.

The Faculty Affairs Committee will be notified in a timely manner of the formation of such committees. The FAC, in consultation with the appropriate administrators, will reach consensus on the number (ordinarily up to fifty percent), qualifications, and method of selection of faculty to serve on any ad hoc committee. The Faculty Affairs Committee will then notify the Committee on Faculty Nominations and Elections of the need for faculty representatives. The CFNE will in a timely manner either appoint faculty representatives with appropriate expertise or conduct elections for faculty representation.

VI. Policy Governing the Process for Obtaining Faculty Input in Decisions Regarding the Discontinuation or Change in Scope or Scale of a Credit or Degree-Producing Program or Department Not Resulting in Retrenchment of a Full-time Faculty Member

For the purposes of this policy, "faculty associated with the department/program" shall consist of full-time faculty members who meet any of these conditions:

- A. Their appointment is in the department/program; or
- B. During the current academic year or the preceding academic year, they serve(d) in any of these capacities:
 - 1. chair, director, or administrator of the department/program;
 - 2. member of a standing committee or board dedicated to supporting the program; or
 - 3. teacher of a course listed or cross-listed in the department, or of a course intended primarily for participants in the program.

The university may propose to discontinue or change in scope or scale a credit or degree-producing program or department of instruction because it no longer serves the institution’s educational mission. If such a proposal would result in retrenchment, the appropriate policy is found in the Chapter 6—Termination of Faculty Appointments. If retrenchment will not result, this policy applies as long as the following two conditions are met:

- 1. The proposed change is to discontinue a department/program or the proposed change is a substantial change in the department/program’s scope or scale (for the purposes of this policy, if there is a disagreement between the faculty associated with the department/program and the administration about whether the change in scope or scale qualifies as a “substantial” change, the Faculty Affairs Committee will make the final determination); and
- 2. The discontinuation of the department/program or the substantial change in its scope

1988 or scale is opposed by at least half of the faculty associated with the affected
1989 department or program.

1990
1991 The UST Faculty Organization Plan emphasizes the need for the administration and the
1992 faculty to engage in meaningful consultation before a decision is made to eliminate a
1993 department or program. “Meaningful consultation occurs through substantive
1994 discussions between administrators and appropriate faculty bodies.... These discussions
1995 take place early and frequently in the deliberative process.” (Faculty Organization Plan,
1996 section I.B.) Similar consultation is needed before a decision is made to make a
1997 substantial change in the scope or scale of a department/program. As the same section
1998 of the Faculty Organization Plan reads, such meaningful consultation is especially
1999 important in “the development and elimination of academic programs or the
2000 organization of academic structures and units.”

2001
2002 Consultation should begin at the earliest possible time with the faculty associated with
2003 the affected department or program. When relevant, it is important that such discussions
2004 be based on accurate and current data about the department/ program, including a recent
2005 (i.e., within the past five years) external review of the department or program.

2006
2007 If, after consulting with the faculty associated with the affected department/program,
2008 the administration still believes that there is a need to discontinue a department/program
2009 or make substantial changes in its scope or scale, the following process will be used to
2010 ensure meaningful consultation.

2011
2012 The administration will notify the Faculty Affairs Committee of its proposal to
2013 discontinue the department/program or make substantial changes in its scope or scale.
2014 The Faculty Affairs Committee, in consultation with the appropriate administrators,
2015 will reach consensus on the number, qualifications, and method of selection of faculty
2016 to serve on an ad hoc committee. The number of faculty members on the committee
2017 will be such that they constitute at least seventy-five percent of the total membership.
2018 All faculty members on the committee will be tenured. No faculty member associated
2019 with the affected department/program may be a member of the committee. The
2020 executive vice president and provost will appoint the administrative representatives to
2021 the committee. The administrative representatives will be non-voting members.

2022
2023 The Faculty Affairs Committee will then notify the Committee on Faculty Nominations
2024 and Elections of the need for faculty representatives. The CFNE will in a timely manner
2025 either appoint faculty representatives with appropriate expertise or conduct elections for
2026 faculty representation.

2027
2028 Once the committee is created, the members will elect a chair from among the faculty
2029 members on the committee. The executive vice president and provost will provide the
2030 committee with a written rationale for the proposal to eliminate the department/program
2031 or to make substantial changes in its scope/scale. The committee shall review relevant
2032 information from both the administration and the faculty members in the affected
2033 department/program. The committee will then issue a written statement to the President

2034 and the Faculty Affairs Committee regarding its recommendation about the proposal to
2035 eliminate the department/program or to change its scope or scale. The ultimate authority
2036 for deciding rests with the President.
2037

2038 **VII. Additional Principles and Processes for Ensuring Shared Governance**
2039

2040 Within a culture marked by mutual respect, mutual trust, communication, transparency,
2041 and accountability, decision-makers should feel confident that they understand the
2042 nature of any consensus that has developed around issues, and that they can make fully
2043 informed decisions. Likewise, those affected by decisions should already understand
2044 the basis for decisions, and the complex factors that contribute to decision-making.
2045 While the goal is consensus, this does not preclude individuals or groups disagreeing
2046 with decisions.
2047

2048 A. At the conclusion of the consent period, the secretary of the Faculty Senate will
2049 transmit all approved Faculty Senate recommendations to the president of the
2050 university for a decision. The president will approve Faculty Senate recommendations
2051 as passed, veto the recommendations, or return them for reconsideration. The
2052 president will communicate the decision, or the reason for the delay in making a
2053 decision, within four weeks of receiving the recommendation from the secretary of
2054 the Faculty Senate. If the president vetoes or returns the recommendation for
2055 reconsideration, the president will communicate the reasons as outlined in B. below.
2056 If the president takes no action within a four-week period, the action will stand as
2057 passed.
2058

2059 B. In cases where committees, committee chairs, administrators, and other authorized
2060 individuals make decisions or recommendations to higher authorities that overturn or
2061 reject recommendations previously made by other bodies participating in the process
2062 for those decisions it is the responsibility of such individuals or committees to
2063 communicate to those bodies the reasons for diverging from recommendations made
2064 earlier in the process. This communication may be through a memorandum of
2065 explanation or in a meeting, which shall be transmitted or held within fifteen (15)
2066 class days of the decision or forwarded recommendation differing from that body's
2067 recommendation. If the communication is in the form of a memorandum, the body
2068 may request a meeting with the individual or committee to seek further explanation of
2069 the differing decision or recommendation.
2070

2071 C. The Faculty Senate will create on-going mechanisms for encouraging communication
2072 among faculty. As a minimum, it will maintain an electronic forum through which
2073 faculty can initiate focused discussion of pressing or time-sensitive issues.
2074

2075 D. At least once each semester, the chair of the faculty will hold an open forum, inviting
2076 participation by all faculty, deans, and administrators. The chair of the faculty may
2077 also exercise discretion to call for a forum of all full-time faculty members for the
2078 purpose of discussing issues of import.
2079

- 2080 E. The Executive Committee of the Faculty Senate will meet with the Deans' Council at
2081 the beginning of each semester to identify issues that are surfacing and will need to be
2082 addressed, to share perceptions and concerns, and to propose new conduits for
2083 dean/faculty consultation as appropriate. The chair of the faculty and the executive
2084 vice president and provost may jointly schedule additional meetings as needed. Either
2085 group may place items on the agenda. The purpose of these meetings is discussion
2086 and consultation; these meetings have no decision-making authority.
2087
- 2088 F. The Executive Committee of the Faculty Senate will meet at least once per semester
2089 with the university president. These meetings will be informal; their purpose is to
2090 promote mutual understanding and a convergence of views by identifying issues that
2091 are surfacing and will need to be addressed, including issues that are coming before
2092 the Faculty Senate, by sharing perceptions and concerns, and by proposing new
2093 conduits for consultation among the president and the faculty as appropriate. Other
2094 interested parties may be invited to participate, as appropriate.
2095
- 2096 G. Up to two faculty representatives will attend meetings of those committees of the
2097 Board of Trustees that bear most directly on the academic mission of the university.
2098 The chair of the faculty, or designee, and the chair of the Faculty Affairs Committee,
2099 or designee, will attend the Academic Affairs Committee. Up to two faculty members
2100 of the Student Life Committee, designated by the CFNE, will attend the Student
2101 Affairs Committee. Up to two faculty members of the Budget Advisory Committee,
2102 designated by the CFNE, will attend meetings of the Finance/Audit Committee.
2103 These representatives will be non-voting participants at the committee meetings. In
2104 addition, the chair of the faculty and the executive vice president and provost may
2105 schedule meetings between the Academic Affairs Committee of the board and
2106 Committees of the Faculty, as circumstances may warrant. Depending on theme, such
2107 meetings may include members of the Tenure and Promotion Committee, the Faculty
2108 Affairs Committee or the Executive Committee of the Faculty Senate.
2109
- 2110 H. Upon Faculty Senate recommendation and presidential approval of this governance
2111 system, an Implementation Committee will be appointed by the Faculty Affairs
2112 Committee working in collaboration with the executive vice president and provost.
2113 The Implementation Committee will consist of four to six faculty members and the
2114 executive vice president and provost or the designee of the executive vice president
2115 and provost, and will be chaired by a member of the faculty. Its task will be to ensure
2116 that the necessary steps for implementation are taken by the faculty and
2117 administration, and to resolve any questions of implementation not foreseen in the
2118 governance document. The Implementation Committee will complete its work in a
2119 timely fashion, such that the governance system will come into force no later than the
2120 academic year following its approval.
2121
- 2122 I. In the fifth year after this shared governance system comes into force, i.e., 2010-
2123 2011, an Evaluation Committee will be appointed by the CFNE, working in
2124 collaboration with the executive vice president and provost. This committee will
2125 contain equal numbers of faculty and administrators, and will be chaired by a member
2126 of the faculty. The purpose of the evaluation committee will be to assess the

2127 efficiency and effectiveness of the governance system. Key criteria in this evaluation
2128 include ability to identify and resolve important issues, as well as the ability to foster
2129 a climate of mutual respect, trust, transparency, accountability and communication.
2130 Any recommended changes to the governance system made by the Evaluation
2131 Committee will be forwarded to the Faculty Senate for review. These proposed
2132 changes will become recommendations to the president if approved by the Faculty
2133 Senate.
2134

2135 **VIII. BYLAWS**

2136

2137 **A. Privileges**

- 2138 1. “Full floor and voting privileges” shall include the rights to attend meetings, make
2139 motions, enter into debate, ask questions, address the assembly, and any other
2140 privilege of the floor normally accorded to members eligible to vote. These privileges
2141 shall include the right to vote on all matters whether procedural or substantive.
- 2142 2. “Full floor privileges” shall include all of the floor privileges of members with full
2143 floor and voting privileges, but shall include no voting privileges.
- 2144 3. “Limited floor privileges” shall be limited to the right to attend meetings, ask
2145 questions, and address the assembly.
- 2146 4. “Attendance privileges” shall be limited to the right to attend meetings.

2147

2148 **B. Attendance, Floor and Voting Privileges for Meetings of the Faculty**

- 2149 1. All full-time faculty members shall have full floor and voting privileges at meetings
2150 of the Faculty as described in Article III.C.10. Faculty on sabbatical or other
2151 approved leaves of absence retain their full-floor and voting privileges even though
2152 they do not count in calculating the quorum.
- 2153 2. The President, the Executive Vice-President for Academic Affairs, and academic
2154 Deans have full floor privileges. Other academic administrators have attendance
2155 privileges.
- 2156 3. The Chair shall serve as the Presiding Officer for meetings of the University Faculty.
2157 In the absence of the Chair, the Chair-elect shall preside. Upon leaving the chair for
2158 the purpose of speaking in debate, the Chair shall be granted full floor privileges.
- 2159 4. The presiding officer is eligible to vote only in the event of a tie ballot.
- 2160 5. The Chair may grant any person attendance or limited floor privileges. Privileges so
2161 granted shall be extended for only for a specified meeting.
- 2162 6. The Faculty may grant any person attendance or limited floor privileges by simple
2163 majority vote of those present and voting. Privileges so granted shall be extended for
2164 only a given meeting unless otherwise specified.
- 2165 7. Floor privileges granted through rule 6 above shall not extend beyond the end of any
2166 academic semester.

2167

2168 **C. Attendance, Floor and Voting Privileges at Meetings of the Faculty Senate**

- 2169 1. All full-time faculty as defined in Section II A have limited floor privileges at
- 2170 2. Faculty Senate meetings except when the Faculty Senate is meeting in executive
2171 session.
- 2172 3. All senators have full floor and voting privileges.

- 2173 4. The Chair of the Faculty, the Immediate Past Chair of the Faculty, and the Chair-
2174 elect are members of the Faculty Senate with full floor privileges. The Presiding
2175 Officer may vote in the case of a tie.
- 2176 5. The secretary of the Faculty Senate and the parliamentarian are members of the
2177 Faculty Senate with limited floor privileges.
- 2178 6. When a Committee of the Faculty sends a proposal to the Faculty Senate, the chair
2179 of the committee or the chair's designee is granted full floor privileges regarding the
2180 proposal. This holds for all committees of the faculty except the Executive
2181 Committee.
- 2182 7. Only duly elected faculty senators (or their proxies), the faculty officers, the
2183 secretary of the Faculty Senate, and the parliamentarian may be present when the
2184 Faculty Senate is in executive session.
- 2185 8. Other members of the university community may request the opportunity to attend or
2186 address the Faculty Senate; they will have attendance or limited floor privileges only
2187 when expressly granted by the Executive Committee of the Faculty Senate or by a
2188 decision of the Chair or by a majority vote of the Faculty Senate.
- 2189 9. Persons who are not members of the university community will have attendance or
2190 limited floor privileges only when expressly granted by the Executive Committee of
2191 the Faculty Senate or by a two-thirds vote of the Faculty Senate.
- 2192

D. Voting Procedures

2193 Upon request by any member of the body, voting shall be by written ballot.

2194

2195

E. Committees of the Whole for University Faculty Meetings and Faculty Senate Meetings

- 2196 1. In the absence of a quorum, the faculty shall convene into a committee of the whole
2197 or a quasi-committee of the whole at the discretion of the presiding officer.
- 2198 2. The quorum for a committee of the whole or a quasi-committee of the whole shall be
2199 twenty percent of those eligible to vote, excluding those on leave.
- 2200 3. In the absence of a quorum at a Faculty Senate meeting, actions taken by the
2201 committee of the whole or a quasi-committee of the whole become unfinished
2202 business at the next Faculty Senate meeting.
- 2203
- 2204
- 2205

F. Parliamentary Authority

2206 All meetings shall be conducted according to the current edition of Robert's Rules of
2207 Order Newly Revised, unless stated otherwise in these Articles.

2208

2209

2210 Special Rules of Order for Meetings of the Faculty and the Faculty Senate*

1. Prohibited Motions

2211 The motion to "reconsider and enter on the minutes" shall be considered out of
2212 order at all meetings of the Faculty and the Faculty Senate.

2213

2214

2. Changes to the Agenda

2215 The agenda circulated by the Executive Committee shall be considered for
2216 approval by the Faculty Senate. The agenda circulated by the Executive
2217 Committee may be amended by a majority vote of senators present. After the
2218 agenda is approved by the Faculty Senate, any subsequent changes shall be treated
2219

2220 as a motion to suspend the rules.

2221

2222 3. Amendments to these Special Rules of Order

2223 These special rules of order may be amended at any meeting by either

2224 a. previous notice and a 60% vote of those present and voting, or

2225 b. a vote of a majority of the entire membership of the body.

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2227 * These special rules of order are not part of the Faculty Organization Plan.

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Chapter 2 Faculty Appointments

I. Preamble

The faculty of the University of St. Thomas is selected from the national and international community of scholars by a rigorous search process using the highest intellectual and professional standards, considering at the same time the needs of the entire campus community and the particular department specifying the description of each position.

The University of St. Thomas is committed to the principles of equal employment opportunity and equal educational opportunity. St. Thomas does not unlawfully discriminate on the basis of race, color, creed, religion, national origin, sex, sexual orientation, gender identity or expression, family status, disability, age, marital status, status with regard to public assistance, membership or activity in a local commission, genetic information, veteran status or any other characteristic protected by applicable law. The university's policy of non-discrimination extends to all aspects of its operations, including but not limited to employment, educational policies, admissions policies, scholarship and loan programs, and all other educational programs and activities. With respect to religion and creed, as permitted by law, the university reserves the right to exercise discretion in employment decisions to employ persons who share and are committed to the values and mission of the university.

Academic freedom is a core value of any institution of higher education. The University of St. Thomas is committed to protecting the academic freedom of the faculty in meeting its professional responsibilities and in contributing to the mission of the university. In implementing this commitment, the university is guided by the 1940 AAUP Statement of Principles on Academic Freedom and Tenure and the subsequent 1970 Interpretive Comments.

Freedom of inquiry and freedom of expression are safeguarded by the university. The rights and obligations of academic freedom take diverse forms for the students, the faculty, and the administration; in general, however, they derive from the nature of the community which pursues the highest scholarly standards, promotes intellectual and spiritual growth, maintains respect for individuals as persons, and lives in the tradition of Christian belief.

Specific principles of academic freedom supported at the university include: freedom to teach and to learn according to one's obligation, vision, and training; freedom to publish the results of one's study or research; and freedom to speak and write on public issues as a citizen. Correlative obligations include: respectful allowance for the exercise of these freedoms by others; proper acknowledgment of contributions made by others to one's work; preservation of the confidentiality necessary in personal, academic, and administrative deliberations; avoidance of using the university to advance personal

47 opinion or commercial interest; and protection, in the course of one's conduct,
48 utterances, and work, of the basic aims of the university and of its good name.

49
50 Members of the faculty are appointed initially for a period of one year by the president
51 of the university upon the recommendation of the executive vice president and provost.
52 Prior to making a recommendation to the president, the executive vice president and
53 provost is advised by the appropriate college/school dean(s) and department
54 chair(s)/program director(s).

55
56 A copy of this Faculty Handbook shall be presented to each prospective full-time
57 member of the faculty prior to acceptance of the appointment. Acceptance of the
58 appointment shall indicate the appointee's willingness to be bound by these documents.

59
60 Every appointment of a faculty member shall be made by a formal contract signed by the
61 prospective faculty member and by the president of the university or the president's
62 representative, and shall state the rank, salary, length of contract, and other conditions of
63 appointment. Faculty contracts constitute binding agreements.

64
65 The dates of the annual appointment will be stated in the letter of appointment. Salary
66 payments are issued across a period of twelve months.

68 **II. Types of Appointments**

69
70 Members of the faculty hold full-time, part-time, and emeritus/emerita appointments.
71 Appointment types for full-time faculty include tenured, tenure-track, clinical, teaching,
72 limited-term, visiting, and distinguished-service appointments.

73
74 Faculty members appointed on a full-time basis with the exception of clinical faculty and
75 teaching faculty are assigned one of the following four ranks: professor, associate
76 professor, assistant professor, or instructor. The following are the qualifications for these
77 ranks:

- 78
79 1. Professor—Ph.D. or equivalent doctorate from an accredited institution and six years
80 as associate professor or its academic equivalent.
- 81 2. Associate Professor—Ph.D. or equivalent doctorate from an accredited institution and
82 six years as assistant professor or its academic equivalent
- 83 3. Assistant Professor—Ph.D. or equivalent doctorate from an accredited institution.
- 84 4. Instructor—M.A. or its equivalent, or substantial progress toward a graduate degree.

85 86 **Exceptions to the requirement of a doctorate:**

87 For those at the rank of associate professor and assistant professor, an exception may be
88 made regarding the requirement of a doctorate. Such an exception must be agreed upon at
89 the time of initial appointment by the department faculty, department chair/program
90 director, dean, and executive vice president and provost. Specific performance

91 achievements equivalent to the earning of the doctorate will be established at the time of
92 initial appointment for faculty who will seek promotion to associate professor or assistant
93 professor without it. These performance achievements must be agreed upon by the
94 department faculty, department chair/program director, dean, and executive vice
95 president and provost. No such exceptions are allowed for professors.
96

97 **Exceptions to the years of service requirement:**

98 For professors, the number of years should normally be years in rank in a tenured
99 appointment at the University of St. Thomas. An associate professor with four or five
100 years as associate professor may request that the years of service in rank be fewer than
101 the ordinary six-year period based on his or her outstanding record in research, teaching
102 and service. For associate professors, the number of years should normally be years in
103 rank in a tenure-track appointment at the University of St. Thomas. Other arrangements
104 must be negotiated at the time of the initial appointment or approved at the time of the
105 tenure or promotion decision as provided in Chapter 5.
106

107 **A. Tenured and Tenure-Track Faculty**

- 108 1. **Tenured faculty** are individuals who are offered successive annual
109 contracts by the university in recognition of their contribution to the mission
110 of the university through their teaching, professional engagement, and
111 service.
- 112 2. **Tenure-track faculty** are individuals who have been selected as a result of
113 a national search that specifically defines the position as tenure-track and are
114 under consideration for a tenured position. They may hold this probationary
115 status for a maximum of six years, unless extended pursuant to Chapter 4.c.
116 Faculty on a tenure-track appointment are not guaranteed that appointment
117 for six years. The performance of tenure-track faculty is evaluated annually,
118 and if the performance is not at the level expected by St. Thomas faculty the
119 individual may receive notice of termination by the dates specified in the
120 section on reappointments. Tenure begins with the annual contract following
121 the academic year in which tenure was granted by the president. An
122 individual who is denied tenure will receive a terminal contract for the
123 following academic year.
124

125 **B. Non-Tenure-Track Faculty—Not Eligible for Tenure**

- 126 1. **Limited-term faculty** are persons appointed annually with a one-year
127 contract which may be renewed a maximum of four times. Under no
128 circumstances does a limited-term contract convey the expectation or
129 possession of a tenure-track or tenured appointment. A limited-term faculty
130 member may be hired on a tenure-track line only as a result of a new
131 national search in which the advertisement for the position specifically
132 defines the position as tenure-track. Limited-term faculty who are
133 subsequently hired on a tenure-track line may negotiate with the university
134 the number of years of prior experience credited toward tenure. This number
135 of years must be stated in the initial tenure-track contract.

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2. **Clinical professors** are defined as those individuals who are qualified in a given field or discipline by having established records as accomplished practitioners or by having made significant contributions to the arts, sciences or their profession. Clinical appointments will be without tenure and are not tenure-track appointments. Expectations with respect to teaching, service, and other program-specific responsibilities will be outlined for each clinical faculty member at the time of appointment. Ordinarily, clinical professors will maintain outside licensure or other credentials, as necessary, in order to fulfill their terms of appointment. Even though clinical professors may be assigned to teach courses that are ordinarily taught by other categories of faculty, their primary responsibility in the area of teaching will be to deliver the program’s curriculum that is particular to each clinical faculty member’s areas of practical experience. Under no circumstances does a clinical professor contract convey the expectation or possession of a tenure-track or tenured appointment. Clinical professors with at least six years of full-time service at St. Thomas may, but are not required to, apply for promotion to the rank of senior clinical professor. A clinical faculty member may be hired on a tenure-track line only as a result of a new national search in which the advertisement for the position specifically defines the position as tenure-track. At the request of the clinical faculty member and at the discretion of the dean of the school/college, a clinical professor position may be less than 1.0 FTE.

3. **Teaching professors** are teaching specialists whose responsibilities are in the areas of teaching and other student-centered activities, and service. Teaching professor appointments will be without tenure and are not tenure-track appointments. Teaching professor appointments ordinarily carry minimal professional engagement expectations and are renewable subject to the needs of a program, as determined by the program with the approval of the appropriate dean. Under no circumstances does a teaching professor contract convey the expectation or possession of a tenure-track or tenured appointment. Teaching professors with at least six years of full-time service at St. Thomas may, but are not required to, apply for promotion to the rank of senior teaching professor. A teaching professor may be hired on a tenure-track line only as a result of a new national search in which the advertisement for the position specifically defines the position as tenure-track. At the request of the teaching professor and at the discretion of the dean of the school/college, a teaching professor position may be less than 1.0 FTE.

The combined number of clinical professors and teaching professors will be limited to no greater than 15 percent of all full-time faculty appointments at St. Thomas. (See Chapter 8 for additional details.)

4. **Visiting faculty** status is assigned to full-time members of the faculty

182 whose appointments are understood to be strictly for one year and are
183 typically non-renewable. In exceptional circumstances and based on
184 programmatic needs with the approval of the appropriate dean, a visiting
185 faculty appointment may be extended for a maximum of one year.
186

- 187
- 188 5. **Staff/Clinical/Laboratory instructors** – This title is granted to full-time
189 professional staff with at least a master’s degree and three years of
190 experience who carry out responsibilities in an academic department in
191 support of the university’s degree programs. Current examples of
192 individuals who might be eligible for this designation are those who
193 coordinate the lab sections for science departments, teach some of the labs
194 and, on occasions, are invited by faculty to give a lecture in a course.
195 Persons designated as staff/laboratory instructors are not on a tenure-track.
- 196
- 197 6. **Adjunct faculty** are individuals appointed to part-time teaching positions,
198 and who normally teach fewer than three courses per semester. Positions
199 filled by adjunct faculty are determined by each school, program, or
200 department. Contracts for adjunct faculty are issued by the appropriate dean
201 at the request of the chair/director. This contract may be canceled if there is
202 insufficient enrollment, or if the course is needed to meet the contractual
203 responsibilities of a full-time faculty member. Faculty members are
204 designated as a) a Senior Member of the Adjunct Faculty, b) a Member of
205 the Adjunct Faculty, or c) a title determined by each college or school with
206 qualifications and responsibilities that meet the minimum requirements of a
207 “Member of the Adjunct Faculty.” The following are the qualifications for
208 the different ranks:
- 209 a. **Senior Member of the Adjunct Faculty** – Ph.D./doctorate or
210 master’s from an accredited institution and/or significant professional
211 experience and ten years of teaching experience at the University of
212 St. Thomas or a minimum of twenty courses taught at the University
213 of St. Thomas.
- 214 b. **Member of the Adjunct Faculty** – Ph.D./doctorate or master’s from
215 an accredited institution and/or significant professional experience.
216 Previous college teaching experience preferred but not required.

217 C. Faculty with Honorific and Courtesy Appointments

- 218 1. **Endowed chair** positions are established to enhance the mission of the
219 university and at the same time honor both the university and the recipients.
220 Chairholders bring prestige and recognition in areas of teaching, research,
221 and public service. Endowed chairs may be tenured, tenure-track, or non-
222 tenure-track.
- 223 a. **Criteria for Selection of an Endowed Chair**
- 224 Criteria for the selection of the recipient must insure that:
- 225 i. The honor and prestige associated with the chair is clearly
226 reflected in the choice of the recipient;
- 227 ii. The University of St. Thomas honors the conditions under which

- 228 the endowment was established;
229 iii. The values and mission of the University of St. Thomas are
230 promoted;
231 iv. The intended purpose of the chair is respected and maintained by
232 the chairholder.

233 **b. Qualifications of Candidate**

234 Qualifications of candidates for an endowed chair are as follows:

- 235 i. The candidate must hold the rank of professor or currently have
236 the qualifications for a promotion to professor or have a
237 distinguished professional career that results in an immediate
238 appointment as professor or could lead to a subsequent
239 appointment as professor;
240 ii. The candidate must have favorable recommendations for the
241 position from authorities in the candidate's field outside the
242 University of St. Thomas as well as from peers and others within
243 the University of St. Thomas;
244 iii. The candidate must present evidence of national/ international
245 excellence in the candidate's field during the three years
246 immediately preceding the appointment.

247 **c. Procedures for Appointment**

- 248 i. The dean of the college/school receiving the chair will ask the
249 chair/director of the department/division/program receiving the
250 chair to appoint a search committee from the tenured and tenure-
251 track faculty members of the department/division/program. In the
252 case of an endowed chair based in an undergraduate division, the
253 search committee should include approximately proportional
254 representation from all departments within that division;
255 department chairs will be asked to nominate committee
256 member(s) from their own departments. The chair of the
257 committee will be the dean of the college/school receiving the
258 chair, and he/she will have full voting rights on the committee.
259 ii. The committee will review the intent of the donor's gift and will
260 seek and screen candidates from within and external to St.
261 Thomas. It will provide opportunities for groups and individuals
262 reflecting the interests of the university as a whole to meet with
263 candidates and will make recommendations to the executive vice
264 president and provost.
265 iii. The president, following established procedures, will normally
266 make the appointment for a term of three years with the
267 understanding that appointments are renewable for additional
268 three-year terms upon the recommendations of the dean of the
269 college/school and of the executive vice president and provost.

270 **d. Perquisites of the Endowed Chair**

271 The holder of the chair will be entitled to the following:

- 272 i. Identification with the name of the chair in all university releases
273 or publications in which the professor's name appears;

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- ii. A reduced teaching load but be expected to teach at least two courses per year. Additional teaching expectations will be dependent upon the other responsibilities agreed upon by the chairholder and the dean of the college/school (among which will be participation in and enrichment of the intellectual life and academic programs of the university and the department/program in which the chair is held);
 - iii. Assistance with scholarly activity or other activities that are conditions to the chair;
 - iv. Consideration for a tenured-appointment. The consideration of immediate tenure, a tenure-track position, or a limited-term position will be negotiated at the time of the appointment, only after consultation with the department/division/program faculty. In the case where immediate tenure is being considered, the Tenure and Promotion Committee will also be consulted;
 - v. A budget determined by the dean of the college/school. Normally it is expected that the funds donated for the chair or the funds generated by the chair in terms of research grants, speaker's fees, and the like, will provide all the funds needed to cover costs associated with the chair;
 - vi. Participation in all faculty deliberative bodies as a regular and full-time member of the faculty. As defined by the Faculty Handbook, "regular members" shall mean those who are under contract to the school in one of the four academic levels. The holder of a division-based endowed chair will be considered to hold a primary appointment in a single department within that division. This affiliation will be determined by the search committee at the time of the candidate's appointment and will remain constant for any single holder of the chair. However, this affiliation may change whenever a new person is appointed to the chair.
- e. Endowed Chair as a Member of a Department/Program**
Normally, a professorial chair will be considered a net addition to the number of faculty in the department/program. However, by agreement of the department/program (i.e., chair/director and faculty) and the university, the chairholder may be appointed to an existing faculty line vacancy if one is available at the time of the appointment and if student course enrollments and program needs cannot justify a net addition to department/program faculty lines. In cases of reduced enrollments or other circumstances which normally result in a reduction of faculty positions, the executive vice president and provost will consult with departmental/program faculty and dean of the college/school about placing the chairholder into an authorized line and no longer counting that person as a net addition to the department/division/program.
- f. Salary, Duties, and Evaluation of an Endowed Chair**

320 After consultation with the department/division/program to which
321 the chair will be appointed, the dean of the college/school shall be
322 required to:
323 i. Recommend to the executive vice president and provost at the
324 time of appointment of the chair the specific salary, budget, and
325 conditions to which the chairholder is expected to adhere;
326 ii. Recommend to the executive vice president and provost at the
327 time of appointment of the chair, the duties of the chairholder;
328 iii. Provide an evaluation to the executive vice president and provost
329 each year on the activities of the chairholder. The chairholder will
330 follow the established procedures for annual and periodic faculty
331 review;
332 iv. Recommend to the executive vice president and provost by
333 March 1 of the second year of the appointment whether the
334 present chairholder should be renewed or whether a search
335 committee should be established.

- 336
337 2. **Distinguished-service faculty** are individuals of significant achievement,
338 but not possessing the usual academic credentials, in the arts and sciences,
339 or the professions for which the university prepares undergraduate and
340 graduate students.

341
342 Individuals appointed to this rank will have made significant contributions
343 in the arts, sciences, or their profession. The appointment will be on an
344 annual basis, with the option for reappointment, not to exceed five years.
345 The annual renewal will be determined by an evaluation of the teaching
346 quality and the contributions to the department/program and university.

347
348 Nominations of candidates for this rank must have the support of the
349 department/program. The appropriate dean will be asked to recommend the
350 candidate to the executive vice president and provost and the president.
351 Criteria for appointment will be the need of the department/program, the
352 availability of resources, and the record of the individual.

- 353
354 3. **Emeritus/Emerita faculty**—upon retirement from the University of St.
355 Thomas, full-time faculty as defined in Chapter 1.II.A with ten or more
356 years of continuous academic service may be appointed by the president to
357 the honorary rank of “professor emeritus or emerita” in recognition of the
358 faculty member’s dedication to the university through excellence in
359 teaching, engagement of the profession, and service to the university. For
360 full-time faculty with fewer than ten years of continuous service,
361 emeritus/emera status may be granted in recognition of the faculty
362 member’s exceptional teaching, active engagement of the profession, and
363 outstanding service to the university and the external community.

364
365 While emerita or emeritus is not a contractual appointment, it is a

366 reasonable expectation for faculty in good standing at the time of retirement.
367 Emeritus or emerita status should be denied only for a substantial reason
368 and usually related to deficient performance of faculty duties. Except in
369 extraordinary circumstances, the reasons for denial must have been
370 documented in the previous annual faculty evaluations of the faculty
371 candidate.

372
373 Privileges available to emerita or emeriti faculty include the following:

- 374 • Access to university offices and to appropriate departmental-
375 clerical/secretarial service, when available;
- 376 • Access to library resources given all faculty;
- 377 • Participation in university-wide events, such as faculty convocations,
378 commencement, and cultural events within and external to St.
379 Thomas;
- 380 • Faculty dining privileges (if available);
- 381 • Listing in all St. Thomas publications in same way as active faculty;
- 382 • Receipt of university publications;
- 383 • University I.D. card;
- 384 • Use of recreational facilities;
- 385 • On-campus access to email and internet facilities;
- 386 • Retention of university email account and ability to receive
387 professional mail at the university.

388
389 a. Process for Appointment to Emeritus or Emerita Rank

390
391 Requests for emerita or emeritus appointments are initiated by the candidate
392 no sooner than eight weeks prior to the effective date of retirement. All
393 requests include at least two parts: (1) a cover memorandum, and (2) an up-
394 to-date CV with an overview of the candidate's history of teaching,
395 scholarship, and service at the University of St. Thomas.

396
397 The template for the cover memorandum, available through the executive
398 vice president and provost's office, includes signature lines for the reviewers.
399 The template will ask the candidate to provide:

- 400 • Full name of faculty member
- 401 • University of St. Thomas ID number
- 402 • Dates of FT faculty appointment(s) at the University of St. Thomas
- 403 • Name of college or school within the University of St. Thomas
- 404 • Department name (where appropriate)
- 405 • Effective date of retirement

406
407 If the candidate has ten or more years of continuous FT academic service at
408 St. Thomas:

- 409 • The candidate submits the application (cover memorandum plus CV) to
410 their department chair if they have a chair, and to their dean/director if
411 they do not have a chair.
- 412 • The chair, or the dean/director if there is no chair, informs the tenured
413 faculty in the department or program that the application has been

414 submitted and consults with them, either formally or informally,
415 regarding whether to recommend the appointment. Assuming the faculty
416 member is in good standing at the time of the application, the chair (if
417 there is a chair) indicates support of the request on the cover
418 memorandum and passes it to the dean/director, who indicates support
419 and passes it to the executive vice president and provost, who indicates
420 support and passes it to the president, who affirms final support. If there
421 is no chair, the initial approval is from the dean/director, who passes the
422 application up the line.

- 423 • If any reviewer believes the candidate is not in good standing (i.e.,
424 believes there are substantial reasons to deny the appointment), such
425 reasons will be explained in writing; sent by the reviewer to the
426 candidate, who may write a rebuttal and/or solicit rebuttals from
427 colleagues; and included with the application packet along with the
428 reviewer's indication on the cover memorandum that they do not support
429 the request. The application is not blocked by a negative recommendation
430 (short of the president), but passes through all four reviewers, up the line
431 to the president.

432
433 If the candidate has fewer than ten years of continuous FT academic service
434 at St. Thomas:

- 435 • The candidate writes a letter explaining why the appointment is fitting,
436 given the FH criteria for candidates with fewer than ten years of
437 continuous FT academic service at St. Thomas. The candidate submits
438 the application (cover memorandum, CV, and the candidate's own letter)
439 to their department chair if they have a chair, and to their dean/director if
440 they do not have a chair.
- 441 • The chair, or the dean/director if there is no chair, informs the tenured
442 faculty in the department or program that the application has been
443 submitted and consults with them, either formally or informally,
444 regarding whether to recommend the appointment. The chair (if there is a
445 chair) adds a letter explaining why they do or do not support the
446 appointment, sends a copy to the faculty candidate, completes the cover
447 memorandum as appropriate, and passes the packet to the dean/director,
448 who completes the memorandum as appropriate and passes it to the
449 executive vice president and provost, who completes the memorandum as
450 appropriate and passes it to the president. If there is no chair, the initial
451 review is from the dean/director, who passes the application up the line.
- 452 • Any reviewer who disagrees with the judgment of the first reviewer adds
453 a letter to the packet explaining their judgment and sends a copy to the
454 candidate before passing the packet of materials to the next reviewer. If
455 any reviewer believes there are substantial reasons to deny the
456 appointment, such reasons will be explained in writing; sent by the
457 reviewer to the candidate, who may write a rebuttal and/or solicit
458 rebuttals from colleagues; and included with the application packet along
459 with the reviewer's indication on the cover memorandum that they do not
460 support the request. The application is not blocked by a negative
461 recommendation (short of the president), but passes through all four
462 reviewers, up the line to the president.

463

464 After the review is complete, the president sends the fully executed cover
465 memorandum to the faculty candidate, department chair, dean/director, and
466 executive vice president and provost. The memorandum of approval is also
467 sent to relevant university offices. For example, ITS receives a copy and
468 either changes the faculty member's email status to emerita or emeritus (if
469 the appointment is approved) or terminates the email account (if the
470 appointment is denied).

471
472 Every effort should be made to complete this process prior to the effective
473 date of retirement. If the application process has been initiated at least six
474 weeks prior to the effective date of retirement but is not complete by the
475 effective date of retirement, the privileges available to emerita and emeritus
476 faculty (library privileges, retention of the university email account, etc.) will
477 be extended to the candidate throughout the review process, so access is not
478 interrupted.

- 479
480 b. Confidentiality, Accountability, and Faculty Rights
- 481 i. The process of requesting the honorary rank of emeritus or emerita is
482 informed by the same principles of confidentiality and accountability
483 operative in the evaluation of faculty for tenure and promotion. (See
484 Faculty Handbook, Ch.4.V.F.7, and Ch.5.II.D.7.)
 - 485 ii. Faculty members being considered for appointment to emerita or
486 emeritus shall submit a current curriculum vitae.
 - 487 iii. Consistent with the fundamental principles of shared governance --
488 mutual trust, mutual respect, transparency, communication, and
489 accountability -- faculty members who are denied appointment as
490 emeritus or emerita have the right to be informed about the grounds for
491 their denial.
 - 492 iv. The title of emerita or emeritus may be withdrawn by the president upon
493 the recommendation of the executive vice president and provost.
- 494

495 **III. Reappointment of Faculty**

496
497 Full-time faculty members are issued a contract for the following year by March 1. That
498 contract includes the annual across-the-board salary increases and any equity
499 adjustments as described in the section of Salary Administration in Chapter 3. D. Signed
500 contracts are returned to the office of the president by April 1.

501
502 For tenure-track, teaching, clinical, limited-term, and distinguished-service faculty,
503 notice of intention not to reappoint will be given:

- 504 1. By February 1 of the academic year covered by the contract for a faculty
505 member in the first year of service at St. Thomas;
 - 506 2. By December 1 of the academic year covered by the contract for a faculty
507 member in the second year of service;
 - 508 3. For a faculty member with more than two years' service at St. Thomas a
509 full academic year's notice shall be given.
- 510

511 Exceptions to these notification requirements can be made by the university only if the
512 faculty member is terminated for cause as described in Chapter 6 of this Handbook. The
513 procedures to be followed and the rights of the faculty are the same as in a termination
514 action.
515

516 **IV. Special Circumstances—Clinical Professors and Teaching Professors**

517
518 Initial appointments to the position of clinical or teaching professor will be for one
519 academic year, with up to two subsequent one-year renewals, subject to satisfactory
520 annual performance reviews and the ongoing need for the position. After three years of
521 service, clinical and teaching professors can be appointed for renewable multi-year terms
522 of up to three years. Prior to the rewarding or the renewal of a multi-year term, the
523 department (when applicable) will consult with the dean to determine the continued need
524 for the position and the suitability of its job description. In schools without departments,
525 the dean will consult with the faculty of the school. Renewal of clinical and teaching
526 professor appointments is in the sole discretion of the university.
527

528 Clinical and teaching professor appointments are not tenure-track appointments, and
529 under no circumstance does a clinical professor or teaching professor position convey
530 the expectation or possession of a tenure-track appointment. Nor may a tenure review be
531 conducted or the grant of tenure made to a faculty member with a clinical or teaching
532 professor appointment. A clinical or teaching professor may be hired on the tenure-track
533 only as a result of a new national search in which the advertisement for the position
534 specifically defines the position as tenure-track. The clinical or teaching professor must
535 resign from the clinical professor or teaching professor appointment (or the appointment
536 otherwise must terminate) before the clinical professor or teaching professor may
537 assume a tenure-track position.
538

539 Clinical professors and teaching professors who are subsequently hired in a tenure-track
540 position may negotiate with the university the number of years of prior experience
541 credited toward tenure. This number of years must be stated in the initial tenure-track
542 contract.
543

544 **V. Special Circumstances—Limited-Term Faculty**

545
546 Limited-term faculty members may receive a maximum of four annual contracts
547 following the contract of initial appointment. (The number of years of employment at the
548 university referred to in this paragraph does include the year(s) in a visiting position if
549 the faculty member previously served in a visiting position.)
550

551 Under no circumstances does a limited-term contract convey the expectation or
552 possession of a clinical or teaching professor position or a tenure-track or tenured
553 appointment. A limited-term faculty member may be hired in a clinical or teaching
554 professor position only as a result of a new search or in a tenure-track position only as a

555 result of a new national search in which the advertisement for the position specifically
556 defines the position as a clinical or teaching professor position or as a tenure-track
557 position. The limited-term faculty member must resign from the limited-term
558 appointment (or the appointment otherwise must terminate) before the limited-term
559 faculty member may assume a clinical or teaching position or a tenure-track position.

560
561 Limited-term faculty who are subsequently hired in a tenure-track position may
562 negotiate with the university the number of years of prior experience credited toward
563 tenure. This number of years must be stated in the initial tenure-track contract.

564

565 **VI. Amendments to Chapter 2: Faculty Appointments**

566

567 This chapter may be amended at any meeting of the Faculty Senate by a 60 percent
568 majority of those present and voting. Proposed amendments must be submitted in
569 writing to the Executive Committee and distributed with the agenda at least one week
570 prior to the meeting of the Faculty Senate at which action is to be taken. Amendments
571 shall be incorporated into the pertinent section of Chapter 2, unless otherwise specified.

Chapter 3

Evaluation of Faculty

At the University of St. Thomas, the mission provides the framework for faculty evaluation. Within the context of faculty commitment to that mission, teaching is the most important criterion. Engaging the profession is the next most important criterion, closely followed by service as the third most important.

This does not preclude the possibility that in unusual circumstances individuals may be hired who will be evaluated using a different ordering of priorities. Nor does it preclude the possibility that individual faculty members, in consultation with their chair/director and dean, may be evaluated using different ordering of priorities during some parts of their careers. Any reordering of these priorities will be stated in writing and signed by the appropriate person at dean-level authority and the executive vice president and provost in a document which clearly states that it is intended to constitute a reordering of priorities. Expectations with respect to teaching, service, and professional engagement will be specified for each clinical faculty member at the time of appointment.

Faculty peers will also be guided by the following expectations in assessing the success of a colleague in contributing to a collegial environment in the department/program, college/school, and university. The faculty member is expected to be guided by the principles stated below in working with faculty colleagues, students, and staff at the university.

As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution. (AAUP Redbook [adopted 1987] “Statement on Professional Ethics” paragraph 3.)

The goals of the faculty evaluation system at the University of St. Thomas are:

- to assure that the university maintains a faculty of outstanding quality committed to its institutional mission;
- to promote the professional development of each member of the faculty;
- to support the diversity of the colleges/schools and faculty of the university by recognizing a variety of acceptable means for meeting evaluation criteria;
- to provide a just, positive approach to evaluation;
- to assure equitable promotion, tenure, and annual reviews.

Faculty evaluation occurs in multiple ways, including annual evaluations, multi-year reviews, tenure reviews, and promotion reviews. In support of these goals, the faculty have established, through the shared governance system, performance criteria that are the minimum university-wide standards on tenure, promotion, multi-year, and annual reviews, as well as uniform procedures. In addition, other performance criteria and standards may be 1) specified in a faculty

46 member's contract or 2) developed by units as permitted in this Handbook. Changes in tenure
47 standards that are adopted by a college or school (but not a department or a program) through the
48 process described in Chapter 4 will apply only to those faculty members hired after the adoption
49 date. Changes in promotion standards that are adopted by a college or school (but not a
50 department or a program) through the process described in Chapter 5 apply to faculty hired after
51 the adoption date; existing faculty will have six years to apply for promotion under the prior
52 standards.

53

54 **A. Annual Evaluation:**

55 **Notice:** Tenure-track faculty members and faculty members within four years of applying for
56 a promotion have additional annual requirements for documenting performance. For tenure-
57 track faculty, see the section on peer review of teaching in Chapter 4. For those pursuing
58 promotion not simultaneous with tenure, see the section on peer review of teaching in
59 Chapter 5.

60

61 A primary component of the faculty evaluation system is the annual evaluation. The annual
62 evaluation is designed to encourage the professional growth of all faculty members.

63

64 **1. Adjunct Faculty**

65 At least once per year, the department chair/program director should evaluate the adjunct
66 faculty member's teaching performance.

67

68 **2. Full-Time Faculty**

69 For full-time faculty members, the annual evaluation consists of two main parts: the
70 faculty member's annual report and the department chair/program director performance
71 review.

72

73 **a. Annual Report**

74 All full-time faculty must complete an annual report. Reports are due to the
75 chair/director by July 1. The report covers the period beginning with June 1 of one
76 year and ending with May 31 of the next. In it, members of the faculty will reflect on
77 their contribution to the mission of the university through their teaching, professional
78 engagement, and service during the year and discuss plans for the coming year. In
79 their reflections, faculty are encouraged to offer examples of how they have tried to
80 create an inclusive and equitable environment in their classroom practices, teaching,
81 and advising.

82

83 One source of information about the quality of a faculty member's teaching will come
84 from student questionnaires. These questionnaires will be administered in each
85 section of all courses each semester (including January and summer) with exceptions
86 approved by the executive vice president and provost. There is a single instrument
87 that is common to all units. Individual units (departments, programs, schools,
88 colleges) may develop their own supplemental questions to assess student perception
89 of teaching effectiveness.

90

91 To the extent reasonably possible, confidentiality will be preserved for students who

92 submit questionnaires. However, each faculty member shall receive the originals of
93 all student questionnaires returned by students in a course, including both the
94 numerical ratings and the individual student comments.
95

96 **b. Department Chair/Program Director Performance Review**

97 Evaluation should begin at the department/program level. This maximizes
98 accountability of both the faculty member being evaluated and the evaluator (in this
99 case, the chair/director). Evaluation should be based on documented evidence and
100 frequent interaction/observations. In addition to the primary purpose of offering
101 feedback to the faculty member, other purposes include:

- 102 • to help the chair/director ascertain the condition of the department/program;
- 103 • to keep the department chair/program director aware of the needs of the faculty in
104 carrying out their work;
- 105 • to demonstrate that faculty members are maintaining a record of professional
106 engagement that is appropriate to the nature of the discipline, the level of the
107 program, and the level of support;
- 108 • to assist the chair/director in arriving at agreement with the faculty member
109 regarding future activities which will be optimal for both the department/program
110 and the faculty member.
111

112 The department chair/program director reviews the faculty member's annual report
113 and evaluates the faculty member's performance as measured against the standards of
114 teaching, engaging the profession, and service appropriate to full-time faculty
115 members of the university, or against appropriate goals and objectives agreed upon by
116 the faculty member and the chair/director and identified in the faculty member's most
117 recent annual faculty report.
118

119 For tenure-track faculty in particular, the annual evaluation should be an opportunity
120 for clear communication between the faculty member and the department
121 chair/program director, so that any discrepancies between expectation and
122 performance can be addressed early. In this period especially it may be appropriate
123 for the faculty member and the chair/director to discuss specific objectives which will
124 ensure that the faculty member's contributions to the mission of the university
125 through the areas of teaching, engaging the profession, and university and community
126 service are in line with expectations for tenured members of the university faculty.
127

128 This process is intended to assist faculty members in professional and career
129 development. It is not intended to substitute for or in any way predetermine the
130 outcome of the independent review, discretionary judgment and assessment of merit
131 for tenure and promotion by the department review committee, the dean, the
132 university Tenure and Promotion Committee, and/or the president.
133

134 In the performance review, the definition of expectations for each department and
135 faculty "category" should be clearly stated and agreed upon by faculty and
136 administration. Deans of each college will be expected to ensure that consistency is
137 maintained across departmental definitions of expectations. This process is expected
138 to be collegial and supportive, while at the same time supporting the philosophy of

139 continuous improvement and accountability.

140

141 The categories below are based on an expectation of excellence, i.e., the University of
142 St. Thomas expects its faculty to demonstrate high quality performance in each of the
143 three areas. Based on performance for the year, faculty will be given one of the
144 following ratings.

145

146 The rating system to be used in annual evaluations should consist of five points:

147

1. Exceptional Performance

148

2. Meritorious Performance

149

3. Satisfactory Performance

150

4. Performance Needs Improvement

151

5. Unacceptable Performance

152

153 Teaching, professional engagement, and service shall be scored separately, with a
154 summary score tabulated encompassing the three areas. In addition to the numeric
155 rating, evaluations should include a narrative evaluation of the faculty member's
156 performance.

157

158 The numerical ratings and narrative evaluations for teaching, professional
159 engagement, and service shall be based on the written evaluation criteria and
160 benchmarks for each of the five performance levels jointly established by the faculty
161 of the school/college and dean in a manner that both in procedure and substance is
162 consistent with the charter or bylaws of the college/school. These criteria will also
163 include a description of the method by which the ratings for teaching, professional
164 engagement, and service are aggregated to obtain the overall numerical rating. The
165 rubric will be consistent with the charter or bylaws of the college/school. Department
166 chairs/program directors need to be sensitive to the fact that bias occurs in the
167 evaluation of teaching. Chairs/directors share responsibility with affected faculty
168 members for identifying bias of this sort and for addressing it. Chairs/directors and
169 faculty members should consult if they have reason to suspect that student evaluations
170 of teaching reflect bias based on race, gender, religion, sexual orientation, whether
171 English is the faculty member's first language, or various other extraneous factors.
172 Department chairs/program directors are encouraged to consider whether bias within
173 student evaluations may have affected the faculty member's teaching score and make
174 adjustments if deemed appropriate. In these considerations useful context is provided
175 by the Committee on Teaching Effectiveness Report on Concerns of Racial and
176 Gender Bias in IDEA Results at St. Thomas (February 2019).

177

178 The executive vice president and provost will determine whether the provisions of the
179 college/school evaluation criteria and benchmarks are in accord with written
180 university policy. If a conflict with university policy does not exist, these provision(s)
181 will be certified in writing by the executive vice president and provost, and the
182 provisions will become operational only upon the written certification of the
183 executive vice president and provost. If the executive vice president and provost or
184 president determines that a conflict exists, the executive vice president and provost
185 shall communicate in writing to the dean of that college/school the basis of any

186 objection. The dean and/or a designee will represent the college/school in efforts to
187 resolve any disagreement.

188
189 These changes will take effect in the 2016-17 academic year.

190
191 After reviewing the faculty member’s annual report, the chair/director will prepare
192 and send written comments to the faculty member and should then meet with the
193 faculty member to discuss the report and the comments. The chair/director will
194 forward an evaluation of the faculty member’s performance with a copy of the annual
195 faculty report to the appropriate dean. The evaluation is also reviewed by the
196 executive vice president and provost.

197
198 If the faculty member is dissatisfied with the chair/director recommendation, an
199 appeal may be made to the appropriate dean. If the faculty member is dissatisfied
200 with the dean’s recommendation, an appeal may be made to the executive vice
201 president and provost. If the faculty member is dissatisfied with the decision of the
202 executive vice president and provost, a grievance may be filed.

203
204 **B. Mid-Year Evaluation of Tenure-Track Faculty:**

205 A faculty member with a tenure-track appointment who receives an overall rating of “4” or
206 “5” in the annual evaluation is required to participate in a mid-year evaluation at the end of
207 the fall semester immediately following the evaluation of “4” or “5.” The goal of the mid-
208 year evaluation is to determine the faculty member’s progress toward correction of
209 deficiencies identified in the annual faculty evaluation, to identify progress toward or
210 attainment of the goals outlined in the evaluation, and to provide a basis for determining
211 whether the faculty member should be reappointed.

212
213 **C. Timetable for Mid-Year Evaluation**

214 Faculty members who participate in the mid-year evaluation should submit a mid-year report,
215 setting forth their activities for the fall semester and their progress in achieving their goals in
216 the key areas of teaching, engaging the profession, and service. Results of fall semester
217 student evaluations shall be included in the mid-year-report, which shall be submitted to the
218 chair/director by January 15. The chair/director shall share the report with the Departmental
219 Tenure Committee for review. The chair/director shall discuss the mid-year report with the
220 faculty member, and shall submit a written evaluation to the faculty member and to the
221 appropriate dean by the Friday of the first week of class in spring semester. If the
222 chair/director wishes to recommend that the faculty member be issued a terminal contract,
223 that recommendation should be included with the mid-year evaluation, together with reasons
224 for the recommendation. The faculty member may respond to the report of the chair/director
225 in writing by February 15. After the faculty member’s response is received by the
226 chair/director and the appropriate dean, a meeting shall be held among all three participants
227 (faculty member, chair/director, and dean), to discuss the recommendation. After this
228 discussion, the dean may or may not support the recommendation of the chair/director. In
229 either case the faculty member and chair/director will receive a copy of the recommendation
230 which the dean is sending to the executive vice president and provost.

231

232 **D. Salary Administration**

233 The annual across-the-board salary increases, which become part of base pay, will be
234 awarded to all faculty. (The annual across-the-board salary increases are dependent upon
235 existing funding.) Based on the evaluation, the department chair/program director, in
236 collaboration with each faculty member, shall make recommendations regarding a formal
237 development plan. Faculty will receive a contract on March 1 which includes the annual
238 across-the-board salary increases and any equity adjustments.

239
240 **Timetable**

241
242 July 1
243 Annual faculty reports are due to the chair/director.

244
245 August 1
246 Annual faculty reports and chair/director reviews are due to the appropriate dean.

247
248 September 10
249 Dean forwards all materials along with the dean’s review to the executive vice president and
250 provost.

251
252 **E. Amendments to Chapter 3: Faculty Evaluation**

253 This chapter may be amended at any meeting of the Faculty Senate by a 60 percent majority
254 of those present and voting. Proposed amendments must be submitted in writing to the
255 Executive Committee and distributed with the agenda at least one week prior to the meeting
256 of the Faculty Senate at which action is to be taken. Amendments shall be incorporated into
257 the pertinent section of Chapter 3, unless otherwise specified.

Chapter 4

Tenure/Tenure and Simultaneous Promotion to Associate Professor¹

I. Preamble

Academic freedom and academic tenure are closely associated in higher education. While protecting every member of the faculty of whatever rank or category, academic freedom is especially important for those members of the faculty who are held to the highest standards for teaching, professional engagement, and service. Tenure is an institutional safeguard for academic freedom, preserving freedom of thought and critical inquiry by those faculty members, who accept the reciprocal obligation and professional responsibility to make the fullest use of that freedom through ongoing excellence in teaching, continuing outstanding professional engagement, and effective service to the university and community. Tenured faculty members provide continuity to the university and to its mission.

Tenure is the right, subject to the conditions and provisions of this Faculty Handbook, of a faculty member to automatic reappointments of annual contracts. Tenure thus entails a mutually acknowledged expectation of continuing employment that is terminable only under the extraordinary circumstances specified in this Faculty Handbook.

When tenure is granted at the University of St. Thomas, the appointment may be terminated only for cause, a change in scale or scope of a department/program, or financial exigency. In order that the provision on tenure shall have meaning, no reduction in salary shall be imposed upon a faculty member holding tenure unless the reduction applies equally to all members of that rank, or unless the faculty member voluntarily takes a reduced teaching load with the written approval of the executive vice president and provost, for reason of health, or other causes.

Because tenure constitutes an enduring relationship between the faculty member and the University of St. Thomas, the decision to grant tenure must be made on the basis of the most informed judgment possible, in the best interests of the university, and in harmony with the university's mission. Tenure is awarded only following the rigorous process of review set forth in this chapter and never by length of service. Unless a person is explicitly granted tenure at the time of hiring, the initial appointment to the faculty and the grant of tenure are separate actions.

II. Eligibility

Candidates for tenure must have the Ph.D. or equivalent doctorate from an accredited institution. Exceptions must be agreed upon at the time of initial appointment by the department faculty, department chair/program director, dean, and executive vice president and provost, and specified in the letter of appointment. Specific performance

¹ In the extraordinary case where promotion to professor is being considered simultaneously with tenure, the deadlines and procedures in this chapter govern.

44 achievements equivalent to the earning of the doctorate will be established at the time
45 of initial appointment for faculty who will seek tenure without it. These performance
46 achievements must be agreed upon by the department faculty, department
47 chair/program director, dean, and executive vice president and provost.
48

49 **III. Timing of Tenure Decision**

50 51 **A. Normal Probationary Period for Persons Hired in Tenure-Track** 52 **Appointments**

53
54 Faculty members hired on a tenure track appointment will serve a probationary
55 period before being eligible for tenure. Normally this period is six years (thus,
56 faculty members will normally apply for tenure at the beginning of their sixth year
57 at St. Thomas).

58
59 The maximum number of years in tenure-track status is six years, with the
60 following exceptions:
61

62 **B. Extensions to the Maximum Probationary Period**

63
64 The maximum time on tenure track can be extended:

- 65
66 1. Because of the birth or adoptive placement of a child. A faculty member
67 may extend the tenure clock by one year when an extension is needed due
68 to the birth or the adoptive placement of the faculty member's child. A
69 second one-year extension is permitted if the faculty member has a second
70 child during the probationary period. The maximum amount of time that
71 can be added to the tenure clock under this exception is two years.
72

73 In order to give the university adequate notice of an extension, faculty
74 members must inform their chair/program director, their dean, and the
75 executive vice-president and provost in writing that the faculty member
76 will need an extension by January 31 of the calendar year when the tenure
77 application is due. When a qualifying event occurs after January 31 of the
78 calendar year when the tenure application is due, an extension can be
79 obtained at any time prior to the submission of the tenure dossier to the
80 department tenure committee. In the case when an extension is obtained in
81 the year prior to when the tenure dossier is originally due, if the candidate
82 has already undergone the peer review of teaching that is mandated in the
83 year prior to submission of the dossier or the external review of
84 scholarship, then these will not be repeated but will be included in the
85 dossier when the faculty member applies for tenure in the following year.
86

- 87 2. Because of an extended illness of the faculty member or an immediate
88 family member. A faculty member may extend the tenure clock by one year
89 at the request of a tenure track faculty member in the case of an extended

90 illness of the faculty member or an immediate family member (e.g. parent,
91 spouse, child) requiring significant care from the faculty member.
92 Ordinarily even if multiple such qualifying events occur during a faculty
93 member's probationary period, the maximum amount of time that can be
94 added to the tenure clock under this exception is one year. In extraordinary
95 cases, or as required by law, the executive vice president and provost may
96 grant a tenure-track faculty member additional extensions. All timing
97 requirements related to requesting an extension are as in exceptions granted
98 for the birth or adoptive placement of a child immediately above.
99

- 100 3. Because of the need to finish a doctorate. A faculty member may postpone
101 the start of the tenure clock by one year at the request of a tenure track
102 faculty member who is hired without a doctorate and is in the process of
103 completing degree requirements for a doctorate. This request must be made
104 at the time of hire and must be approved by the chair of the department, the
105 dean of the college/school and the executive vice president and provost. If
106 approved, the letter of appointment will stipulate that the faculty member
107 will apply for tenure at the beginning of the seventh year. Faculty members
108 who take advantage of this exception are still eligible for an extension due
109 to the birth or adoptive placement of a child, or to an extended illness of the
110 faculty member or an immediate family member.
111

112 **C. Shortened Probationary Period**

113
114 The normal probationary period for a tenure-track faculty member may be
115 shortened under the following circumstances.
116

- 117 1. Faculty with prior service at another institution. If a faculty member has
118 served as a tenure-track or tenured faculty member at another institution
119 before being hired by St. Thomas, that faculty member may be hired with
120 one or more years of credit toward tenure and, therefore, have a shortened
121 probationary period. The specific number of years of credit toward tenure
122 will be negotiated at the time of hire and indicated in the faculty member's
123 initial offer letter. The letter will also indicate the date for triennial review
124 and tenure review.
125

126 A tenure-track faculty member who has been approved for a shortened
127 probationary period may at a later time request that the length of the
128 shortened probationary period be extended up to, but not to
129 exceed, the normal probationary period of six years, with the addition of
130 any extensions approved in accordance with Section III.B. All such
131 requests must be approved by the department chair, the dean of the college
132 or school, and the executive vice president and provost. If approved, the
133 executive vice president and provost will send a written memo to the
134 faculty member, department chair and dean specifying the new deadline for
135 the tenure review.

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2. A faculty member may apply for tenure with a shortened probationary period. Shortening the probationary period from that agreed upon in the initial appointment shall be considered unusual and is advisable only when the faculty member’s record of teaching, scholarship, and service demonstrates that the full probationary period is unnecessary. A record of peer-reviewed scholarship that meets or even exceeds the university-wide minimum for tenure is not sufficient by itself to warrant a shortened probationary period. Before seeking to shorten the probationary period, the faculty member must consult with the department chair/program director (in units with chairs or program directors), the dean of the college or school, and the executive vice president and provost, who shall advise the faculty member of the wisdom of an early tenure application and warn the faculty member of the possible risks. The advice of the chair, dean, or provost shall pertain only to the wisdom and risks of shortening the probationary period, and by definition, cannot express any conclusions about the merits of an application for tenure that has not yet been made. Such advice shall not be binding upon the department tenure committee, the Committee on Tenure and Promotion, or the president of the university (who in every case makes the final determination).

If, after consulting with the department chair/program director (in units with chairs or program directors), the dean of the college or school, and the executive vice president and provost, the faculty member elects to shorten their probationary period, the faculty member must submit a written memo to their department chair/program director and dean by January 31 of the academic year prior to the year in which they will go up for tenure. A faculty member who has given notice of their election to shorten their probationary period then has until May 31 to withdraw this election and return to the regular probationary period. The withdrawal of the election must be communicated in writing to the department chair/program director and dean not later than May 31.

A faculty member may apply for tenure once. Once the tenure dossier has been submitted to the department tenure committee, it may not be withdrawn and resubmitted in a later year.

D. Persons Granted Tenure at the Time of Hiring

In appropriate cases, a person may be granted tenure at the time of hiring. Requests that a candidate be considered for tenure at the time of hiring must be supported by the hiring department chair, the dean of the college/school, and the executive vice president and provost. If approved, the person will be given an expedited tenure review. The individual’s file will be reviewed by the Tenure and Promotion Committee based on the written evaluations from the department tenure committee of the proposed department, and separately from the chair of the proposed

182 department and the dean of the proposed college/school just as for any internal
183 applicant for tenure. Based upon its review, the Tenure and Promotion Committee
184 will make a recommendation to the president. The president will consider the
185 evidence and the recommendations of the Tenure and Promotion Committee and
186 will authorize faculty rank and tenure status as the president deems appropriate. It
187 is important that this process be completed in a timely way, sensitive to the need of
188 successfully completing the search process. No promise or representation of tenure
189 may be made by any individual at UST prior to completion of these steps. If tenure
190 is not offered at the time of hiring, the individual may still be hired as a tenure-track
191 faculty member.

193 **IV. Evaluation During the Probationary Period**

194 **A. Peer Reviews of Teaching**

- 195
- 196 1. Tenure-track faculty must submit an Annual Report as described in Faculty
197 Evaluation (Chapter 3). In addition, as part of the tenure process, tenure-
198 track faculty members are also required to submit an annual peer review of
199 their teaching.
200

201
202 Peer review by members of one's discipline or closely-related field of expertise
203 can provide some of the most valuable feedback to a teacher and is thus required
204 for tenure and promotion. Peer review consists of an examination of course
205 syllabi, selected materials, and instructional observations (e.g., classroom visits,
206 laboratory observations, online course observations) for knowledge, accuracy,
207 appropriateness and command of content, planning and organization, use of
208 teaching strategies that create a learning environment, clarity and effectiveness
209 of communication. Reviewers will also identify strengths and areas for
210 continuing development.

211
212 In consultation with the chair/director, the faculty member may ask any member
213 of the faculty member's discipline or closely-related field of expertise within the
214 university to be a reviewer. In special circumstances, reviewers external to the
215 university may be selected with approval of the chair/director. (No university
216 funding will be available for reviewers.) If the faculty member is the
217 chair/program director, consultation regarding peer reviewers will take place
218 with the dean. The dean/chair/director may not be a reviewer.
219

220 **2. Procedures and Criteria for Peer Reviews of Teaching**

221 The following are minimum guidelines for these visits:

- 222 a. Prior to the first visitation, the reviewer will meet with the faculty
223 member to discuss the syllabus, text, and general philosophy of what
224 the faculty member is trying to accomplish in the course, as well as
225 the goals of the specific class session to be observed.
- 226 b. After visiting the class session, the reviewer will again meet with the
227 faculty member to discuss the class session.

- 228 c. If a follow-up visit to the class is to be made later in the semester, the
229 reviewer will then again meet with the faculty member.
230 d. The reviewer will give a written report of the entire review process to
231 the dean/chair/director, with a copy to the faculty member. The
232 faculty member has the option of writing a response to the evaluation.
233 Copies of any response must be sent to the reviewer and the
234 dean/chair/director.
235 e. Because the intent and goal of these reviews is continued
236 improvement, the written report should address at least the following
237 criteria:
- 238 • Knowledge, accuracy, appropriateness and command of content;
 - 239 • Planning and organization;
 - 240 • Use of teaching strategies that create a learning environment;
 - 241 • Clarity and effectiveness of communication;
 - 242 • Appropriateness of syllabus and materials;
 - 243 • Strengths and areas for continuing development;
 - 244 • Departments/programs are encouraged to develop their own processes for
245 peer review following the guidelines provided herein.
246

247 **B. Triennial Evaluations**

248

249 In addition to the annual review, faculty on tenure-track appointments will receive
250 an in-depth performance review every three years. During the normal tenure-track
251 period of six years, the faculty person will be reviewed in the third year, with the
252 review in the sixth year becoming the tenure decision. If the sixth year is not the
253 tenure year, a triennial review will take place. If the tenure-decision year and the
254 triennial-review year coincide, the process and timetable for the tenure year takes
255 precedence.
256

257 1. Preparing the Portfolio

258 The faculty member submits a portfolio for consideration by September 15 of the
259 third year. The contents of the triennial evaluation portfolio are identical to that for
260 a tenure application, with the understanding that the standard of evaluation is
261 progress toward tenure and with the following exceptions:

- 262 a. The three-person teaching review panel letter.
- 263 b. The external reviews of scholarship.
264

265 2. Review of the Triennial Portfolio

- 266 a. Review by the department tenure and promotion committee:
267 September 15 to November 14

268 The portfolio is considered by the department tenure and promotion
269 committee. The committee writes an evaluation of the candidate's
270 progress. A copy of the evaluation is placed in the portfolio. The
271 faculty member is also sent a copy.

- 272 b. Review by the department chair/program director: November 15 to
273 December 20

274 The chair/director meets with the faculty member to review progress.
275 The chair then writes an evaluation narrative that is placed in the
276 portfolio and a copy is sent to the faculty member.

- 277 c. Review by the dean: December 21 to March 1
278 The dean writes an evaluation narrative that is placed in the portfolio.
279 A copy is sent to the faculty member.
- 280 d. Review by the executive vice president and provost: After March 1
281 The executive vice president and provost meets with the faculty
282 member between March 1 and September 30 to review the portfolio
283 and to discuss the faculty member's progress. An evaluation
284 narrative is sent to the candidate. This is also added to the portfolio
285 and to the faculty member's personnel file.

286
287 For all of the above narrative reviews, the faculty member has a right to comment
288 on the review and have such comment added to the portfolio and personnel file.
289

290 **V. The Tenure Application**

291
292 Tenure-track faculty members applying for tenure must compile a variety of types of
293 evidence to demonstrate that they have met requirements for tenure. In many respects,
294 the tenure portfolio is similar to the triennial review portfolio with two significant
295 differences: a three-person peer review panel and external review of professional
296 engagement. Both of these should begin in the year prior to the application.
297

298 The following processes apply to persons who are applying for tenure or for tenure and
299 promotion simultaneously.
300

301 **A. Preparing the Portfolio Due September 15 of the Tenure Application Year**

302
303 Candidates for tenure should prepare an application portfolio that is submitted to
304 the department tenure committee by September 15 of the tenure application year.
305 The first page of the portfolio is the official tenure application form obtained from
306 the office of the executive vice president and provost and completed by the
307 candidate. The following materials are required as part of the tenure portfolio:

- 308 1. An updated curriculum vitae;
- 309 2. A copy of the initial letter of appointment, with the salary redacted, as well
310 as copies of any modifications to the initial appointment (as applicable);
- 311 3. A copy of the college or school document that describes requirements for
312 professional engagement above university-wide minimum standards and
313 the definition (to the greatest degree possible) of "substantive" for that
314 college, school, department, or program (effective 9/1/2013);
- 315 4. Personal statement on contribution to the mission of the university through
316 teaching, engaging the profession, and service;
- 317 5. Teaching evidence (see below);
- 318 6. Engaging the profession evidence (see below);
- 319 7. University, professional, and community service evidence (see below);

- 320 8. Information from annual evaluations to include the faculty member's
321 annual reports and department chair/program director's performance
322 review, with changes by the dean, if any;
323 9. Information from triennial review(s) to include the department tenure
324 committee's letter, the department chair/program director's letter, the
325 dean's letter, the executive vice president and provost's letter, and
326 candidate's comments, if any;
327 10. Candidate's comments on any of the above reviews – candidates may also
328 add comments on the department tenure committee's letter, the
329 chair/director's letter, and the dean's letter, as they become available
330 (optional).

331
332 Material in the portfolio should demonstrate how faculty have met the following
333 criteria in the areas of teaching, engaging the profession and service.

334 **B. Teaching**

335
336
337 At the University of St. Thomas, teaching is the most important criterion in faculty
338 evaluation.

339
340 Effective teaching presumes currency, breadth, and depth of knowledge. In
341 addition, St. Thomas expects its faculty to communicate information, ideas, and
342 values by using teaching methods and techniques that recognize a variety of
343 learning styles, cultural backgrounds, and instructional settings. Whenever possible,
344 faculty should approach teaching with an intent to demonstrate the interrelatedness
345 of disciplines and of learning. Instructional and curricular innovations that are
346 directed to these goals should be developed. Likewise, faculty should provide ways
347 for students to become actively engaged in the work of the discipline(s).
348 Recognizing that much learning goes on outside of the classroom, faculty should
349 also be effective and skillful formal and informal advisors to students.

350
351 The following pieces of evidence must be submitted to demonstrate effectiveness in
352 teaching:

353 **1. Review of teaching by three-peer panel**

354
355 In the year prior to submission of a dossier for tenure or promotion, the teaching
356 of the faculty candidate shall be reviewed by three peer reviewers within the
357 university. For candidates who will be considered for tenure or promotion in
358 academic year 2014-15 and subsequent years, the members of the three-peer
359 panel to review teaching be faculty members who are tenured or have received
360 final approval for tenure by the President under Chapter 4.V.F.5. The candidate
361 shall select the first reviewer. The department Tenure or Review Committee or
362 the department chair, as stipulated in the department's charter, shall select the
363 second. The dean shall select the third reviewer. The criteria for these peer
364 reviews will be the same as those used in the annual teaching review process,
365 including direct observation of teaching. Based on these criteria, the faculty

366 reviewers will write a single letter signed by all reviewers, which reflects the
367 observations each of them has made and which becomes part of the candidate's
368 dossier. In special circumstances, reviewers external to the university may be
369 selected with approval of the chair and dean. Neither the chair nor the dean may
370 be a reviewer.

371 a. Procedures and criteria for peer review

372 In consultation with the faculty member, the number of instructional
373 observations will be determined by the peer reviewer. The following
374 are minimum guidelines for these visits and apply to all peer
375 reviewers, including those on a three-person review panel.
376

377
378 Prior to the first instructional observation, each reviewer will meet
379 with the faculty member to discuss the syllabus, text, and general
380 philosophy of what the faculty member is trying to accomplish in the
381 course, as well as the goals of the specific class session to be
382 observed. The reviewers of the three-person team may visit the same
383 or different class sessions.

- 384 i. After visiting the class session, each reviewer will again meet with the
385 faculty member to discuss the class session.
386 ii. If a follow-up visit to the class is to be made later in the semester, each
387 reviewer will then again meet with the faculty member.
388 iii. The reviewer(s) will provide a written report of the entire review process
389 for inclusion in the tenure portfolio, with a copy to the faculty member.
390 Members of a three-person panel will submit a single report signed by all
391 reviewers. The faculty candidate may provide a written response (to any
392 report), which will be included in the candidate's portfolio. Copies of any
393 response must be sent to the reviewer(s). The chair of the departmental
394 tenure and promotion committee is responsible for adding the response to
395 the dossier before it is forwarded to the dean/director/chair. Reviewers
396 will not provide a response to the candidate's response.
397 iv. Because the intent and goal of these reviews is continued improvement,
398 the written report should address at least the following criteria:
399 a) Knowledge, accuracy, appropriateness and command of content;
400 b) Planning and organization;
401 c) Use of teaching strategies that create a learning environment;
402 d) Clarity and effectiveness of communication;
403 e) Appropriateness of syllabus and materials;
404 f) Strengths and areas for continuing development.
405 v. Departments/programs may develop their own additional processes for
406 peer review as long as they do not violate the guidelines provided herein.
407 Any additional processes required by a department/program must be
408 provided in writing to the faculty member together with the letter of
409 appointment.
410

411 **2. Self-evaluation**

412 Self-Evaluation in a personal statement which reflects one's educational
413 philosophy and how it has been implemented in the area of teaching,
414 including instructional and curricular innovations.

415

416 **3. Materials collected in previous years:**

- 417 a. A minimum of one individual peer review of teaching per year
418 (except the year immediately prior to the tenure application, when
419 the three-peer panel review takes place);
- 420 b. Course syllabi and selected materials for each course taught;
- 421 c. All IDEA reports from courses taught at St. Thomas, including
422 summative, quantitative, and qualitative results. Applicants who have
423 used the diagnostic or "long" IDEA form may choose to redact the
424 portion of the report labelled "Formative," and tenure committees,
425 chairs, and deans are required to ignore this portion of the report
426 even if it is not redacted;
- 427 d. Any of the following may also be included:
- 428 i. Student/peer evaluation of advising
- 429 ii. Data on students' achievement of instructional goals
- 430 iii. Internal/External peer review of student projects or papers
- 431 iv. Feedback from former students and graduates from St. Thomas
- 432 v. Contributions to symposia on pedagogy

433

434 **C. Engaging the Profession**

435

436 Since the primary professional responsibility of the St. Thomas faculty member is
437 the creation and enrichment of the university's learning community, it follows that a
438 corollary expectation is engagement with the discipline. The vital center of any
439 university is the expression of the life of the mind that results from engaging the
440 profession. That engagement is the source of the community's intellectual vitality
441 and connects it with the national and international world of scholarship. That
442 connection means, too, that it is from peers at St. Thomas and at institutions around
443 the world that we receive evaluation of our achievements as teacher/scholars.

444

445 In a university as diverse as St. Thomas, the expressions of the intellect will occur
446 in a variety of ways and formats. While recognizing and accepting that diversity,
447 the faculty of St. Thomas expects its colleagues to provide documentation of their
448 achievements as teacher/scholars from peers in the discipline. Faculty must
449 maintain a record of professional engagement, as enumerated below that is
450 appropriate to the nature of the discipline, the level of their program, and the level
451 of support. A continuing scholarly activity agenda (both disciplinary and
452 interdisciplinary) can be manifested in a variety of ways.

453

454 **1. The candidate should document peer review of at least two pieces of
455 substantive work from the following:**

- 456 a. Scholarly activity (basic or applied) that results in a refereed
457 publication. "Refereed" is used to indicate that manuscripts submitted

- 458 for publication are examined both by an editor and one or more
459 specialists in the individual field before approval is given to publish.
460 For purposes of documentation, include a copy of the published
461 scholarly activity in the portfolio.
- 462 b. Presentation of scholarly activity results at a refereed professional
463 conference or seminar. For purposes of documentation, include a
464 copy of the conference proceedings that indicate your presentation
465 plus your presentation proposal (or paper if available) in the
466 portfolio.
 - 467 c. Scholarly activity on issues of pedagogy that are published or
468 presented at a conference or seminar that competitively reviews
469 proposals. For purposes of documentation, include a copy of the
470 conference proceedings that indicate your presentation plus your
471 presentation proposal (or paper if available) in the portfolio.
 - 472 d. Artistic creation or performance in one's discipline that is reviewed by
473 peers, including persons from outside the institution. For purposes of
474 documentation, include written reviews by external peers of artistic
475 creations or performances in the portfolio.
 - 476 e. Successful preparation and completion of competitive external grant
477 proposals in the discipline. For purposes of documentation, include a
478 copy of the grant proposal that was submitted and funded in the
479 portfolio.
 - 480 f. Professional practice or consulting that is documented as enriching
481 the discipline and as continuing one's professional development. This
482 must be agreed upon in writing by the faculty member, chair/director,
483 dean, and executive vice president and provost. For purposes of
484 documentation, include a copy of the initial request from the client for
485 the practice/consultation, a copy of the peer evaluation of its outcome,
486 and evidence of its qualitative equivalence to expectations in other
487 categories of this criterion. If it cannot be documented, it cannot be
488 used to meet this criterion.
 - 489 g. Other scholarly activity (e.g. textbook, case study, software, member
490 of editorial board of scholarly journal, substantive leadership in
491 professional associations) deemed appropriate by the department
492 chair/program director that has been evaluated by external peers.

493
494 A college or school (but not a department or program) may require more
495 than two substantive pieces. Colleges, schools, departments, or programs
496 should define (to the greatest degree possible) "substantive" as appropriate
497 to that unit. Guidelines describing this will be provided to each tenure-track
498 faculty in writing together with the letter of appointment and will be
499 included in the dossier for tenure/tenure and promotion to associate
500 professor; reference to these will be made by the departmental tenure and
501 promotion committee, the chair, and the dean. Additional standards beyond
502 university-wide minimum standards and the definition of what is
503 considered "substantive" for tenure or promotion, or changes to existing

504 standards, must be approved by 2/3 of the faculty in the school or college
505 (defined as those who currently qualify to serve on the departmental tenure
506 and promotion committee at the appropriate level of review and department
507 chairs who otherwise qualify to serve). In addition, these must be approved
508 by the dean of that college or school as well as the executive vice president
509 and provost. (effective 9/1/2013)

510

511

2. External reviews

512

In order to better collect information on the quality of the candidate's
513 contributions to the professional field, the review committee shall solicit at
514 least four letters from scholars who are experienced in the candidate's field.
515 Two of these letters shall be solicited from a list of at least six names
516 submitted by the candidate; the other two letters shall be solicited from a
517 list compiled by the review committee. The candidate may also list the
518 names of up to three scholars who should not be solicited, due to the
519 candidate's belief that they would not be able to provide an objective
520 evaluation of the candidate's work.

521

522

The chair of the departmental tenure and promotion committee will begin
523 to solicit these letters during April prior to the application year with the
524 intent of receiving them by September 1 of the application year. The form
525 of the solicitation letter will be approved by the dean of the school or
526 college, and will be provided to the candidate (without names and
527 addresses of those solicited). Each evaluator will be asked to give an
528 independent assessment of the candidate's work. This assessment should
529 include a discussion of the quality of the candidate's work as well as the
530 potential for continued professional engagement. Two to five items from
531 one or more of the categories above, and believed by the candidate to be
532 the most substantive of the candidate's professional engagement, should be
533 provided to the reviewers for applications for tenure and/or promotion to
534 associate, and three to five for applications to full professor. The
535 candidate's curriculum vitae will also be provided. Additional materials
536 will be provided by the department chair to the reviewer upon request.
537 These confidential assessments will be placed in the candidate's file.

538

539

The scholars asked to submit letters of review may not hold appointments
540 at the University of St. Thomas. Nor may they have any direct connection
541 with the candidate. "Direct connection" is typically defined as having ever
542 had a faculty or student relationship with the candidate, having ever been a
543 co-author with the candidate, or any other professional or personal
544 relationship of comparable closeness. Faculty who have served on a
545 professional committee or conference panel with the candidate would be
546 appropriate external reviewers. If there is doubt about a given relationship
547 between the candidate and a prospective reviewer, a determination on
548 suitability will be made by the review committee.

549

550 External peer reviewers will not be asked to make a direct recommendation
551 as to whether tenure or promotion at the University of St. Thomas should
552 be granted. It will instead be the job of the departmental review committee
553 to interpret and place in context the external letters of evaluation.
554 Evaluations of suitability for tenure or promotion are made within the
555 University of St. Thomas, with reference to the external letters and in
556 accordance with the standards of the university as well as additional
557 standards, if any, set by the college or school.
558

559 In order to protect the confidentiality of external peer reviewers to the
560 greatest extent possible, the assessment and recommendations written by
561 the departmental review committee, by the department chair, by the dean,
562 and by the Tenure and Promotion Committee will make no reference by
563 name to the authors of the external letters of evaluation, though they will
564 refer to the substance of those assessments in coming to their own
565 conclusions.
566

567 **D. University, Professional, and Community Service**

568

569 St. Thomas faculty are members of the university community and of communities
570 beyond the boundaries of the campuses. As members, they have responsibilities to
571 each, responsibilities that result from a particular discipline, but also from the
572 special commitment to people that motivates them as educators. Because the
573 faculty of St. Thomas expects those who are part of it to use their energy,
574 knowledge and values to enrich the quality of life in their communities, it includes
575 evaluation of performance in them among the criteria of professional achievement.
576

577 Since the possibilities for service in the internal and external communities are so
578 diverse, many unknown until a need arises or we are called upon to perform them,
579 it is understood that the following is only a partial list of how this criterion of
580 performance might be met. Documentation of the level and quality of performance
581 should be presented for those items in which significant effort was expended.
582

583 **1. University Service**

584 Administrative responsibility as a department chair, program director, or other
585 directorship. For purposes of documentation, include in the portfolio a
586 description of administrative responsibilities and evidence of effectiveness.

587 Other responsibilities such as:

- 588 a. Officers of university governance units (such as faculty chair/secretary, chair
589 of standing committee, and the like)
- 590 b. Departmental and university committee work
- 591 c. Participation in the recruitment, development, student life, and liberal
592 education programs of the university
- 593 d. Mentoring other faculty

594 e. Other areas of university and community service as agreed upon by the
595 faculty member, chair/director, dean, and executive vice president and
596 provost

597

598 **2. Professional Service**

599 a. Service to professional associations

600 b. Speaking engagements using professional expertise for a general
601 audience

602 c. Support of learning at other levels of the educational enterprise

603 d. Community outreach

604 e. Professional practice or consulting which does not meet the criterion
605 for engaging the profession

606

607 **3. Community Service**

608 a. Participation in community organizations

609 b. Volunteer activities

610

611 In order to better collect information on the quality of service rendered to the
612 department and to the university by a candidate, the review committee may ask
613 committee chairs (or, in the absence of the chair, another member of the committee)
614 on which the candidate has served in the last four years to submit a letter describing
615 the quality of the candidate's service on that committee. Quality shall be judged by
616 impact, which will mean (at a minimum) attending meetings and making a
617 contribution. To document other types of service, including service outside of the
618 university itself (where such service has been agreed as being of relevance to the
619 case for tenure or promotion), letters on the quality of service may be solicited by
620 the candidate, or by the review committee from other individuals named by the
621 candidate. In the assessment of department chairs, the dean or director of the
622 academic unit will be solicited for comment on the quality of the candidate's
623 service in that role.

624

625 **VI. Tenure in Relation to Promotion to Associate Professor**

626

627 In cases of tenure and simultaneous promotion to associate professor, if the candidate has
628 been at the assistant professor level for the required number of years, the outcome of the
629 tenure decision will also be the outcome of the decision about promotion to associate
630 professor. However, if the doctorate was achieved during the tenure probation period, the
631 required six years at the rank of assistant professor will not have been completed. If the
632 six years are completed within three years of receiving tenure, no further documentation
633 will be needed for the promotion to associate professor. At the faculty member's
634 initiative, the chair/director will notify the Tenure and Promotion Committee that
635 promotion should be granted. If the length of time after receiving tenure is more than
636 three years, the regular procedure for promotion will be necessary.

637

638 **VII. Reviews of the Tenure Application**

639

640 **A. Recommendation of the Department Tenure and Promotion Committee,**
641 **September 15 to October 31**

642
643 **1. Composition**

644 The department tenure and promotion committee consists of all members other
645 than the department chair (or the individual who will complete the department
646 chair’s recommendation as a part of the process) with primary appointments in the
647 department/program who are tenured at St. Thomas. There should be a minimum
648 of three members on the committee. If the department/program does not have a
649 sufficient number of members so qualified to sit on the committee, the remainder
650 of the committee shall be appointed by the appropriate dean in consultation with
651 the qualified department/program members by inviting qualified faculty from
652 allied disciplines or from other institutions. At least one member of the committee
653 must be from the discipline of the candidate. The committee chair (who must be a
654 University of St. Thomas faculty member) will be elected from the members of
655 the committee but may not be the department chair/program director. Each
656 member of the committee, including the committee chair, shall have one vote. A
657 chair of a department may participate in a department promotion committee
658 meeting only if invited to attend by the committee in order to provide information
659 needed by the members. The department chair will not vote at the meeting nor be
660 present for the vote by the committee. For purposes Section F of this chapter,
661 “chair of a department” or “department chair” or “program director” means that
662 person who will prepare a recommendation on a candidate for tenure.
663

664 **2. Duties**

665 It is the duty and responsibility of all members of the departmental tenure and
666 promotion committee to review each candidate’s annual reports, and other
667 portfolio documentation provided by the candidate prior to the departmental
668 tenure and promotion committee meeting. In addition, the committee has the
669 primary responsibility for ensuring that the evidence the candidate has submitted
670 is both appropriate and sufficient.
671

672 After members have discussed the evidence that the candidate has submitted in all
673 three categories, each member will decide if the candidate has met the criteria for
674 tenure. The committee should also discuss and comment on the collegiality of the
675 candidate. Members who have not reviewed the candidate’s portfolio shall not
676 vote on that candidate’s tenure. The decision may be recorded in a secret ballot.
677 The committee chair will immediately count the votes and communicate the
678 results to the committee. If the candidate for tenure has been at the assistant
679 professor level for the required number of years, then the tenure decision of the
680 tenure committee also serves as the decision regarding promotion to associate
681 professor.
682

683 The committee chair will ask a member of the committee to draft a report. The
684 report should, at a minimum, discuss whether and how the candidate has met the
685 criteria for tenure that are included in the rank and tenure provisions. If the

686 committee votes against recommending tenure, the report should include, at a
687 minimum, the specific criteria the committee believes the candidate has not met.
688 If there are minority views with respect to the candidate's fitness for tenure, these
689 must be reflected in the report, either by an acknowledgment in the main report
690 that summarizes those minority views or, at the option of the minority, by a
691 dissenting minority opinion that is attached to the main report. No separate
692 statement of views, by either faculty in the majority or in the minority, may be
693 submitted separate from the departmental tenure and promotion committee report.
694 The report would then be circulated to members of the committee. The report
695 must include the vote tally and be signed by the committee chair.

697 When the report has been approved by the departmental tenure and promotion
698 committee, one copy is sent to the candidate and another copy is placed in the
699 candidate's portfolio.

701 All deliberations of the departmental tenure and promotion committee are
702 confidential.

703
704 **B. Recommendation of the Department Chair/Program Director, November**
705 **1 to 30**

706
707 The recommendation of the chair/director should comment not only upon the
708 candidate's contribution to the mission of the university through teaching,
709 professional engagement, and service, but also upon the specific contributions that the
710 candidate has made to the department and to the institution. It should also comment
711 on the department committee's report.

712
713 After writing the recommendation and sending a copy to the candidate, the
714 chair/director shall meet with the candidate to discuss the report of the departmental
715 tenure committee and the chair's/director's recommendation. A copy of the
716 chair's/director's report is placed in the candidate's portfolio. (If the candidate is the
717 chair/director, this step does not occur.)

718
719 **C. Recommendation of the Dean, December 1 to January 15**

720
721 The dean reviews the candidate's entire portfolio and prepares comments to be sent to
722 the executive vice president and provost. One copy of these comments is sent to the
723 candidate, and another copy is placed in the candidate's portfolio. The portfolio is
724 forwarded to the executive vice president and provost, who will present it to the
725 Tenure and Promotion Committee.

726
727 **D. Recommendation of the Tenure and Promotion Committee, January 16 to**
728 **February 28**

729
730 Members of the Tenure and Promotion Committee have access to the candidate's
731 portfolio during this period. At the meeting of the Tenure and Promotion Committee,

732 the dean and the executive vice president and provost review the candidate’s portfolio
733 with members of the Committee. The Tenure and Promotion Committee may call in
734 the candidate for discussion. For more on the procedures of Tenure and Promotion
735 Committee, see Chapter 1.IV.B.4.
736

E. Decision of the President

737
738
739 After due consideration of the application of the candidates for tenure (and promotion
740 if applicable), the Tenure and Promotion Committee will make a recommendation to
741 the president of the university for consideration. The president makes the final tenure
742 and promotion decision after considering this advice.
743

F. Candidate’s Rights to Comment and Appeal

744
745
746 For all of the above evaluative reviews, the candidate has the right to comment on the
747 review and have such comment added to the portfolio and personnel files. The
748 recommendation of the Tenure and Promotion Committee and the president may be
749 appealed through the established faculty appeal/grievance procedure described in
750 Chapter 7.
751

G. Confidentiality and Accountability of Participants in Review Process

752
753
754 To protect the candidate’s dignity, confidentiality as to persons outside the tenure
755 review process should be protected to the greatest extent reasonably possible by all
756 those participating in the review process, including faculty members observing
757 classes, serving on departmental tenure committees, and serving on the university
758 Tenure and Promotion Committee; department chairs/program directors; deans; staff
759 members preparing and submitting evaluative documents; administrators in the
760 Academic Affairs office; and the President and the President’s staff. However, a
761 breach of confidentiality shall not invalidate the proceedings. To ensure
762 accountability among those participating in the process, the faculty members serving
763 on the departmental tenure committee, the chair/program director, the dean, the
764 executive vice president and provost, and the president shall have access to the
765 candidate’s portfolio; the external review letters of professional engagement; the
766 peer-panel review of teaching; the written reports of the departmental tenure
767 committee, the chair, and the dean; the candidate’s written responses to any report;
768 and the recommendation outcomes at each stage of the process.
769

770 Should a tenure review become a subject of litigation, the participants should be
771 aware that the university requirement of confidentiality may not be a basis for
772 resisting a lawful subpoena, court order, or other compulsory legal process seeking
773 information. While those who are presented with a lawful subpoena, court order, or
774 other compulsory legal process for information may inform the executive vice-
775 president and provost so that university legal counsel may confirm its authenticity and
776 legitimacy or raise objections, the recipient otherwise may be legally obliged to
777 comply. However, other than responding to a lawful subpoena, court order, or other

778 compulsory legal process, the person should maintain discretion and confidentiality
779 with respect to the matter.
780

781 **VIII. Process for Requesting Reconsideration of a Denial of Tenure Based on** 782 **New Evidence**

783
784 Within thirty (30) calendar days of the notification of denial of tenure or tenure or
785 simultaneous promotion to associate professor, a faculty candidate may seek
786 reconsideration of the decision based on new evidence. Requests for reconsideration of
787 denial of tenure or simultaneous promotion based on new evidence will be considered
788 in accordance with the following provisions.
789

790 **A. Definition of New Evidence**

791
792 A decision whether to grant tenure or simultaneous promotion ordinarily is based
793 upon the evidence about the faculty candidate’s teaching, professional engagement,
794 and service as of the date that the faculty candidate’s portfolio is completed pursuant
795 to the procedures in this Chapter 4. For purposes of seeking reconsideration under this
796 Chapter 4.VIII, “new evidence” is information not previously included in the faculty
797 candidate’s portfolio and that is likely to have been significant in the original
798 evaluation of the candidate. It should pertain to the candidate’s teaching, professional
799 engagement, or service from the time period prior to February 1. Information about
800 faculty teaching, professional engagement, or service that has been undertaken or
801 accomplished by the faculty member after the date specified is not a basis for
802 reconsideration of the denial of tenure or simultaneous promotion.
803

804 **B. Submission of Request for Reconsideration**

805
806 The faculty candidate must send a written request for reconsideration to the chair of
807 the University Tenure and Promotion Committee, with a copy to the president, so that
808 it is received no later than thirty (30) calendar days following written notice to the
809 faculty candidate of the university’s decision to deny tenure or simultaneous
810 promotion to the candidate. The request for reconsideration should contain a
811 description of the new evidence, with all supporting documentation the candidate
812 wishes to be considered.
813

814 **C. Distribution of New Evidence; Solicitation of Responses and Scheduling of** 815 **Reconsideration Hearing**

816
817 The chair of the University Tenure and Promotion Committee will promptly:
818 1. Distribute (or make available on a shared, secure site) the request and supporting
819 documentation to the other members of the University Tenure and Promotion
820 Committee;

- 821 2. Schedule a meeting of the University Tenure and Promotion Committee within
822 forty-five (45) calendar days following receipt of the request for reconsideration
823 to review the faculty candidate’s revised portfolio and consider the new evidence;
824 3. Distribute (or make available on a shared, secure site) the request and new
825 evidence to the department tenure and promotion committee, the department
826 chair/program director, and the dean, and request each of them to provide a
827 written response to the request in light of the new evidence, within thirty (30)
828 calendar days following receipt of the request for their response; and
829 4. Distribute (or make available on a shared, secure site) the responses of the
830 department tenure and promotion committee, the department chair/program
831 director, and the dean to the University Tenure and Promotion Committee, the
832 candidate and the president, so they may be reviewed prior to the reconsideration
833 hearing.

834
835 **D. Meeting of the University Tenure and Promotion Committee**
836

837 The faculty candidate will be invited to meet informally with the University Tenure
838 and Promotion Committee prior to its reconsideration of the candidate’s portfolio, to
839 answer any questions from the Committee. The meeting with the faculty candidate
840 will not be transcribed or otherwise recorded. The University Tenure and Promotion
841 Committee will then discuss the situation and present a recommendation in writing to
842 the president, within ten (10) business days following the reconsideration hearing.
843

844 **E. President’s Decision**
845

846 The president, after receiving the recommendation of the University Tenure and
847 Promotion Committee, will communicate a decision in writing to the faculty member
848 within ten (10) business days, with a copy to the provost.
849

850 **F. Opportunity to Submit a Grievance Under Other Provisions of This Policy**
851

852 A faculty candidate whose request for reconsideration does not result in the grant of
853 tenure or simultaneous promotion may submit a grievance based on the denial of
854 tenure or simultaneous promotion, in accordance with the other provisions of this
855 policy.
856

857 **IX. Amendments to Chapter 4: Tenure/Tenure and Simultaneous**
858 **Promotion to Associate Professor**
859

860 This chapter may be amended at any meeting of the Faculty Senate by a 60 percent
861 majority of those present and voting. Proposed amendments must be submitted in writing
862 to the Executive Committee and distributed with the agenda at least one week prior to the
863 meeting of the Faculty Senate at which action is to be taken. Amendments shall be
864 incorporated into the pertinent section of Chapter 4, unless otherwise specified.
865

Chapter 5

Promotion

Applications for promotions in rank are normally initiated by the individual faculty member.

I. Eligibility

A. Eligibility for Promotion to Associate Professor

1. Under ordinary circumstances, a faculty person applying for tenure will also be eligible for promotion to associate professor at the same time. If the candidate for tenure has been at the assistant professor level for the required number of years, then the tenure decision also serves as the decision regarding promotion to associate professor.
2. If the candidate for tenure has not been at the assistant professor level for the number of years ordinarily required, the candidate may request that the tenure decision serve as the decision regarding promotion to associate professor. The department tenure and promotion committee, the department chair, the dean of the college or school, and the Tenure and Promotion Committee will consider any such request and make a recommendation on promotion to associate professor. The president makes the final decision regarding promotion to associate professor.
3. If the candidate for tenure has not been at the assistant professor level for the number of years ordinarily required, and is not granted promotion when tenure is granted, the following will apply: upon the initiative of the faculty member, the chair/director of the member's department/program and dean may recommend to the Tenure and Promotion Committee the approval of promotion to the higher rank in any year thereafter. The president makes the final decision regarding promotion to associate professor.

B. Eligibility for Promotion to Professor

To be eligible for promotion to professor, a faculty member must have the Ph.D. or equivalent doctorate from an accredited institution and ordinarily six years as associate professor or its academic equivalent. The number of years should normally be years in rank in a tenured appointment at the University of St. Thomas. A faculty member with four or five years as associate professor or its academic equivalent, but otherwise meeting the standards, may apply for early promotion based on his or her outstanding record in research, teaching and service.

Notice of the intention to apply for promotion to the rank of professor must be given in writing by the candidate to the department chair/program director (or the

45 dean, if there is no department chair or program director) according to the
46 following deadlines: for Fall semester consideration by the Tenure and Promotion
47 Committee, notice must be given by January 31 of the previous academic year; for
48 Spring semester consideration, such notice must be given by May 31 of the
49 previous academic year. It is the responsibility of the department chair/program
50 director to alert the dean's office of a candidate's intentions.
51

52 **II. Preparing the Portfolio for Application to Associate Professor and** 53 **Professor—due September 1 for consideration in the fall semester; due** 54 **February 1 for consideration in the spring semester** 55

56 Candidates for promotion should prepare an application portfolio. The first page of the
57 portfolio is the official promotion application form obtained from the office of the
58 executive vice president and provost and completed by the candidate. The specific
59 evidence required in a portfolio for promotion should include summary material since
60 the last promotion, if any, with particular emphasis on the four years prior to the
61 application. The following materials are required as part of the promotion portfolio:
62

- 63 • An updated curriculum vitae.
- 64 • A copy of the initial letter of appointment with the salary redacted, as well as a copy
65 of any modifications to the initial appointment (as applicable).
- 66 • A copy of the college or school document that describes requirements for
67 professional engagement above university-wide minimum standards and the
68 definition (to the greatest degree possible) of "substantive" for that college, school,
69 department, or program. (effective 9/1/2013)
- 70 • Personal statement on contribution to the mission of the university through teaching,
71 engaging the profession, and service.
- 72 • Information from annual evaluations from the past four years, to include the faculty
73 member's annual reports and department chair/program director's performance
74 review, with changes by the dean, if any.
- 75 • Information from past triennial, tenure and promotion reviews, if any, to include the
76 department committee's letter(s), the department chair/program director's letter (s),
77 the dean's letter(s), the executive vice president and provost's letter(s), and the
78 candidate's comments, if any.

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80 In addition, the following materials are required in support of each of the three main
81 areas of faculty responsibility.
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83 **A. Teaching** 84

85 At the University of St. Thomas, teaching is the most important criterion in faculty
86 evaluation.
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1. Effective teaching presumes currency, breadth, and depth of knowledge. In addition, the University of St. Thomas expects its faculty to communicate information, ideas and values by using teaching methods and techniques that recognize a variety of learning styles, cultural backgrounds, and instructional settings. Whenever possible, faculty should approach teaching with an intent to demonstrate the inter-relatedness of disciplines and of learning. Instructional and curricular innovations that are directed to these goals should be developed. Likewise, faculty should provide ways for students to become actively engaged in the work of the discipline(s). Recognizing that much learning goes on outside of the classroom, faculty should also be effective and skillful formal and informal advisors to students.
 2. The following pieces of evidence must be submitted to demonstrate effectiveness in teaching:
 - a. Peer reviews of teaching: at least one each year during four of the six academic years immediately prior to submission of the application for promotion (by at least two different members of the faculty). Should the faculty member have no teaching duties at the University of St. Thomas during one of the four years immediately prior to submission of the application, only three years of peer reviews will be required. During the year prior to submission of the application for promotion, the three-peer panel review substitutes for the individual peer review.
 - b. Peer review by members of one's discipline or closely-related field of expertise can provide some of the most valuable feedback to a teacher and is thus required for tenure and promotion. Peer review consists of an examination of course syllabi, selected materials, and instructional observations (e.g., classroom visits, laboratory observations, online course observations) for knowledge, accuracy, appropriateness and command of content, planning and organization, use of teaching strategies that create a learning environment, clarity and effectiveness of communication. Reviewers will also identify strengths and areas for continuing development.
 - c. In consultation with the dean/chair/director, the faculty member may ask any member of the discipline or closely-related field of expertise within the university to be an individual reviewer for annual reviews. In special circumstances, reviewers external to the university may be selected with approval of the chair/director. (No university funding will be available for reviewers.) If the faculty member is the chair/program director, consultation regarding peer reviewers will take place with the dean. The dean/chair/director may not be a reviewer.
 - d. In the year prior to submission of a dossier for tenure or promotion, the teaching of the faculty candidate shall be reviewed by three peer reviewers within the university. For candidates who will be considered for tenure or promotion in academic year 2014-15 and subsequent years, the members of the three-peer panel to review teaching must be faculty members who are tenured or have received final approval for tenure by the president under Chapter 4.VII.E. The candidate shall select the first reviewer. The departmental review committee or the department chair, as stipulated in the department's charter,

134 shall select the second. The dean shall select the third reviewer. The criteria for
135 these peer reviews will be the same as those used in the annual teaching review
136 process, including direct observation of teaching. Based on these criteria, the
137 faculty reviewers will write a single letter signed by all reviewers, which
138 reflects the observations each of them has made and which becomes part of the
139 candidate's dossier. In special circumstances, reviewers external to the
140 university may be selected with approval of the chair and dean. Neither the
141 chair nor the dean may be a reviewer. This requirement for peer evaluation of
142 teaching applies to all candidates for promotion starting in the 2007-2008
143 academic year.

144 e. Procedures and Criteria for Peer Reviews of Teaching:

145 In consultation with the faculty member, the number of instructional
146 observations will be determined by the peer reviewer. The following are
147 minimum guidelines for these visits and apply to all peer reviewers, including
148 those on a three-person review panel:

- 149 i. Prior to the first instructional observation, the reviewer(s) will meet with
150 the faculty member to discuss the syllabus, text, and general philosophy of
151 what the faculty member is trying to accomplish in the course, as well as
152 the goals of the specific class session to be observed. The reviewers of the
153 three-person team may visit the same or different class sessions.
- 154 ii. After visiting the class session, the reviewer(s) will again meet with the
155 faculty member to discuss the class session.
- 156 iii. If a follow-up visit to the class is to be made later in the semester, the
157 reviewer(s) will then again meet with the faculty member.
- 158 iv. The reviewer(s) will give a written report of the entire review process to the
159 dean/chair/director, with a copy to the faculty member. Members of a
160 three-person panel will submit a single report signed by all reviewers. The
161 faculty candidate may provide a written response (to any report), which
162 will be included in the candidate's portfolio. Copies of any response must
163 be sent to the reviewer(s). The chair of the departmental promotion and
164 tenure committee is responsible for adding the response to the dossier
165 before it is forwarded to the dean/director/chair. Reviewers will not provide
166 a response to the candidate's response.
- 167 v. Because the intent and goal of these reviews is continued improvement, the
168 written report should address at least the following criteria:
 - 169 a) Knowledge, accuracy, appropriateness and command of
170 content.
 - 171 b) Planning and organization.
 - 172 c) Use of teaching strategies that create a learning
173 environment.
 - 174 d) Clarity and effectiveness of communication.
 - 175 e) Appropriateness of syllabus and materials.
 - 176 f) Strengths and areas for continuing development.

177 Departments/programs may develop their own additional processes for peer
178 review as long as they do not violate the guidelines provided herein. Any
179 additional processes required by a department/program must be provided in

180 writing to the faculty member together with the letter of appointment.
181

- 182 3. Self-evaluation in a personal statement which reflects one’s educational
183 philosophy and how it has been implemented in the area of teaching, including
184 instructional and curricular innovation.
- 185 4. Additional materials collected in previous years:
- 186 a. Course syllabi and selected materials for each course taught.
 - 187 b. All IDEA reports from courses taught in the two years prior to application,
188 including summative, quantitative, and qualitative results. Applicants who
189 have used the diagnostic or “long” IDEA form may choose to redact the
190 portion of the report labelled “Formative,” and tenure committees, chairs, and
191 deans are required to ignore this portion of the report even if it is not redacted.
 - 192 c. Information from annual evaluations from the past four years, to include the
193 faculty member’s annual reports and department chair/program director’s
194 performance review, with changes by the dean if any.
 - 195 d. Information from past triennial, tenure and promotion reviews, if any, to
196 include the department committee’s letter(s), the department chair/program
197 director’s letter (s), the executive vice president and provost’s letter, and
198 candidate’s comments, if any.
- 199 5. Any of the following may also be included:
- 200 a. Student/peer evaluation of advising.
 - 201 b. Data on students’ achievement of instructional goals.
 - 202 c. Internal/External peer review of student projects or papers.
 - 203 d. Feedback from former students and graduates of the University of St. Thomas.
 - 204 e. Contributions to symposia on pedagogy.
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206 **B. Engaging the Profession**

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- 208 1. Since the primary professional responsibility of the University of St.
209 Thomas faculty member is the creation and enrichment of the university’s
210 learning community, it follows that a corollary expectation is engagement
211 with the discipline. The vital center of any university is the expression of
212 the life of the mind that results from engaging the profession. That
213 engagement is the source of the community's intellectual vitality and
214 connects it with the national and international world of scholarship. That
215 connection means, too, that it is from peers at the University of St. Thomas
216 and at institutions around the world that we receive evaluation of our
217 achievements as teacher/scholars.
- 218 2. In a university as diverse as the University of St. Thomas, the expressions
219 of the intellect will occur in a variety of ways and formats. While
220 recognizing and accepting that diversity, the faculty of the University of St.
221 Thomas expects its colleagues to provide documentation of their
222 achievements as teacher/scholars from peers in the discipline. Faculty must
223 maintain a record of professional engagement, as enumerated below, that is
224 appropriate to the nature of the discipline, the level of their program, and
225 the level of support. A continuing scholarly activity agenda (both

- 226 disciplinary and interdisciplinary) can be manifested in a variety of ways.
227
228 3. A college or school (but not a department or program) may require more
229 than the minimum number of substantive pieces. Colleges, schools,
230 departments, or programs should define (to the greatest degree possible)
231 "substantive" as appropriate to that unit. Guidelines describing this will be
232 provided to each faculty member together with the letter of appointment
233 and will be included in the dossier for promotion; reference to these will be
234 made by the departmental tenure and promotion committee, the chair, and
235 the dean. Additional standards beyond university-wide minimum standards
236 and the definition of what is considered "substantive" for tenure or
237 promotion, or changes to existing standards, must be approved by 2/3 of
238 the faculty in the school or college (who currently qualify to serve on the
239 departmental tenure and promotion committee at the appropriate level of
240 review). In addition, these must be approved by the dean of that college or
241 school as well as the executive vice president and provost. (Effective
242 9/1/2013)
- 243 4. The candidate for promotion to associate professor should document peer
244 review of at least two pieces of substantive work in the five academic years
245 previous to this application from the following categories. (See Chapter
246 4.III.B-C for exceptions to the five-year limit.)
- 247 5. The candidate for promotion to professor should document peer review of
248 at least three pieces of substantive work from the following categories. This
249 documentation should reflect accomplishments since the last promotion
250 and should highlight work done in the four years previous to this
251 application.
- 252 a. Scholarly activity (basic or applied) that results in a refereed
253 publication. "Refereed" is used to indicate that manuscripts submitted
254 for publication are examined both by an editor and one or more
255 specialists in the individual field before approval is given to publish.
256 For purposes of documentation, include a copy of the published
257 scholarly activity in the portfolio.
- 258 b. Presentation of scholarly activity results at a refereed professional
259 conference or seminar. For purposes of documentation, include a
260 copy of the conference proceedings that indicate your presentation
261 plus your presentation proposal (or paper if available) in the portfolio.
- 262 c. Scholarly activity on issues of pedagogy that are published or
263 presented at a conference or seminar that competitively reviews
264 proposals. For purposes of documentation, include a copy of the
265 conference proceedings that indicate your presentation plus your
266 presentation proposal (or paper if available) in the portfolio.
- 267 d. Artistic creation or performance in one's discipline that is reviewed by
268 peers, including persons from outside the institution. For purposes of
269 documentation, include written reviews by external peers of artistic
270 creations or performances in the portfolio.
- 271 e. Successful preparation and completion of competitive external grant
proposals in the discipline. For purposes of documentation, include a

- 272 copy of the grant proposal that was submitted and funded in the
273 portfolio.
- 274 f. Professional practice or consulting that is documented as enriching
275 the discipline and as continuing one's professional development. This
276 must be agreed upon in writing by the faculty member, chair/director,
277 dean, and executive vice president and provost. For purposes of
278 documentation, include a copy of the initial request from the client for
279 the practice/consultation, a copy of the peer evaluation of its outcome,
280 and evidence of its qualitative equivalence to expectations in other
281 categories of this criterion. If it cannot be documented, it cannot be
282 used to meet this criterion.
- 283 g. Other scholarly activity (e.g. textbook, case study, software, member
284 of editorial board of scholarly journal, substantive leadership in
285 professional associations) deemed appropriate by the department
286 chair/program director that has been evaluated by external peers.
287
- 288 6. In order to better collect information on the quality of the candidate's
289 contributions to the professional field, the review committee shall solicit at
290 least four letters from scholars who are experienced in the candidate's field.
291 Two of these letters shall be solicited from a list of at least six names
292 submitted by the candidate; the other two letters shall be solicited from a
293 list compiled by the review committee. The candidate may also list the
294 names of up to three scholars who should not be solicited, due to the
295 candidate's belief that they would not be able to provide an objective
296 evaluation of the candidate's work.
- 297 7. For Fall semester applications for tenure and/or promotion, the chair of the
298 departmental tenure and promotion committee will begin to solicit these
299 letters during April prior to the application year with the intent of receiving
300 them by September 1 of the application year. For Spring semester
301 applications for promotion to Professor, the chair of the departmental
302 tenure and promotion committee will begin to solicit these letters during
303 September prior to the application semester with the intent of receiving
304 them by February 1 of the application semester. The form of the
305 solicitation letter will be approved by the dean of the school or college, and
306 will be provided to the candidate (without names and addresses of those
307 solicited). Each evaluator will be asked to give an independent assessment
308 of the candidate's work. This assessment should include a discussion of the
309 quality of the candidate's work as well as the potential for continued
310 professional engagement. Two to five items from one or more of the
311 categories above, and believed by the candidate to be the most substantive
312 of the candidate's professional engagement, should be provided to the
313 reviewers for applications for tenure and/or promotion to associate, and
314 three to five for applications to full professor. The candidate's curriculum
315 vitae will also be provided. Additional materials will be provided by the
316 department chair to the reviewer upon request. These anonymous
317 assessments will be placed in the candidate's file.

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8. The scholars asked to submit letters of review may not hold appointments at the University of St. Thomas. Nor may they have any direct connection with the candidate. “Direct connection” is typically defined as having ever had a faculty or student relationship with the candidate, having ever been a co-author with the candidate, or any other professional or personal relationship of comparable closeness. Faculty who have served on a professional committee or conference panel with the candidate would be appropriate external reviewers. If there is doubt about a given relationship between the candidate and a prospective reviewer, a determination on suitability will be made by the review committee.
 9. External peer reviewers will not be asked to make a direct recommendation as to whether promotion at the University of St. Thomas should be granted. It will instead be the job of the departmental review committee to interpret and place in context the external letters of evaluation. Evaluations of suitability for tenure or promotion are made within the University of St. Thomas, with reference to the external letters and in accordance with the standards of the university as well as additional standards, if any, set by the college or school.
 10. In order to protect the confidentiality of external peer reviewers to the greatest extent possible, the assessment and recommendations written by the departmental review committee, by the department chair, by the dean, and by the Tenure and Promotion Committee will make no reference by name to the authors of the external letters of evaluation, though they will refer to the substance of those assessments in coming to their own conclusions.

C. University, Professional, and Community Service

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1. The University of St. Thomas faculty are members of the university community and of communities beyond the boundaries of the campuses. As members, they have responsibilities to each, responsibilities that result from a particular discipline, but also from the special commitment to people that motivates them as educators. Because the faculty of the University of St. Thomas expects those who are part of it to use their energy, knowledge and values to enrich the quality of life in their communities, it includes evaluation of performance in them among the criteria of professional achievement.
 2. Since the possibilities for service in the internal and external communities are so diverse, many unknown until a need arises or we are called upon to perform them, it is understood that the following is only a partial list of how this criterion of performance might be met. Documentation of the level and quality of performance should be presented for those items in which significant effort was expended.
 - a. University Service

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- i. Administrative responsibility as a department chair, program director, or other directorship. For purposes of documentation, include in the portfolio a description of administrative responsibilities and evidence of effectiveness.
 - ii. Other responsibilities such as
 - a) Officers of university governance units (such as faculty chair/secretary, chair of standing committee, and the like).
 - b) Departmental and university committee work.
 - c) Participation in the recruitment, development, student life, and liberal education programs of the university.
 - d) Mentoring other faculty.
 - iii. Other areas of university and community service as agreed upon by the faculty member, chair/director, dean, and executive vice president and provost.
- b. Professional Service
- i. Service to professional associations
 - ii. Speaking engagements using professional expertise for a general audience
 - iii. Support of learning at other levels of the educational enterprise
 - iv. Community outreach
 - v. Professional practice or consulting which does not meet the criterion for engaging the profession
- c. Community Service
- i. Participation in community organizations
 - ii. Volunteer activities
3. In order to better collect information on the quality of service rendered to the department and to the university by a candidate, the review committee may ask committee chairs (or, in the absence of the chair, another member of the committee) on which the candidate has served in the last four years to submit a letter describing the quality of the candidate's service on that committee. Quality shall be judged by impact, which will mean (at a minimum) attending meetings and making a contribution. To document other types of service, including service outside of the university itself (where such service has been agreed as being of relevance to the case for tenure or promotion), letters on the quality of service may be solicited by the candidate, or by the review committee from other individuals named by the candidate. In the assessment of department chairs, the dean or director of the academic unit will be solicited for comment on the quality of the candidate's service in that role. This requirement for peer evaluation of service applies to all candidates for promotion starting in the 2007-2008 academic year.

409 **III. Reviews of Promotion Applications for Associate Professor and**
410 **Professor**

411
412 **A. Recommendation of the department promotion committee, September 1 to**
413 **October 6 for fall consideration; February 1 to March 8 for spring**
414 **consideration**

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416 1. Composition

417 a. The departmental promotion committee consists of all members other than
418 the department chair with primary appointments in the department/program
419 who are at least at the rank for which the candidate is applying. There should
420 be a minimum of three members on the committee. If the department/program
421 does not have a sufficient number of members so qualified to sit on the
422 committee, the remainder of the committee shall be appointed by the
423 appropriate dean in consultation with the qualified department/program
424 members by inviting qualified faculty from allied disciplines or from other
425 institutions. At least one member of the committee must be from the
426 discipline of the candidate. The committee chair (who must be a University of
427 St. Thomas faculty member) will be elected from the members of the
428 committee but may not be the department chair/program director. Each
429 member of the committee, including the committee chair, shall have one vote.
430 A chair of a department may participate in a departmental promotion
431 committee meeting only if invited to attend by the committee in order to
432 provide information needed by the members. The department chair will not
433 vote at the meeting nor be present for the vote by the committee. For
434 purposes of Section D of this chapter, “chair of a department” or “department
435 chair” or “program director” means that person who will prepare a
436 recommendation on a candidate for promotion.

437
438 2. Duties

439 a. It is the duty and responsibility of all members of the departmental promotion
440 committee to review each candidate’s annual reports, and other portfolio
441 documentation provided by the candidate prior to the departmental promotion
442 committee meeting. In addition, the committee has the primary responsibility
443 for ensuring that the evidence the candidate has submitted is both appropriate
444 and sufficient.

445 b. After members have discussed the evidence that the candidate has submitted
446 in all three categories, each member will decide if the candidate has met the
447 criteria for promotion. The committee should also discuss and comment on
448 the collegiality of the candidate. Members who have not reviewed the
449 candidate’s portfolio shall not vote on that candidate’s promotion. The
450 decision may be recorded in a secret ballot. The committee chair will
451 immediately count the votes and communicate the results to the committee.

452 c. The committee chair will ask a member of the committee to draft a report.
453 The report should, at a minimum, discuss whether and how the candidate has
454 met the criteria for promotion that are included in the rank and tenure

455 provisions. If the committee votes against recommending promotion, the
456 report should include, at a minimum, the specific criteria the committee
457 believes the candidate has not met. If there are minority views with respect to
458 the candidate's fitness for promotion, these must be reflected in the report,
459 either by an acknowledgment in the main report that summarizes those
460 minority views or, at the option of the minority, by a dissenting minority
461 opinion that is attached to the main report. No separate statement of views, by
462 either faculty in the majority or in the minority, may be submitted separate
463 from the departmental committee report. The report would then be circulated
464 to members of the committee. The report must include the vote tally and be
465 signed by the committee chair.

- 466 d. When the report has been approved by the departmental promotion
467 committee, one copy is sent to the candidate and another copy is placed in the
468 candidate's portfolio.
- 469 e. All deliberations of the departmental promotion committee are confidential.

470
471 **B. Recommendation of the department chair/program director, October 7 to**
472 **November 2 for fall consideration; March 9 to April 1 for spring**
473 **consideration**

- 474
475 a. The recommendation of the chair/director should comment not only upon
476 the candidate's contribution to the mission of the university through
477 teaching, professional engagement, and service, but also upon the specific
478 contributions that the candidate has made to the department and to the
479 institution. It should also comment on the departmental promotion
480 committee's report.
- 481 b. After writing the recommendation and sending a copy to the candidate,
482 the chair/director shall meet with the candidate to discuss the report of
483 the Departmental Promotion Committee and the chair's/director's
484 recommendation. A copy of the chair's/director's report is placed in the
485 candidate's portfolio. (If the candidate is the chair/director, this step does
486 not occur.)

487
488 **C. Recommendation of the dean, November 3 to December 1 for fall**
489 **consideration; April 1 to April 22 for spring consideration**

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491 The dean reviews the candidate's entire portfolio and prepares comments to be sent
492 to the executive vice president and provost. One copy of these comments is sent to
493 the candidate, and another copy is placed in the candidate's portfolio. The portfolio
494 is forwarded to the executive vice president and provost, who will present it to the
495 Tenure and Promotion Committee.

496
497 **D. Review by Tenure and Promotion Committee, December 1 to 20 for fall**
498 **consideration; April 23 to May 25 for spring consideration**

499
500 Members of the Tenure and Promotion Committee have access to the candidate's

501 portfolio during this period. At the meeting of the Tenure and Promotion
502 Committee, the dean and the executive vice president and provost review the
503 candidate's portfolio with members of the Committee. The Tenure and Promotion
504 Committee may call in the candidate for discussion. After due consideration of the
505 application of the candidates for tenure (and promotion if applicable), the Tenure
506 and Promotion Committee will make a recommendation to the president of the
507 university for consideration. For more on the procedures of Tenure and Promotion
508 Committee, see Chapter 1.IV. B.4.

509

510 **E. Decision by the President**

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512 The president makes the final promotion decision after considering this advice.

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514 **F. Candidate's Rights to Comment and Appeal**

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516 For all of the above evaluative reviews, the candidate has the right to comment on
517 the review and have such comment added to the portfolio and personnel files. The
518 recommendation of the Tenure and Promotion Committee and the president may be
519 appealed through the established faculty appeal/grievance procedure described in
520 Chapter 7.

521

522 **G. Confidentiality and Accountability of Participants in Review Process**

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524 To protect the candidate's dignity, confidentiality as to persons outside the
525 promotion review process should be protected to the greatest extent reasonably
526 possible by all those participating in the review process, including faculty members
527 observing classes, serving on departmental promotion committees, and serving on
528 the university Tenure and Promotion Committee; department chairs/program
529 directors; deans; staff members preparing and submitting evaluative documents;
530 administrators in the Academic Affairs office; and the president and the president's
531 staff. However, a breach of confidentiality shall not invalidate the proceedings. To
532 ensure accountability among those participating in the process, the faculty members
533 serving on the departmental tenure and promotion committee, the chair/program
534 director, the dean, the executive vice president and provost, and the president shall
535 have access to the candidate's portfolio; the external review letters of professional
536 engagement; the peer-panel review of teaching; the written reports of the
537 departmental tenure committee, the chair, and the dean; the candidate's written
538 responses to any report; and the recommendation outcomes at each stage of the
539 process.

540

- 541 1. Should a promotion matter become a subject of litigation, the participants should
542 be aware that the university requirement of confidentiality may not be a basis for
543 resisting a lawful subpoena, court order, or other compulsory legal process
544 seeking information. While those who are presented with a lawful subpoena,
545 court order, or other compulsory legal process for information may inform the
546 executive vice president and provost so that university legal counsel may confirm

547 its authenticity and legitimacy or raise objections, the recipient otherwise may be
548 legally obliged to comply. However, other than responding to a lawful subpoena,
549 court order, or other compulsory legal process, the person should maintain
550 discretion and confidentiality with respect to the matter.
551

552 **IV. Promotion to Assistant Professor**

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- 554 1. An individual initially appointed to the rank of instructor will automatically receive
555 the rank of assistant professor upon certification of completing a doctoral degree. It is
556 the candidate's responsibility to submit this certification to the executive vice
557 president and provost.
 - 558 2. Exceptions to the required doctorate for the rank of assistant professor must be agreed
559 upon at the time of initial appointment by the department faculty, department
560 chair/program director, dean, and executive vice president and provost, and specified
561 in the letter of appointment. Specific performance achievements equivalent to the
562 earning of the doctorate will be established at the time of initial appointment for
563 faculty who will seek promotion to assistant and/or associate professor without it.
564 These performance achievements must be agreed upon by the department faculty,
565 department chair/program director, dean, and executive vice president and provost.
566 Certification of these performance achievements are subject to the normal review
567 procedures.
568

569 **V. Promotion to Senior Clinical Professor or Senior Teaching Professor**

570
571 Clinical professors and teaching professors may be promoted to the rank of Senior
572 Clinical Professor and Senior Teaching Professor, respectively, in recognition of
573 outstanding contributions to the life of the university.
574

575 Requests for applying for promotion to the rank of Senior Clinical Professor or Senior
576 Teaching Professor may be made beginning in the sixth year of full-time service and are
577 normally initiated by the candidate. Notification to the candidate's department chair or
578 program director (or dean, for colleges/schools that do not have department chairs or
579 program directors) should be in the form of a letter and must be made at least thirty days
580 before the deadlines for application for promotion to the rank of Professor as stated in
581 this chapter. Deadlines for the submission of the candidate's promotion portfolio will also
582 follow the deadlines for fall and spring promotion applications to the rank of Professor,
583 respectively.
584

585 The candidate's portfolio will be forwarded to a department/program committee
586 consisting of all tenured members of the department/program and full-time faculty at the
587 rank to which the candidate is seeking promotion. The committee must consist of at least
588 three eligible members. If there are not three eligible members in the candidate's
589 department/program, additional members of the committee will be appointed by the
590 appropriate dean.

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The candidate’s portfolio must include the following items:

- a. The candidate’s letter(s) of appointment;
- b. A current curriculum vitae;
- c. A narrative description of the contributions the candidate has made to the mission of the department/program, the school/college, and the University;
- d. The candidate’s annual reviews;
- e. Supporting evidence. Such evidence will vary based on the candidate’s duties and expectations of performance as stated in their letter(s) of appointment.

The department/program committee will review the candidate’s portfolio and determine whether the candidate’s record in performance of duties warrants promotion to the rank of Senior Professor. The committee will communicate in writing to the department chair/program director its recommendation and rationale, place a copy of the communication in the candidate’s portfolio, and share a copy with the candidate.

The department chair/program director will review the candidate’s portfolio and submit a recommendation to the dean of the appropriate school/college. This recommendation should refer to the recommendation made by the committee. The recommendation should be placed in the candidate’s portfolio and a copy shared with the candidate.

The dean will review the candidate’s portfolio and the recommendations of the prior reviewers and will prepare comments to be sent to the Executive Vice President and Provost. A copy of these comments is sent to the candidate.

The Executive Vice President and Provost will review the candidate’s portfolio and make a recommendation to the President. The President will make the final promotion decision after considering this recommendation. The result of all such requests for promotion will be reported to the Tenure and Promotion Committee to be entered into the minutes.

For clinical and teaching professors who receive a promotion, the new rank begins with the annual contract that is issued in the academic year following the promotion decision. All guidelines stated under “Confidentiality and Accountability of Participants in Review Process” in this chapter (Section III.G) apply.

VI. Promotion to Senior Member of the Adjunct Faculty

- 1. Requests for promotion to senior member of the adjunct faculty are initiated by the department chair/program director in accordance with university policies. The department/chair/program director (or dean, for colleges/schools that do not have department chairs or program directors) will inform the full-time faculty of the department/program of the chair’s/director’s intention to recommend the adjunct faculty member for promotion to Senior status. All full-time faculty in the department/program will have an opportunity to express their support or opposition to

636 the chair’s/director’s intention. Following such notification, the chair/director will
637 forward a letter with the department’s recommendation to the dean, along with
638 supporting materials and the candidate’s curriculum vitae. Promotion is granted upon
639 the recommendation of the appropriate dean and the approval of the president. The
640 result of all such requests for promotion will be reported to the Tenure and Promotion
641 Committee to be entered into the minutes. All guidelines stated under
642 “Confidentiality and Accountability of Participants in Review Process” in this chapter
643 (Section III. G) apply.
644

645 **VII. Process for Requesting Reconsideration of a Denial of Promotion Based**
646 **on New Evidence**

647
648 Within thirty (30) calendar days of the notification of denial of promotion, a faculty
649 candidate may seek reconsideration of the decision based on new evidence. Requests for
650 reconsideration of denial of promotion based on new evidence will be considered in
651 accordance with the following provisions.

652
653 **A. Definition of New Evidence**

654
655 A decision whether to grant promotion ordinarily is based upon the evidence about
656 the faculty candidate’s teaching, professional engagement, and service as of the
657 date that the faculty candidate’s portfolio is completed pursuant to the procedures
658 in this Chapter 5.. For purposes of seeking reconsideration under this Chapter 5.VI,
659 “new evidence” is information not previously included in the faculty candidate’s
660 portfolio and that is likely to have been significant in the original evaluation of the
661 candidate. It should pertain to the candidate’s teaching, professional engagement, or
662 service from the time period prior to February 1 for candidates for promotion
663 during the fall semester and prior to May 15 for candidates for promotion during
664 the spring semester. However, information about faculty teaching, professional
665 engagement, or service that has been undertaken or accomplished by the faculty
666 member after the dates specified is not a basis for reconsideration of the denial of
667 tenure or promotion.
668

669 **B. Submission of Request for Reconsideration**

670
671 The faculty candidate must send a written request for reconsideration to the chair of
672 the University Tenure and Promotion Committee, with a copy to the president, so
673 that it is received no later than thirty (30) calendar days following written notice to
674 the faculty candidate of the university’s decision to deny promotion to the
675 candidate. The request for reconsideration should contain a description of the new
676 evidence, with all supporting documentation the candidate wishes to be considered.
677

678 **C. Distribution of New Evidence; Solicitation of Responses and Scheduling of**
679 **Reconsideration Hearing**
680

681 The chair of the University Tenure and Promotion Committee will promptly:

- 682
- 683 1. Distribute (or make available on a shared, secure site) the request and
684 supporting documentation to the other members of the University Tenure
685 and Promotion Committee;
 - 686 2. Schedule a meeting of the University Tenure and Promotion Committee
687 within forty-five (45) calendar days following receipt of the request for
688 reconsideration to review the faculty candidate’s revised portfolio and
689 consider the new evidence;
 - 690 3. Distribute (or make available on a shared, secure site) the request and new
691 evidence to the Departmental Tenure and Promotion Committee, the
692 department chair/program director, and the dean, and request each of them
693 to provide a written response to the request in light of the new evidence,
694 within thirty (30) calendar days following receipt of the request for their
695 response; and
 - 696 4. Distribute (or make available on a shared, secure site) the responses of the
697 Departmental Tenure and Promotion Committee, the department
698 chair/program director, and the dean to the University Tenure and
699 Promotion Committee, the candidate and the president, so they may be
700 reviewed prior to the reconsideration hearing.

701

702 **D. Meeting of the University Tenure and Promotion Committee**

703

704 The faculty candidate will be invited to meet informally with the University Tenure
705 and Promotion Committee prior to its reconsideration of the candidate’s portfolio,
706 to answer any questions from the Committee. The meeting with the faculty
707 candidate will not be transcribed or otherwise recorded. The University Tenure and
708 Promotion Committee will then discuss the situation and present a recommendation
709 in writing to the president, within ten (10) business days following the
710 reconsideration hearing.

711

712 **E. President’s Decision**

713

714 The president, after receiving the recommendation of the University Tenure and
715 Promotion Committee, will communicate a decision in writing to the faculty
716 member within ten (10) business days, with a copy to the provost.

717

718 **F. Opportunity to Submit a Grievance Under Other Provisions of This 719 Faculty Handbook**

720

721 A faculty candidate whose request for reconsideration does not result in the grant of
722 promotion may submit a grievance based on the denial of tenure and promotion, in
723 accordance with the other provisions of this Faculty Handbook, so long as the
724 faculty member is otherwise eligible to file a grievance under the Faculty
725 Grievance Policy.

726

727 **VIII. Amendments to Chapter 5: Promotion**

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This chapter may be amended at any meeting of the Faculty Senate by a 60 percent majority of those present and voting. Proposed amendments must be submitted in writing to the Executive Committee and distributed with the agenda at least one week prior to the meeting of the Faculty Senate at which action is to be taken. Amendments shall be incorporated into the pertinent section of Chapter 5, unless otherwise specified.

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Chapter 6
Termination of Faculty Contracts

4 **I. Termination of Full-time Contracts**

5
6 **A. Annual contracts or tenured appointments may be terminated**

- 7
8 1. by the faculty member, by resignation given in writing by April 1 and to take
9 effect at the end of the contract year of service,
10 2. by the president for cause, such as professional incompetence, serious neglect of
11 duty, or grave moral delinquency that is detrimental to the university community,
12 3. by the president in cases of physical or mental incapacity to perform academic
13 duties, as described below,
14 4. by the president, if necessitated by financial exigency or by the discontinuance of
15 a program or department of the university, after implementation of the procedures
16 for establishing financial exigency or the procedures for discontinuation of a
17 credit or degree-producing program or department, as described below or
18 5. by mutual agreement in cases not covered in the four statements above.
19

20 **B. Resignations**

21
22 Full-time faculty members who propose to resign shall give notice as soon as
23 possible, but not later than April 1 of the final contract year.
24

25 **C. Dismissal for Cause**

26
27 Dismissals for cause shall take effect immediately following the completion of the
28 process described below.

- 29 1. Preliminary Proceedings for Possible Dismissal of a Faculty Member
30 When reason arises to question the continued employment of a faculty member
31 who has tenure or who has a tenure track or limited term or clinical faculty
32 appointment, the appropriate administrative officer or officers should discuss the
33 matter with the faculty member in a personal conference. The matter may be
34 resolved by mutual consent at this point; but if an agreement does not result, the
35 Tenure and Promotion Committee shall meet to consider the case and give its
36 advice as to whether formal proceedings to consider the faculty member's
37 dismissal should be instituted. If the Tenure and Promotion Committee
38 recommends that such a proceeding should be begun, or if the president of the
39 university, even after considering a recommendation of the Tenure and Promotion
40 Committee favorable to the faculty member, expresses his or her conviction that a
41 proceeding should be undertaken, action should be commenced under the
42 procedures that follow. Except where there is disagreement, a statement with
43 reasonable particularity of the proposed grounds for dismissal should then be
44 jointly formulated by the president and the Tenure and Promotion Committee. By
45 approving a statement of proposed grounds for dismissal, the Tenure and

46 Promotion Committee states its opinion that the charges, if proven, would
47 reasonably justify dismissal for cause, but does not express an opinion on the
48 factual merits of the charge. If there is disagreement, the president or the
49 president's representative should formulate the statement. A copy of the statement
50 will be sent with the letter from the president to the faculty member.

- 51 2. The president may suspend a faculty member for cause against whom the
52 president intends to initiate formal termination proceedings. While the president
53 may suspend a faculty member at any time following the decision to initiate
54 formal proceedings against that faculty member, the president should consult with
55 the Tenure and Promotion Committee within one week of the date of such a
56 suspension and gain their advice as to whether the suspension should be continued
57 during the course of the proceedings. The president's decision is, in any case,
58 final. Any suspension of a faculty member during termination proceedings will be
59 suspension with pay.

- 60 3. Commencement of Formal Proceedings

61 The formal proceedings will be initiated by a letter from the president to the
62 faculty member. Accompanied by a statement of the proposed grounds for
63 dismissal, that letter shall inform the faculty member of the following: a) the
64 formation of a faculty committee to hear the case for dismissal, b) the time and
65 place of the committee's meeting, c) the right of the faculty member to appear
66 before the committee, to submit a written statement, and/or to appoint a
67 spokesperson. Together with the letter and the statement of the proposed grounds
68 for dismissal, a complete and current copy of the Faculty Handbook shall be
69 delivered to the faculty member. The hearing shall take place not sooner than two
70 weeks and not later than six weeks from the postmark date of the notification
71 letter.

- 72 4. Hearing Committee

73 The committee of faculty members to conduct the hearing should be established
74 as soon as possible after formal notice of intent to terminate has been given to the
75 faculty member. The committee shall consist of five (5) tenured faculty members
76 with academic appointments, two to be appointed by the president and, then, two
77 by the Faculty Affairs Committee, with the fifth member, who will serve as chair
78 of the committee, to be selected by the original four appointed members. The
79 choice of members of the hearing committee should be on the basis of their
80 objectivity, competence, absence of conflict of interest and the regard in which
81 they are held in the university community. No member of the Tenure and
82 Promotion Committee or the Faculty Affairs Committee may serve on a Hearing
83 Committee that formally considers the question of termination of any faculty
84 member. The faculty member may choose to respond to the hearing in one of
85 three ways: a) attend the hearing with or without submitting a written response; b)
86 submit a written response and not attend the hearing; c) make no response.

- 87 5. Committee Proceedings

- 88 a. The committee should consider the case on the basis of the statement of
89 grounds for dismissal and any written response from the faculty member. The
90 committee does not operate according to legal rules of evidence. Consistent
91 with these primary procedures in this part of the Faculty Handbook, the

92 committee shall establish a schedule and house-keeping rules for the particular
93 proceeding, which may be revised as efficient and fair during the course of the
94 proceeding. The committee shall be solely responsible for applying and
95 enforcing these procedures and house-keeping rules, after such consultation as
96 the committee believes appropriate with the president and the faculty member
97 or their representatives.

- 98 b. The committee shall seek to gather evidence concerning any facts that are in
99 dispute, although responsibility for bringing evidence to the committee
100 ultimately remains with the parties. The president or the president's
101 representative shall gather and make available to the faculty member and the
102 committee, by hard copy or by establishing a secure electronic file sharing
103 system, the faculty member's annual evaluation documents and teaching
104 evaluations as available for a reasonable period not less than three academic
105 years preceding the academic year in which the proceedings are held.
- 106 c. The committee, the president and the faculty member shall have the right to
107 call witnesses to testify. Out of abundance of caution, student witnesses at the
108 proceeding will be asked if they are willing to sign a release under the Family
109 Educational Rights and Privacy Act (FERPA) for purposes of the proceeding
110 and to allow non-university employees who participate in or observe the
111 hearing to receive student witness information and testimony. Any non-
112 university employee participating in or observing the proceeding must sign a
113 confidentiality agreement not to disclose student information. If the
114 university, on advice of its legal counsel, believes additional protection of
115 student identities is appropriate, such as redaction of student names in
116 documents or procedures to make the student witness anonymous to non-
117 university employees, the university administration shall be responsible for
118 such additional protection or redaction.
- 119 d. Both the faculty member and the president have the right to designate a
120 representative to argue their respective position. Persons not called, but who
121 wish to testify, may be invited by the committee if it determines that the
122 testimony would be relevant.
- 123 e. The committee, in consultation with the president and the faculty member,
124 shall exercise its judgment as to whether the hearing should be open or closed.
125 In either case, legal counsel may be present but may not participate, other than
126 on collateral matters such as scheduling of the hearing if permission is granted
127 at the discretion of the chair of the committee. If the hearing is closed, the
128 president and the faculty member may each invite up to two other persons to
129 observe but not participate in the proceedings, in addition to a representative
130 and legal counsel. Other than the faculty member's representative and legal
131 counsel, as well as an observer from the American Association of University
132 Professors, no person who is not a university employee may participate in or
133 attend the hearing, whether open or closed, unless that person is a witness.
- 134 f. The committee should reach its decision in closed conference. The president
135 and the faculty member should be notified of the committee's
136 recommendation in writing no later than ten (10) working days (that is,

137 weekdays Monday through Friday excluding university holidays) after the
138 conclusion of the hearing.

139 g. Decision of the President

140 The president will give careful consideration to the recommendations of the
141 committee but shall not be bound by such recommendations. The president
142 shall communicate a decision in the case by a certified letter with a postmark
143 date no more than two weeks beyond the date of the president's receipt of the
144 recommendation of the hearing committee. This letter shall include the basis
145 for the president's decision.

146
147 **D. Termination of Tenure for Physical or Mental Incapacity to Perform Academic**
148 **Duties**

- 149
150 1. If a tenured faculty member has been on medical leave for thirty-six
151 continuous months, the University may terminate tenure and the faculty
152 member's employment upon six months' notice by the President of the
153 University unless a reasonable accommodation (including but not limited to
154 a reasonable extension of the medical leave) would enable the faculty
155 member to return to work and perform the essential functions of the
156 position held.
- 157 2. If tenure is terminated and the faculty member subsequently becomes able
158 to perform the essential functions of the position held, and such a position
159 is available, the University may determine, in its sole discretion and only
160 with the approval of the executive vice president and provost, relevant
161 dean, department chair and departmental tenure committee, to reinstate the
162 faculty member with tenure without a national search for the position.

163
164 **E. Retrenchment**

165 In retrenchment situations, the faculty of the University of St. Thomas has the
166 primary responsibility for determining the status of individual faculty members.
167 "Faculty member" for purposes of this retrenchment policy means a person who is
168 on a tenure track, tenured, or endowed appointment. Termination of a faculty
169 member's appointment may be effected by the university as a result of
170 retrenchment either

- 171 a. under extraordinary circumstances because of a demonstrable
172 university-wide financial exigency which cannot be alleviated by less
173 drastic means, or
174 b. because of bona fide formal discontinuation of a credit or degree-
175 producing program or department of instruction.

176 Termination by retrenchment must be in accordance with this Policy.

- 177 1. Retrenchment for University-wide Financial Exigency
178 a. Determination of Financial Exigency: the Board of Trustees has the
179 responsibility for determining whether the university confronts a situation of
180 financial exigency. The Board makes this determination in accordance with
181 the following procedures:

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- i. The president will notify the Board of Trustees of the determination that the university may confront an actual or imminent financial exigency. If the Board agrees with this initial determination, the president will immediately notify the university’s faculty of the determination of possible financial exigency and will request that the faculty of each school or college immediately elect one of its members (three from the College of Arts and Sciences) to serve on a university-wide faculty financial-exigency committee. The executive vice president and provost will chair the committee.
 - ii. The Board of Trustees and university administration will make their information regarding financial exigency available to the faculty financial-exigency committee. The faculty financial-exigency committee will receive this information and other information it may deem relevant to its inquiry in order to make its own evaluation of the existence, imminence, and extent of financial exigency. The evaluation of the financial exigency committee will be advisory and will be undertaken in a timely fashion designed to assist the Board in its determination. The evaluation and recommendations of the faculty financial-exigency committee, including separate opinions if any among committee members, will be in writing and will be made available to the Board through its Finance Committee, to the president, and to all university faculty members.
 - iii. After receiving the faculty financial-exigency committee’s evaluation and recommendations, the Board of Trustees will make the final determination whether an actual or imminent financial exigency exists that may require faculty retrenchment.
- b. Governing Principles in the Event of Determination of Financial Exigency
- If the Board of Trustees determines that a financial exigency may require faculty retrenchment, then the following principles will govern the implementation of that determination.
- i. The university will make reasonable efforts to reduce administrative and non-academic budgets before deciding to retrench academic programs. The faculty financial-exigency committee will participate fully in this consideration.
 - ii. Regardless of the particular circumstances of the financial exigency confronting the university judgments that involve considerations of university educational policy and faculty status are the primary responsibility of the university’s faculty as represented by the faculty senate, with concurrence of the president. These judgments are (1) where, within the university’s overall academic program, termination of faculty appointments may occur, and (2) the general criteria to be followed for the termination of faculty appointments.
 - iii. Judgments that involve the educational policy of an individual school or college and the faculty status of individual faculty members are the primary responsibility of the faculty of the affected school or college with concurrence of the president. These judgments are (1) where, within the

- 228 school's or college's academic program, termination of faculty
229 appointments may occur, and (2) which faculty appointments must be
230 terminated.
- 231 iv. Except when serious distortion in a retrenched academic credit or degree-
232 producing program or department would otherwise result, as determined
233 by the department/program faculty, the chair/director, and the executive
234 vice president and provost;
- 235 a) the university will not terminate a tenured faculty member while
236 retaining an untenured, clinical faculty, limited term, and/or adjunct
237 faculty member in the terminated faculty member's discipline, except
238 that adjunct faculty may be retained to teach department fractional
239 loads if the workload is not sufficient to support a full-time faculty
240 member (in teaching of fractional loads, a retrenched tenured
241 professor has priority over adjunct/part-time faculty);
- 242 b) the university will not terminate a tenured or tenure-track faculty
243 member while at the same time renewing clinical faculty, limited-
244 term, or adjunct/part-time appointments or making new appointments
245 in the terminated faculty member's discipline, except that adjunct
246 faculty may be retained to teach department fractional loads if the
247 workload is not sufficient to support a full-time faculty member (in
248 teaching of fractional loads, a retrenched tenured professor has
249 priority over adjunct/part-time faculty).
- 250 v. The place of a terminated faculty member will not be filled by a full-time
251 replacement and the place of a terminated tenured faculty member will
252 not be filled by an aggregate of part-time faculty teaching the equivalent
253 of a full-time load within four years of the termination unless the
254 university has first offered reinstatement to the terminated faculty
255 member and given the terminated faculty member a reasonable time to
256 accept reinstatement.
- 257 vi. The university will respect the retreat rights of administrators who are
258 tenured faculty members. (Respecting the "retreat rights" of
259 administrators with tenure means that they will be considered in the
260 departmental personnel configuration when retrenchment decisions are
261 being made.)
- 262 vii. If a retrenched tenured faculty member could assume another faculty
263 position at the university with a year or less of training or retraining, and
264 the faculty position in question is not already occupied by a tenured
265 faculty member, then the university will assist the retrenched faculty
266 member's assumption of that position by providing leave of absence and
267 considering financial assistance for the purposes of training or retraining.
- 268 c. Implementation of General Procedures for Faculty Retrenchment
- 269 i. The Faculty Senate is responsible for making the judgments and
270 establishing the general criteria required in section I. E.2.b.ii. Its
271 responsibility is performed in written recommendations made to the
272 president and made available to all university faculty members.

- 273 ii. The president may accept or reject the Faculty Senate's
274 recommendations. If the president rejects the Faculty Senate's
275 recommendations, then the president informs the Faculty Senate in
276 writing of the reasons for rejection, offers suggestions for revisions, and
277 returns the matter to the Faculty Senate for further deliberation and
278 recommendations.
- 279 iii. If the Faculty Senate fails to make retrenchment recommendations that
280 are acceptable to the president after the matter is returned to it or fails to
281 make or revise its recommendations in a timely fashion, then the
282 president may assume the responsibility to make the judgments in section
283 I. E.2.b.ii.
- 284 iv. When finalized, the general procedures for retrenchment will be
285 transmitted to the faculties of the individual schools or college for further
286 implementation.
- 287
- 288 d. Implementation of Faculty Retrenchment
- 289 i. The Faculty Affairs Committee will establish a procedure for use by each
290 School/College in organizing a retrenchment committee for purposes of
291 implementing this policy.
- 292 ii. The Faculty Senate will create an inter-school retrenchment committee to
293 implement general retrenchment procedures that involve programs
294 having faculty from more than one school.
- 295 iii. The appropriate retrenchment committee will identify the programs to be
296 retrenched and the faculty members whose appointments may be subject
297 to termination under this Policy. In exercising this responsibility, the
298 retrenchment committee will consult with the dean and, if applicable,
299 with the administrative head of the affected department or program.
- 300 iv. The retrenchment committee's determination that a program should be
301 terminated will be made in writing to the appropriate dean or deans and
302 to the executive vice president and provost. If the dean or deans concur,
303 the determination will be final with the concurrence of the president. If an
304 appropriate dean disagrees with the committee's determination, then the
305 executive vice president and provost will resolve the disagreement, with
306 the concurrence of the president.
- 307 v. The retrenchment committee's determination that a faculty member's
308 appointment should be terminated because of financial exigency will be
309 made in the form of a written recommendation to the president. The
310 recommendation must include support for the following statements:
- 311 a) the proposed termination is due to financial exigency;
312 b) the retrenchment committee has followed general retrenchment
313 procedures (section I.E.2.c);
314 c) reasonable alternatives to the faculty member's termination have been
315 explored; and
316 d) termination of the faculty member is reasonable under the
317 circumstances.

- 318 vi. If the president concurs with the retrenchment committee's
319 recommendation, then the president will notify the faculty member and
320 the appropriate dean, in writing, that the faculty member's appointment is
321 terminated because of retrenchment. If the president disagrees with the
322 committee's recommendation, then the president will so state in writing
323 that returns the matter to the committee with suggestions or directions for
324 a different determination. If, after the president returns the matter, the
325 committee fails to respond promptly to the president with a
326 recommendation that is satisfactory, then the president may decide the
327 matter.
328
- 329 2. Retrenchment for Reason of Discontinuation or Change in Scope or Scale
330 of a Credit or Degree-Producing Program or Department Not Mandated by
331 Financial Exigency
- 332 a. Determination to Discontinue or Change in Scope or Scale a Credit
333 or Degree-Producing Program or Department
- 334 i. Subsequent to meaningful faculty consultation for such decisions (see
335 Chapter 1, I.B), the university may decide to discontinue or change in
336 scope or scale a credit or degree-producing program or department of
337 instruction because it no longer serves the institution's educational
338 mission.
- 339 ii. The decision whether to terminate a faculty member's appointment
340 because of the discontinuation or change in scope or scale of a credit or
341 degree-producing program or department rests with the president, acting
342 in conformance with this Policy.
- 343 iii. Whenever existing faculty appointments may be retrenched as a result,
344 the decision to discontinue or change in scope or scale a credit or degree-
345 producing program or department will be based solely upon educational
346 considerations as they may be determined by the appropriate faculty.
347 "Educational considerations" are those that reflect long-range judgments
348 that the university's educational mission will benefit by the
349 discontinuation or change in scope or scale and do not include
350 considerations of cyclical or temporary variations in enrollment.
- 351 b. Implementation in the Event of Possible Faculty Retrenchment
- 352 i. If discontinuation or change in scope or scale of a credit or degree-
353 producing program or department may result in the termination of a
354 faculty appointment, the faculty of the school or college will elect a
355 faculty committee, chaired by the, to study the matter and make suitable
356 recommendations.
- 357 ii. The committee's study and recommendations must take account of the
358 following:
- 359 a) the educational considerations that favor the continuation and
360 discontinuation or change in scope or scale of the credit or degree-
361 producing program or department in question;
- 362 b) the faculty retrenchment implications of the proposed
363 discontinuation or change in scope or scale;

- 364 c) the identification and weighing of alternatives that may reduce the
365 faculty retrenchment implications of the proposed discontinuation or
366 change in scope or scale.
- 367 iii. The committee’s study and recommendations will be presented in a
368 written report to the faculty of the school or college for consideration and
369 decision whether to discontinue or change in scope or scale the credit or
370 degree-producing program or department. If the president concurs with
371 the committee’s recommendation, the decision is final. If the president
372 disagrees with the committee’s recommendation, then the president will
373 so state in writing that returns the matter to the committee with
374 suggestions or directions for a different determination. If, after the
375 president returns the matter, the committee fails to respond promptly to
376 the president with a recommendation that is satisfactory, then the
377 president may decide the matter.
- 378 iv. If the credit or degree-producing program or department is discontinued
379 or changed in scope or scale or otherwise retrenched by vote of the
380 faculty of the school or college, then the dean of the school or college in
381 question will determine which faculty appointments, if any, must be
382 terminated as a result of the retrenchment. In the course of this
383 determination, the dean will consult and attempt to explore alternatives
384 with each faculty member whose continued appointment is in jeopardy.
385 The dean will report a determination and recommendations in writing to
386 the president, the executive vice president and provost, and to each
387 faculty member whose appointment may be terminated.
- 388 v. The president’s decision to terminate a faculty member’s appointment by
389 reason of discontinuation or change in scope or scale of a credit or
390 degree-producing program or department must be in writing and must be
391 based on, or respond to, the determination and recommendation of the
392 appropriate dean.

393
394 3. Rights of Faculty Members Subject to Retrenchment

395 Every retrenched faculty member has the following rights:

- 396 a. Relocation: before terminating a faculty member, the university will make
397 reasonable efforts to place the faculty member in another suitable university
398 position. These efforts shall include, but not be limited to, the following:
399 i. If, with a year or less of training or retraining, a retrenched faculty
400 member could assume another faculty or administrative position at the
401 university or in aggregate a full-time load by assuming the duties of one
402 or more adjunct/part-time faculty members and the position(s) in
403 question are not already occupied by tenured faculty member(s), then the
404 university will assist the retrenched faculty member’s assumption of
405 those position(s) by providing a leave of absence and considering
406 financial assistance for the purposes of training or retraining.
- 407 b. Notice and Severance Pay
408 A terminated faculty member will be given notice and severance salary not
409 less than as prescribed in “On Institutional Problems Resulting from

410 Financial Exigency: Some Operating Guidelines,” AAUP Policy Documents
411 and Reports (1995, pp. 193-194).

412 c. Appeal

413 A terminated faculty member has the right to appeal the termination.

414 Appeals from terminations due to retrenchment are governed by the

415 procedures described in Chapter 7.

416

417 **II. Termination of Adjunct/Part-time Contracts Prior to Expiration of** 418 **Contract**

419

420 Adjunct/Part-time contracts may be terminated prior to expiration, and any obligation of
421 the university to compensate the faculty member nullified, if it has been determined that
422 there is cause, such as professional incompetence, serious neglect of duty, or grave moral
423 delinquency that is detrimental to the university community.

424

425 **A. Informal Procedure**

426

427 The termination of an adjunct/part-time contract prior to the expiration of the
428 contract is usually originated by and implemented at the department/program level
429 through the chair/director and the dean of the college/school. Cause for such
430 termination includes grave moral delinquency that is detrimental to the university
431 community, professional incompetence, or serious neglect of duty. If the
432 termination is acceptable to the faculty member, the process is completed.

433

434 **B. Formal Procedure**

435

436 For cause, the president may suspend the contract of both pay and duties of an
437 adjunct/part-time faculty member effective with the postmark date of a letter of
438 notification. In the letter of notification, the president must give an opportunity to
439 the faculty member to request a hearing to determine whether cancellation of the
440 contract should take place. The faculty member must respond to this offer within
441 one week of the postmark date of the letter.

442 1. Hearing Committee

443 The hearing committee shall consist of five (5) faculty members, two
444 appointed by the president and, then, two by the Faculty Affairs
445 Committee, with the fifth member, who will serve as chair of the
446 committee, to be selected by the original four appointed members. The
447 choice of members of the hearing committee should be on the basis of their
448 objectivity, competence, absence of conflict of interest and the regard in
449 which they are held in the university community. No member of the Tenure
450 and Promotion Committee or the Faculty Affairs Committee may serve on
451 a Hearing Committee that formally considers the question of termination of
452 any faculty member. The hearing committee shall meet as soon as possible,
453 but no less than one week after its formation to consider the case. It shall
454 take all necessary steps to make a determination about the disputed facts in

455 the case, including the calling of whatever witnesses it deems necessary. It
456 shall make a recommendation to the president in the case no later than ten
457 (10) working days after the date of its first meeting.

458

459 2. Decision of the President

460 The president will give careful consideration to the recommendations of the
461 committee, but shall not be bound by such recommendations. The president
462 shall notify the faculty member of the committee's recommendation and of
463 the decision by a letter with a postmark date no more than two weeks
464 beyond the date of the president's receipt of the recommendation of the
465 hearing committee. This letter shall include the basis for the president's
466 decision.

467

468 **III. Amendments to Chapter 6: Termination of Faculty Contracts**

469

470 This chapter may be amended at any meeting of the Faculty Senate by a 60% majority of
471 those present and voting. Proposed amendments must be submitted in writing to the
472 Executive Committee and distributed with the agenda at least one week prior to the
473 meeting of the Faculty Senate at which action is to be taken. Amendments shall be
474 incorporated into the pertinent section of Chapter 6, unless otherwise specified.

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Chapter 7

Faculty Grievance Policy

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I. Purpose

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The university recognizes that disputes can arise among faculty members and between faculty members and the administration. The faculty and administration believe it is desirable to resolve these disputes internally through a fair and rational process that is as expeditious and non-adversarial as possible. This policy and the related procedures are designed to meet these objectives. The policy offers faculty both informal and formal means for resolving their disputes within a clear, consistent, and transparent framework involving peer facilitators and peer review.

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II. Eligibility to Submit a Grievance Under This Policy

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To submit a grievance under this policy, the faculty member must be a regular employee of the university who is classified as a tenured, tenure-track, clinical, visiting, or limited term faculty member. Staff/clinical/laboratory instructors, adjunct faculty, and former employees (including individuals designated as emeritus/a faculty) are not eligible to submit grievances under this policy.

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III. Conditions for a Grievance to Proceed Under This Policy

To proceed under this policy, grievances must:

- (a) Be submitted in writing by an eligible faculty member (“grievant”) using the grievance submission template maintained by the faculty grievance officer;
- (b) Be submitted within one hundred eighty (180) calendar days (inclusive of summer) following the grievant’s receipt of written notification of the action(s) being challenged;
- (c) State the name(s) of the individual(s) against whom the grievance is directed (“respondent(s)”);
- (d) State the action(s) being challenged, which must be one or more of the grievable action(s) identified in Chapter 7.IV;
- (e) State the date(s) the grievant received written notice of the grievable action(s);
- (f) State the grounds for the grievance, which must be one or more of the grievable grounds identified in Chapter 7.V;
- (g) State the adverse effect(s) of the grievable action(s) on the grievant;
- (h) Describe the factual basis of the grievance and present all arguments the grievant wishes to make to prove the claimed grounds, within the word count limits prescribed by the grievance submission template;
- (i) State the desired remedy; and
- (j) Not be the subject of an external dispute resolution process (for example, a regulatory or legal complaint filed by or on behalf of the grievant with a federal,

44 state or local regulator or court, or a written threat of legal action made by or on
45 behalf of the grievant against the university or respondent(s)).
46 Only grievable actions and grounds that are identified in Chapters 7.IV and 7.V and that
47 are specifically raised in the written grievance will be considered as part of the grievance
48 process.
49

50 **IV. Grievable Actions**

51 **A. Actions Grievable Under This Policy**

52 After a final decision, the following actions are grievable under this policy:

- 53 1. Non-renewal of a renewable faculty contract;
- 54 2. Denial of tenure;
- 55 3. Denial of promotion;
- 56 4. Selection of the grievant (or a group of faculty including the grievant) to be
57 terminated because of retrenchment (but not the university's decision to
58 retrench);
- 59 5. Decision of the executive vice president and provost ("provost") in the
60 grievant's annual evaluation;
- 61 6. Denial or withdrawal of faculty benefits based on individual administrative
62 decisions rather than benefits plans or policies;
- 63 7. Disciplinary sanction resulting in demotion, reprimand, or salary reduction;
64 and
- 65 8. Other final decisions having an adverse effect upon the grievant that are not
66 excluded by Chapter 7.IV.B.
67

68
69 Grievances challenging actions described in paragraph (1) and in paragraphs (4)
70 through (8) above may be addressed through either the informal (mediation) process
71 described in Chapter 7.X or the formal (hearing) process described in Chapter 7.XI.
72 Grievances challenging the denial of tenure or promotion must be addressed under the
73 formal (hearing) process in Chapter 7.XI.
74

75 **B. Actions Not Grievable Under This Policy**

76 If an action is not included in Chapter 7.IV.A above, it is not grievable under this
77 policy. In addition, the following actions are not grievable under this policy:

- 78 1. Triennial review evaluations, provided that the faculty member's right to
79 comment on the review and have such comment added to the portfolio and
80 personnel file has been upheld (although the content of such evaluations
81 may be examined as relevant to grievance of an adverse action described in
82 Chapter 7.IV.A);
- 83 2. Actions adversely affecting adjunct faculty, staff/clinical/laboratory
84 instructors, emeritus/emerita faculty, and other individuals who are not
85 regular employees of the university classified as a tenured, tenure-track,
86 clinical, visiting, or limited term faculty member;
- 87 3. Faculty hiring decisions;
- 88 4. Decisions under benefits plans or policies;

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5. Disputes between a faculty member and another faculty member or an administrator that did not result in an action described in Chapter 7.IV.A;
 6. Complaints of sexual harassment or other sexual misconduct, which are to be raised in accordance with the university’s Sexual Misconduct Policy;
 7. Complaints about the dismissal of a tenured member of the faculty, which are to be raised in accordance with the university’s procedures for “Termination of Faculty Contracts,” found in this Faculty Handbook;
 8. Complaints about the dismissal of a non-tenured member of the faculty that takes effect prior to the expiration of the annual contract, which are to be raised in accordance with the university’s procedures for “Termination of Faculty Contracts,” found in this Faculty Handbook; and
 9. Complaints regarding the university’s decision to retrench, which are to be raised in accordance with the university’s procedures for “Termination of Faculty Contracts,” found in this Faculty Handbook.

104 **V. Grievable Grounds; Standard of Review**

105
106 To successfully challenge a grievable action, the grievant must prove one or more of the
107 following grounds that are stated in the written grievance. A preponderance of the
108 evidence (more likely than not) standard will be used to determine whether the grounds
109 have been met.

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111 **A. Grounds for Grievances Other Than Denial of Tenure or Promotion**

112 When the grievable action is not the denial of tenure or promotion, the grievant
113 must claim and demonstrate that the grievable action is:

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1. A violation of academic freedom;
 2. A breach of a contractual right;
 3. Unlawful discrimination on the basis of a characteristic identified in the university’s Equal Opportunity Statement and Notice of Nondiscrimination, other than unlawful discrimination in the form of sexual harassment or other sexual misconduct, which are governed by the university’s Sexual Misconduct Policy; or
 4. An arbitrary or capricious decision. For purposes of this policy, “arbitrary and capricious” means that the decision was (a) made in direct violation of university, school, college, department, or program rules, such as the application of improper criteria, standards, or indices in annual evaluations; failure to follow mandatory procedural steps; failure to consider a factor that was a required element of the decision; or substantial reliance on a factor that was not permissible to consider in the decision; or (b) not supported by facts or evidence that a reasonable person could accept as adequate to support a decision.

131 **B. Grounds for Grievances Related to Denial of Tenure or Promotion**

132 When the grievable action is the denial of tenure or promotion, the grievant must
133 claim and demonstrate that the denial of tenure or promotion is based on:

- 134 1. Unlawful discrimination on the basis of a characteristic identified in the
135 university’s Equal Opportunity Statement and Notice of Nondiscrimination,
136 other than unlawful discrimination in the form of sexual harassment or other
137 sexual misconduct, which are governed by the university’s Sexual
138 Misconduct Policy;
139 2. A violation of academic freedom; or
140 3. A violation of due process, which may include the application of improper
141 criteria, standards, or indices.

142 Grievances related to denial of tenure or promotion will not include a re-evaluation
143 of the merits. Hearing committees for such grievances do not have the
144 responsibility or authority to evaluate the professional qualifications or
145 accomplishments of the faculty candidate in teaching, professional engagement, or
146 service, as such an evaluation is reserved to the tenure and promotion process.
147

148 **VI. Designated Representative When the President Is the Respondent**

149
150 If the university president is named as a respondent in the grievance, the provost or
151 another administrator designated by the president may represent the president as
152 respondent, so long as notice is provided to the faculty grievance officer and the grievant.
153

154 **VII. Initiation of the Grievance Process**

155
156 The grievance process begins when an eligible faculty member submits their written
157 grievance to the faculty grievance officer. Faculty who are considering submitting a
158 grievance are welcome and encouraged to consult the faculty grievance officer in
159 advance of submitting their grievance. The faculty grievance officer maintains
160 submission templates and other information that may be helpful to faculty in preparing
161 their grievance and understanding which grievance processes may apply.
162

163 **VIII. Determination Whether a Grievance Will Proceed**

164
165 A determination of whether the grievance will proceed will be made promptly after the
166 faculty grievance officer receives the written grievance, as follows:
167

168 **A. Determination by the Faculty Grievance Officer**

169 The faculty grievance officer will assess the grievance to determine whether it
170 meets the conditions to proceed under this policy and will notify the provost of the
171 grievance and the faculty grievance officer’s determination. If the faculty grievance
172 officer determines it meets the conditions, the grievance will proceed, without
173 consideration by the provost. If the faculty grievance officer determines the
174 grievance does not meet the conditions to proceed, the faculty grievance officer will
175 refer the grievance to the provost for assessment.
176

177 **B. Determination by the Provost, if Applicable**

178 If the grievance is referred to the provost, the provost will determine whether it
179 meets the conditions to proceed under this policy. The provost will promptly notify
180 the faculty grievance officer of the provost's determination.
181

182 **C. Determination of Available Process(es), if Applicable**

183 If either the faculty grievance officer or the provost determines that the grievance
184 meets the conditions to proceed under this policy, the faculty grievance officer will
185 determine whether the informal process is available for the grievance or whether
186 the formal process must be used, based on the grievable action(s).
187

188 **D. Notification to Grievant and Facilitation of Next Steps**

189 The faculty grievance officer will provide written notice to the grievant to let them
190 know the determinations and next steps. The faculty grievance officer will then
191 facilitate the appropriate next steps, as described below.
192

193 1. Opportunity to Appeal a Negative Determination

194 If both the faculty grievance officer and provost determine the grievance
195 does not meet the conditions to proceed under this policy, the grievant may
196 appeal that determination by a written submission to the Faculty Affairs
197 Committee within ten (10) business days (Mondays through Fridays,
198 exclusive of university holidays) following written notice of the
199 determination from the faculty grievance officer. If the grievant appeals, the
200 Faculty Affairs Committee will promptly consider the appeal and notify the
201 grievant, the faculty grievance officer, and the provost of its determination,
202 which will be the final determination of whether the grievance can proceed
203 under this policy. The faculty grievance officer will take no further action
204 on the grievance unless the Faculty Affairs Committee determines the
205 grievance is grievable.
206

207 2. Referral to the Appropriate Grievance Process; Notice to the Respondent

208 a. **Grievances Related to Denial of Tenure or Promotion.** If the grievable
209 action is the denial of tenure or promotion, the grievance can only proceed
210 under the formal (hearing) process. In that case, the faculty grievance officer
211 will immediately begin the formal process.
212

213 b. **Grievances Eligible for the Informal Process.** If the faculty grievance
214 officer determines that a grievance may utilize the informal (mediation)
215 process, the faculty grievance officer will promptly notify the respondent(s) in
216 writing that they have been named in a grievance that will proceed under this
217 policy, accompanied by a copy of the grievance. The faculty grievance officer
218 will ask the respondent(s) and the grievant, in writing, whether they are
219 willing to proceed under the informal process. If both the grievant and
220 respondent(s) agree to participate in mediation, the faculty grievance officer
221 will begin that informal process. If either party does not agree to participate in
222 mediation, the faculty grievance officer will advise the grievant that the
223 grievance may now be pursued only under the formal (hearing) process. The

224 faculty grievance officer will ask the grievant to confirm within ten (10)
225 business days that they wish to proceed under the formal process. If the
226 grievant so confirms, the faculty grievance officer will begin the formal
227 process. If the grievant declines to proceed under the formal process, the
228 faculty grievance officer will notify the grievant and respondent(s) that the
229 grievance process will not proceed, and the grievance will be considered
230 withdrawn and moot.
231

232 **IX. Withdrawal or Mooting of a Grievance**

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234 **A. Withdrawal by the Grievant**

235 At any point before the grievance process is completed, a grievant may withdraw a
236 grievance by providing written notice to the faculty grievance officer that they wish
237 to withdraw or otherwise do not wish to proceed with the grievance. In either case,
238 the grievance process will stop, and the grievance will be considered moot.
239

240

241 **B. Withdrawal by Commencement of External Process**

242 If, at any point before the grievance process is completed, a grievable action
243 becomes a subject of an external dispute resolution process, the grievance process
244 will stop, and the grievance will be considered withdrawn and moot. External
245 dispute resolution processes include, for example, a complaint filed by or on behalf
246 of the grievant with a regulator or court, or a written threat of legal action made by
247 or on behalf of the grievant against the university or respondent(s).
248

249

250 **C. Withdrawal by Termination of Employment**

251 If, at any point before the grievance process is completed, the grievant is no longer
252 employed by the university, the grievance process will stop, and the grievance will
253 be considered withdrawn and moot, unless the grievable action is the non-renewal
254 of a renewable contract or the denial of tenure. In those cases, the grievance process
255 will stop unless, prior to the grievant's last day of employment with the university,
256 the grievant provides written notice to the faculty grievance officer and the provost
257 that the grievant intends to continue participating in the grievance process
258 following termination of the grievant's employment. The grievant also must
259 provide the faculty grievance officer and provost with forwarding contact
260 information. If the grievant fails to actively participate in the grievance process
261 following the grievant's last day of employment (for example, by failing to meet
262 document submission deadlines, timely respond to communications, or appear for
263 meetings or hearings), the grievance process will stop, and the grievance will be
264 considered withdrawn and moot.

264 **X. Informal Process: Mediation**

265

266 Mediation is an informal, unstructured process to resolve grievances with the assistance
267 of a faculty mediator. The faculty mediator is expected to work diligently with the

268 grievant and respondent(s) to facilitate a resolution, through one or more mediation
269 sessions in which the mediator may meet individually or collectively with the parties. If
270 the parties agree, in writing, to participate in mediation, the faculty grievance officer will
271 promptly begin the informal process, as follows:
272

273 **A. Request for Response**

274 The faculty grievance officer will ask the respondent(s) to submit a written response
275 to the grievance, setting forth their position in detail and including all arguments they
276 wish to make to disprove the grievant's claimed grounds for the grievance. The
277 faculty grievance officer will set a reasonable deadline for submission of the
278 response, which will be at least ten (10) business days after the faculty grievance
279 officer provided the grievance to the respondent(s) and requested the response. Upon
280 receipt, the faculty grievance officer will share the response with the grievant.
281

282 **B. Assignment and Training of Mediator**

283 **1. Identification of Prospective Mediator**

284 While awaiting the response, the faculty grievance officer will select a mediator
285 from the university's faculty, in consultation with the Faculty Affairs Committee.
286 The faculty mediator need not be a tenured member of the faculty or formally
287 certified as a mediator. The faculty mediator should have skills, experience or
288 expertise the faculty grievance officer considers appropriate to command the
289 respect of the grievant and respondent(s) and to effectively facilitate a resolution
290 of the grievance. A faculty member may not serve as a mediator for any grievance
291 while concurrently serving on the Faculty Affairs Committee. Also, the faculty
292 grievance officer must not appoint any mediator who has a conflict of interest
293 with the grievant or respondent(s). To help identify potential conflicts of interest,
294 the faculty grievance officer may share the name of the grievant and respondent(s)
295 in confidence when requesting a faculty member's participation as a mediator, but
296 the faculty grievance officer should not share details of the grievance until after
297 the mediator has confirmed their ability to serve. Faculty identified as prospective
298 mediators are expected to participate in the grievance process in good faith, so
299 long as they are reasonably available during the designated time period for the
300 mediation and do not have other legitimate reasons to decline to serve, as
301 determined by the faculty grievance officer in consultation with the Faculty
302 Affairs Committee.
303

304 **2. Notice to Parties; Review for Conflicts of Interest**

305 After confirming a faculty member's availability to serve as mediator, the faculty
306 grievance officer will provide written notice of the selected mediator to the
307 grievant and respondent(s). Either party may object to the appointment due to a
308 conflict of interest. Objections must be made to the faculty grievance officer in
309 writing with all supporting facts. The faculty grievance officer will make the
310 determination whether a conflict exists or reasonably could be perceived to exist.
311 If so, the faculty grievance officer will select a different mediator and share the
312 new name with the grievant and respondent.
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3. Appointment of Mediator

When the faculty grievance officer has identified a mediator without an actual or perceived conflict of interest, the faculty grievance officer will formally appoint the mediator to the grievance and provide the mediator with the grievance and response, copying the grievant and respondent(s) so they are aware of the formal appointment.

4. Training of Mediator

The faculty grievance officer will provide or arrange training for the mediator promptly following their appointment. The training is intended to ensure familiarity with this policy and the mediator’s responsibilities under this policy, and to provide the mediator with guidance for effective service as a mediator. The training may be provided by university employees or external resources.

C. Pre-Mediation Meeting

The faculty grievance officer will meet with the grievant, respondent(s), and mediator, and other interested persons if the faculty grievance officer determines it may be helpful, to review the mediation process and timing, answer questions about the process and next steps if the mediation does not successfully resolve the dispute, and clarify any ambiguities or other issues related to the grievance.

D. Mediation

Following the meeting with the faculty grievance officer, the mediator will meet with the grievant and respondent(s) without the faculty grievance officer or other interested persons. The mediator will attempt to facilitate a resolution of the grievance in a way that is satisfactory to both the grievant and respondent(s). The mediator, grievant, and respondent(s) will work in good faith to resolve the grievance within sixty (60) calendar days of the mediator’s appointment. However, upon written notice to the other parties and the faculty grievance officer, any of the grievant, respondent(s), or mediator may require that all or part of the period from June 1 to August 31 not be counted toward the sixty (60) calendar day limit.

E. Conclusion of the Informal Process; Written Report of the Mediator

1. Lack of Resolution

(a) Termination of Mediation. If at any time during the mediation process the grievant and respondent(s) agree that further mediation will not be fruitful, the mediator will issue a written statement to that effect, which will be furnished to the grievant, respondent(s), and the faculty grievance officer. Unless there are extenuating circumstances and the grievant and respondent(s) agree to continue the mediation process, if the parties have not reached a resolution that is satisfactory to both of them within sixty (60) calendar days of the mediator’s appointment, the mediator will issue a written report indicating a lack of resolution to the faculty grievance officer, with copies to the grievant and respondent(s).

359 **(b) Request to Pursue the Formal Process.** In either case, if the grievant wishes
360 to pursue the formal process, the grievant must submit a written request to the
361 faculty grievance officer within thirty (30) calendar days of the grievant’s
362 receipt of the mediator’s written statement that the mediation was
363 unsuccessful. If the grievant timely requests to pursue the formal grievance
364 process, the faculty grievance officer will promptly begin that process. If the
365 grievant does not timely request to pursue the formal process, the faculty
366 grievance officer will notify the grievant and respondent(s) that the formal
367 grievance process will not proceed, and the grievance will be considered
368 withdrawn and moot.

369
370 **2. Mutually Satisfactory Resolution**

371 If a mutually satisfactory resolution is achieved, the mediator will reduce the
372 resolution to writing and clearly mark it as confidential. The document will be
373 signed by the grievant, respondent(s), and mediator. After it is signed by all
374 parties, the mediator will send the original document in an envelope marked
375 “confidential” to the faculty grievance officer, with electronic copies to the
376 grievant, respondent(s), and faculty grievance officer. The grievant,
377 respondent(s), mediator, and faculty grievance officer will treat the document as
378 confidential.

379
380 **F. Notice to the Provost**

381 If the provost is not a party to the mediation, the faculty grievance officer will notify
382 the provost whether the grievance has been satisfactorily resolved through mediation
383 and, if not, whether the faculty member has requested to pursue the formal process.
384

385 **G. Recordkeeping**

386 The faculty grievance officer will ensure that a copy of the grievance, response, the
387 mediator’s written report, and other relevant records related to the grievance are
388 maintained by the provost’s office, in accordance with applicable university
389 recordkeeping policies. If the grievance was resolved, or if the grievance was not
390 resolved but the grievant does not pursue the formal process, other documents related
391 to the grievance will be securely destroyed unless the faculty grievance officer has
392 been notified of a legal hold on the documents, in which case they will be retained in
393 accordance with the legal hold. The provost and the faculty grievance officer will
394 have continuing access to the grievance file for purposes of evaluating the workings
395 of this policy and preparing the faculty grievance officer’s annual report. If the
396 grievance was not resolved and the grievant pursues the formal process, the faculty
397 grievance officer will retain other documents related to the grievance until the
398 conclusion of the formal process and will follow the recordkeeping requirements for
399 that process with respect to such other documents.
400

401 **XI. Formal Process: Hearings**
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403 Hearings are a formal, structured process to resolve grievances with the involvement of a
404 faculty hearing committee that considers the information presented by the grievant and
405 respondent(s). In the formal process, the president makes the final determination of how
406 to respond to the grievance. The formal process will be used when:

- 407 1. the grievance relates to the denial of tenure or promotion;
- 408 2. the grievance was eligible for the informal process but the parties did not agree to
409 mediation, and the grievant submitted a written request to pursue the formal process;
410 or
- 411 3. the parties sought to resolve the grievance through the informal process, but the
412 mediation did not resolve the grievance to the satisfaction of the parties, and the
413 grievant submitted a written request to pursue the formal process.

414
415 The faculty grievance officer will begin and facilitate the formal process as described
416 below. The faculty grievance officer may extend deadlines under the formal process if the
417 faculty grievance officer determines there are legitimate reasons to do so, including
418 pausing or delaying the process between June 1 and August 31 if parties and hearing
419 committee members are not reasonably available during that period.

421 **A. Request for Response**

422 If the respondent(s) did not already submit a response as part of the informal
423 process, the faculty grievance officer will ask the respondent(s) to submit a written
424 response to the grievance, setting forth their position in detail and including all
425 arguments they wish to make to disprove the grievant's claimed grounds for the
426 grievance. The faculty grievance officer will set a reasonable deadline for
427 submission of the response, which will be at least ten (10) business days after the
428 faculty grievance officer provided the grievance to the respondent(s) and requested
429 the response. Upon receipt, the faculty grievance officer will share the response
430 with the grievant.

432 **B. Appointment of Hearing Committee**

433 While awaiting the response, the faculty grievance officer will initiate the process
434 for appointing the hearing committee, as detailed below. The names of the grievant
435 and respondent(s) and the substance of the grievance will not be shared with any
436 prospective hearing committee member at any time during the selection process.
437 That information will only be shared with the hearing committee, after it is trained.

439 **1. Selection of Hearing Committee Pool**

440 The faculty grievance officer will contact the Faculty Affairs Committee chair to
441 request the identification of a hearing committee pool. The pool will comprise
442 fifteen (15) regular, tenured faculty members selected by the Faculty Affairs
443 Committee. The Committee will ensure the pool is generally representative of the
444 faculty and that no faculty member will serve on more than one hearing
445 committee under this policy within five (5) consecutive years. In no case will the
446 hearing committee pool include any member of the University Tenure and
447 Promotion Committee, Faculty Affairs Committee, or any mediator who
448 participated or was disqualified from participating in mediation regarding the

449 grievance. Upon finalizing the hearing committee pool, the Faculty Affairs
450 Committee chair will forward the names of the hearing committee pool members
451 to the faculty grievance officer.
452

453 **2. Review of Hearing Committee Pool for Conflicts of Interest**

454 The faculty grievance officer will review the hearing committee pool to identify
455 any known or apparent conflicts of interest based on the substance of the
456 grievance and the identity of the grievant and respondent(s). The faculty
457 grievance officer will request the Faculty Affairs Committee to replace any
458 members of the pool whom the faculty grievance officer determines to have a
459 known or apparent conflict.
460

461 **3. Finalization of Hearing Committee Pool; Notice to Faculty in the Pool**

462 After a hearing committee pool has been confirmed by the faculty grievance
463 officer not to have any known or apparent conflicts of interest, the faculty
464 grievance officer will notify faculty selected for the hearing committee pool of
465 their selection and confirm these faculty members' availability to serve on the
466 hearing committee if appointed. Faculty members are expected to remain in the
467 pool and accept a hearing committee appointment unless they will not be
468 reasonably available to serve during the time period for the hearing process or
469 there are other legitimate reasons for their withdrawal from the pool, as
470 determined by the faculty grievance officer in consultation with the Faculty
471 Affairs Committee. If the faculty grievance officer determines that a faculty
472 member may withdraw from the pool, the faculty grievance officer will request
473 the Faculty Affairs Committee to select a replacement, who will be reviewed by
474 the faculty grievance officer for potential conflicts of interest. If there are none,
475 the replacement faculty member will be notified by the faculty grievance officer
476 about their membership in the pool.
477

478 **4. Appointment of Hearing Committee Members**

479 After finalizing the hearing committee pool, the faculty grievance officer will
480 share the list with the provost. The faculty grievance officer and provost each will
481 select two faculty members from the pool to serve on the hearing committee. The
482 faculty grievance officer will notify the grievant and respondent(s) of the names
483 of the four proposed hearing committee members and ask whether either party
484 objects to the appointment of any of the four selected members based on a conflict
485 of interest. All such objections with supporting facts must be submitted to the
486 faculty grievance officer in writing within a reasonable timeframe designated by
487 the faculty grievance officer. The faculty grievance officer will make the
488 determination whether a conflict exists or reasonably could be perceived to exist.
489 If so, depending on which faculty member is conflicted, either the faculty
490 grievance officer or the provost will select a replacement hearing committee
491 member. The faculty grievance officer will notify the grievant and respondent(s)
492 of the replacement.
493

494 **5. Appointment of Hearing Committee Chair**

495 After four hearing committee members without conflicts of interest have been
496 appointed, the grievance officer will notify them of their appointment and
497 schedule time for them to meet and select the hearing committee chair from
498 among the remaining hearing committee pool members (not including any
499 members disqualified due to conflicts of interest). The hearing committee
500 members will notify the faculty grievance officer of their chair selection. The
501 faculty grievance officer will share the name of the hearing committee chair with
502 the grievant and respondent(s). Objections with supporting facts must be timely
503 submitted to the faculty grievance officer in writing, and the faculty grievance
504 officer will make the determination whether a conflict exists or reasonably could
505 be perceived to exist. If so, the faculty grievance officer will request the appointed
506 hearing committee members to select a replacement. When a hearing committee
507 chair has been identified who has no known or perceived conflicts, the faculty
508 grievance officer will notify the hearing committee chair of their appointment.
509

510 **C. Scheduling of Hearing Committee Training, Pre-Hearing Meetings, and**
511 **Hearing**

512 Promptly after the hearing committee composition is finalized, the faculty
513 grievance officer will contact the hearing committee members and the parties to
514 identify available dates and times for the hearing committee training, pre-hearing
515 meetings for the hearing committee, and the hearing. Ideally, the hearing committee
516 training should be scheduled to occur no more than six (6) weeks prior to the
517 anticipated hearing date(s), and pre-hearing meetings of the hearing committee
518 should be held approximately one (1) week following the training to permit
519 sufficient time to review the grievance and response.
520

521 **D. Establishment of Secure Site for Grievance Documents**

522 Before the hearing committee training, the faculty grievance officer will work with
523 a designated administrative assistant in the provost's office to establish a secure,
524 online site to serve as a repository for the grievance, response, hearing procedures,
525 and other materials to be shared with the grievant, respondent(s), and hearing
526 committee members. The parties will be given access to the site after the hearing
527 committee training.
528

529 **E. Hearing Committee Training**

530 The faculty grievance officer will provide or arrange training for all members of the
531 hearing committee. The training is intended to ensure familiarity with this policy
532 and the hearing committee's authority and responsibilities under this policy, and to
533 provide the hearing committee with guidance regarding the development of hearing
534 procedures and preparing for and conducting the hearing. The training may be
535 provided by university employees or external resources. After the training, the
536 faculty grievance officer will provide the hearing committee with the names of the
537 grievant and respondent(s) and information about the grievance. The faculty
538 grievance officer will also ensure all hearing committee members have access to
539 the secure site containing the grievance and response documents promptly
540 following the training.

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F. Hearing Procedures

Recommended hearing procedures are maintained by the faculty grievance officer. These procedures may be modified by individual hearing committees in consultation with the faculty grievance officer and designated university legal counsel. At a minimum, the following matters must be addressed in the hearing procedures:

1. Responsibilities and Authority of the Hearing Committee

The hearing committee has authority to fulfill its responsibilities and to reach a conclusion, after considering all relevant information provided to the hearing committee, about whether the grievant has established the grounds claimed in the grievance by a preponderance of the evidence. The hearing committee is not responsible and has no authority to make a final decision about the grievance on behalf of the university. Rather, the hearing committee is authorized to make a recommendation to the university’s president and, in grievances related to the denial of tenure or promotion, to remand the tenure or promotion decision to the University Tenure and Promotion Committee for reconsideration and a recommendation to the president. The president will make the final decision with respect to the grievance.

2. Responsibilities and Authority of the Hearing Committee Chair

The hearing committee chair is responsible for coordinating the work of the hearing committee, leading hearing committee sessions and hearing committee meetings to prepare for and deliberate after the hearing, communicating with the faculty grievance officer and the hearing participants as appropriate, ensuring the timely distribution of hearing-related documents to appropriate recipients, serving as the primary recordkeeper of hearing-related records during the formal process, generally helping ensure that the hearing committee timely meets all of its obligations, and taking other actions on behalf of the hearing committee as they request or direct. The faculty grievance officer may arrange for administrative assistance to be provided to the hearing committee chair depending on the volume of materials and complexity of the grievance.

3. Hearing Sessions and Related Meetings with the Parties

Hearings will be held in closed sessions, attended only by the grievant and respondent(s); an eligible support person to the grievant (if desired by the grievant); the hearing committee members; a reasonable number of individuals (as determined by the hearing committee) requested by the parties to present information at the hearing in support of a party’s position; a scribe or technician if the hearing committee chooses to record the hearing; and other persons if determined by the hearing committee to be necessary to the proceedings. The faculty grievance officer is encouraged but not required to attend every hearing. The grievant’s support person may be an attorney who is providing legal counsel to the grievant, so long as the attorney is not an employee of the university and does not have any other conflict of interest with the university. The grievant’s

587 support person cannot be an academic administrator for the university, such as a
588 department chair, dean, or associate dean, as this would give rise to a conflict of
589 interest with the university. The grievant’s support person may directly consult
590 with and informally advise the grievant during the hearing and at other meetings
591 with the parties. However, the support person is not otherwise permitted to
592 participate in the hearing or other meetings. For example, the support person may
593 not speak on the grievant’s behalf at meetings or hearing sessions and may not
594 present information, address the hearing committee, or question participants in the
595 hearing. If the grievant’s support person is an attorney, then the respondent may
596 also have an attorney present (who may be university legal counsel or separate
597 counsel for the respondent), and an additional attorney for the university may be
598 present to observe the proceedings and provide legal counsel to the hearing
599 committee. As with an attorney providing legal counsel to the grievant, the
600 attorney for the respondent and attorney for the university are also not permitted
601 to participate in the hearing or other meetings.
602

603 **4. Scheduling and Votes**

604 No hearing committee meeting or hearing will be scheduled unless all of the
605 hearing committee members are available to attend, and no votes will be taken
606 without all of the hearing committee members present. In unforeseen
607 circumstances, a previously scheduled hearing (but not a vote) may proceed with
608 four (4) hearing committee members present if the hearing is recorded and the
609 absent member has an opportunity (if desired) to submit questions to the parties
610 and others who presented information at the hearing, either at a subsequent
611 hearing session or through the written exchange of information, which will be
612 managed by the hearing committee chair.
613

614 **5. Hearing Committee Deliberations**

615 Within five (5) business days following the conclusion of the final hearing session
616 for the grievance, the hearing committee will conduct deliberations to determine
617 its recommendation(s) to the president. All deliberations will be held in closed
618 session attended by all the hearing committee members. Neither the faculty
619 grievance officer nor any other person may be present during the deliberations,
620 which will be confidential. In all deliberations, the hearing committee will attempt
621 to reach consensus. If consensus is not possible, the hearing committee will vote.
622 The vote required for any hearing committee decision will be a simple majority of
623 the total votes eligible to be cast. If, while deliberating, the hearing committee
624 determines that additional information would be helpful in reaching a decision,
625 the hearing committee may request the submission of additional information and
626 extend the deliberation process as necessary to obtain the additional information.
627 The deliberations will be concluded as expeditiously as possible.
628

629 **6. Conclusion of Hearing Process; Written Recommendation**

630 The hearing process will be considered to be concluded when the hearing
631 committee has completed its deliberations and reached a decision. No later than
632 ten (10) business days after the conclusion of the deliberations, the hearing

633 committee will submit to the president its conclusions, written recommendations,
634 and the underlying reasons for them, with copies provided to the grievant,
635 respondent(s), and the faculty grievance officer. For grievances related to the
636 denial of tenure or promotion, if the hearing committee concludes that the
637 grievant established one or more grievable grounds by a preponderance of the
638 evidence, the hearing committee will directly remand the matter to the University
639 Tenure and Promotion Committee for reconsideration of the merits in light of the
640 hearing committee's conclusions. The hearing committee will provide a copy of
641 its written conclusions, recommendations, and reasons to the chair of the
642 University Tenure and Promotion Committee at the same time it submits them to
643 the president. The University Tenure and Promotion Committee will send the
644 candidate's dossier back to that stage of the tenure/promotion process where the
645 violation occurred and restart the process at that point. After obtaining new
646 recommendations as appropriate from the Departmental Promotion or Tenure
647 Committee, the department chair or program director, and the dean, with an
648 opportunity for a response by the candidate to each recommendation, the
649 University Tenure and Promotion Committee will deliberate and submit a new
650 recommendation to the president.

651 **G. President's Decision; Written Notice**

652 The president is the final decisionmaker for all grievances. The president will give
653 careful consideration to the recommendations of the hearing committee (or, if
654 applicable, the University Tenure and Promotion Committee). However, the
655 president will not be bound by such recommendations. The president will
656 communicate a decision in writing to the grievant and respondent(s) within ten (10)
657 business days of receiving the written recommendation of the hearing committee,
658 unless the hearing committee directly remanded the matter to the University Tenure
659 and Promotion Committee. In that case, the president will communicate a decision
660 in writing to the grievant within ten (10) business days of receiving the written
661 recommendation of the University Tenure and Promotion Committee. Confidential
662 copies of the president's decision will be provided to the faculty grievance officer
663 and the provost.

664 **H. Recordkeeping**

665 Following completion of the grievance proceedings, the faculty grievance officer
666 will collect all documents related to the grievance from the hearing committee
667 members. A file consisting of a copy of the grievance, the responses from all
668 respondents, the hearing committee's written conclusions, recommendations and
669 reasons, and the final decision of the president, together with any recording that
670 was made of the proceedings (if applicable), will be maintained in the office of the
671 provost in accordance with applicable university recordkeeping policies. All other
672 documents and copies collected by the faculty grievance officer will be securely
673 destroyed unless the faculty grievance officer or hearing committee members have
674 been notified of a legal hold on the documents, in which case the documents will be
675 retained in accordance with the legal hold. The provost and the faculty grievance
676 officer will have continuing access to the grievance file for purposes of evaluating
677
678

679 the workings of this policy and preparing the faculty grievance officer’s annual
680 report.
681

682 **XII. General Considerations**

683

684 **A. Good Faith Participation; No Retaliation**

685 Members of the university community are expected to participate in the faculty
686 grievance process in good faith. Participation may include (but is not limited to)
687 providing a timely response and otherwise participating in the grievance process as
688 a respondent; serving as a mediator or hearing committee member when requested
689 to do so, if circumstances reasonably permit; and providing true and complete
690 information when requested to do so by a participant in the process. It is also
691 expected that no individual will be subject to retaliation by the university or any
692 member of the university community as a result of good faith participation in
693 faculty grievance proceedings.
694

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696 **B. Confidentiality**

697 Unless confidentiality is waived by the grievant, all participants in the grievance
698 process will make every effort to maintain the confidentiality of the process,
699 including (but not limited to) the details of the matter that is the subject of the
700 grievance. Information about the grievant, respondent(s) and the grievance should
701 only be shared on a need-to-know basis. However, a breach of confidentiality will
702 not invalidate the proceedings.

703

704 **C. Not Legal Proceedings; Involvement of Legal Counsel**

705 Grievance proceedings are not legal proceedings and are not intended to replicate
706 legal proceedings. They are not subject to legal rules of evidence or other
707 procedural requirements that would apply to litigation. Attorney’s providing legal
708 counsel to grievants, respondents, and other participants in the grievance process
709 are not permitted to attend or otherwise participate in meetings or mediation or
710 hearing sessions that are part of the grievance process, except as provided in
711 Chapter 7. XI.F.3. Grievants and respondents are always free to seek the advice of
712 legal counsel with respect to the grievance process and to consult with legal counsel
713 before or after mediation sessions, hearing sessions or other meetings that are part
714 of the process. Similarly, the faculty grievance officer, mediators, and hearing
715 committees may consult with designated university legal counsel in their discretion.

716

717 **D. Possibility of Legal Proceedings**

718 Matters related to a grievance proceeding under this policy may from time to time
719 become the subject of litigation or a similar proceeding. Should that occur, the
720 participants in the proceeding should be aware that the university requirement of
721 confidentiality may not be a basis for resisting a lawful subpoena, court order, or
722 other compulsory legal process seeking information. Participants who have not
723 initiated legal action and who are presented with a subpoena, court order, or other
compulsory legal process for information related to a grievance proceeding under

724 this policy must immediately inform the university’s legal counsel, which will
725 confirm the authenticity and legitimacy of the request and provide guidance on next
726 steps. While it is possible that objections to disclosure may be raised, the recipient
727 may be legally obliged to comply.
728

729 **XIII. Faculty Grievance Officer**

730

731 **A. Appointment**

732 A regular, tenured member of the faculty will be appointed by the Faculty Affairs
733 Committee as faculty grievance officer for a three-year renewable term, after the
734 Committee has consulted with the provost. A decision whether to renew the term
735 will similarly be made by the Faculty Affairs Committee, after consultation with
736 the provost and the faculty grievance officer. The faculty grievance officer may be
737 a member of the Faculty Affairs Committee. However, faculty grievance officers
738 who are members of the Faculty Affairs Committee must recuse themselves and not
739 participate in or seek to influence any Faculty Affairs Committee consideration,
740 decision, or action related to a grievance that arises or is in process during the
741 faculty grievance officer’s service as faculty grievance officer. The faculty
742 grievance officer’s name and contact information will be maintained by the Faculty
743 Affairs Committee and published by the Committee on the Faculty Senate site on
744 OneStThomas (or a successor university intranet site).
745

746

747 **B. Administrative Responsibilities**

748 The faculty grievance officer is intended to be a neutral, peer resource to provide
749 faculty with information about the grievance process, including guidance about the
750 grievability of potential matters and information about available grievance
751 processes. The faculty grievance officer also is responsible for facilitating the
752 grievance process and for helping to ensure that grievance processes comply with
753 this policy. The faculty grievance officer will not be an advocate for any participant
754 in the grievance process and may not serve as a mediator in the informal process or
755 be a member of any hearing committee in the formal process. Prior to submission
756 of a grievance, or if a grievance does not meet the conditions to proceed under this
757 policy, the faculty grievance officer may make good faith suggestions to the
758 grievant in an effort to facilitate a resolution of the dispute.

759

760 When an eligible faculty member submits a grievance to the faculty grievance
761 officer, the faculty grievance officer will accept the grievance; communicate and
762 enforce established deadlines; make the initial determination of whether a matter is
763 grievable and forward that determination to the provost; communicate the
764 determination to the grievant; if the grievance moves forward, counsel the grievant
765 about the potential benefits of the informal (mediation) process if it is available for
766 the particular grievance; work with the grievant and respondent(s), if applicable, to
767 determine which process will be utilized; initiate the appropriate process; appoint a
768 mediator if the informal process will be utilized; share responsibility with provost
to appoint members of the hearing committee if the formal process will be utilized;

769 rule upon objections to the appointment of the mediator or members of the hearing
770 committee; ensure the mediator or members of the hearing committee are trained;
771 facilitate the grievance process; advise the mediator or hearing committee on the
772 administrative and procedural aspects of the process; and work to ensure
773 confidentiality of the process, all in accordance with this policy.
774

775 **C. Educational and Training Responsibilities of Faculty Grievance Officer**

776 Upon request by a faculty member, the faculty grievance officer will provide
777 information about this policy, including how the grievance process works, how to
778 submit a grievance, timing considerations, and whether a potential grievance is
779 likely to be grievable. The faculty grievance officer should counsel faculty
780 members who are considering filing or have filed a grievance about the potential
781 benefits of the informal (mediation) process for resolving grievances. The faculty
782 grievance officer also is responsible for providing or arranging training for faculty
783 who have been appointed as mediators or members of a hearing committee,
784 regarding the applicable grievance process and the faculty members' authority and
785 responsibilities as mediators or hearing committee members.
786

787 **D. Considerations Related to University Policies and Procedures**

788 During grievance processes, the faculty grievance officer may discover problems in
789 the operating policies and procedures of the university, or some part thereof. In
790 such cases, the faculty grievance officer may exercise discretion to issue
791 recommendations about these concerns to the administration, to faculty
792 committees, or to individual faculty members. Such recommendations should not
793 mention the names or affiliations of any grievant or respondent(s), unless the
794 faculty grievance officer receives written permission from those whose names or
795 affiliations are mentioned.
796

797 **E. Confidential Annual Report of Faculty Grievance Officer**

798 For purposes of evaluating the workings of this policy and considering revisions to
799 this policy or related processes or practices, the faculty grievance officer will
800 prepare a confidential annual report for the Faculty Affairs Committee, to be
801 submitted prior to the beginning of the next academic year. The report will
802 generally address each grievance proceeding during the academic year, including a
803 brief summary of the hearing committee's findings (if the grievance was resolved
804 through the formal process) or other results or actions in response to the grievance,
805 without identifying the faculty members involved or the specific details of the
806 grievance. The report also will include the faculty grievance officer's assessment of
807 the effectiveness and fairness of the grievance process (but not with respect to the
808 merits of any grievance, findings, results, or actions). In the report, the faculty
809 grievance officer may propose revisions to this policy to be considered by the
810 Faculty Affairs Committee. The faculty grievance officer's confidential annual
811 report will be provided only to the Faculty Affairs Committee, the provost, and the
812 president. The members of the Faculty Affairs Committee are obligated to treat this
813 report with the utmost confidentiality and discretion.
814

815 **F. Ability to Consult with Faculty Affairs Committee or Legal Counsel**
816 If the faculty grievance officer has questions or seeks guidance about their role or
817 responsibilities or a particular grievance matter at any time, the faculty grievance
818 officer may consult with the Faculty Affairs Committee or designated university
819 legal counsel.
820

821 **XIV. Amendments to Chapter 7: Faculty Grievance Policy**

822
823 This chapter may be amended at any meeting of the Faculty Senate by a sixty (60) percent
824 majority of those present and voting. Proposed amendments must be submitted in writing to the
825 Executive Committee and distributed with the agenda at least one (1) week prior to the meeting
826 of the Faculty Senate at which action is to be taken. Amendments will be incorporated into the
827 pertinent section of Chapter 7, unless otherwise specified.

1 **Chapter 8**
2 **Clinical and Teaching Professors**
3

4 **I. Clinical Professors and Teaching Professors**
5

- 6 A. Respecting the diversity of departments and programs within the university and their
7 varying needs for faculty positions that may appropriately be designated as clinical
8 and teaching professors, no single typology or uniform set of expectations for clinical
9 or teaching faculty may be imposed.

10
11 While each department or program is allowed flexibility and creativity to meet the
12 unit’s unique circumstances, programmatic needs, and accreditation standards, a
13 clinical or teaching professor position should not be created as a permanent
14 alternative to a tenure-track position where the nature and expectations for that
15 particular position would be well satisfied by hiring an individual with a terminal
16 degree (or substantial progress toward that degree) in a tenure-track position with the
17 full expectations of tenure-track faculty (such as scholarly publication). Clinical and
18 teaching professor positions may not be created when a tenure-track line would serve
19 the needs of an academic unit equally well.
20

- 21 B. The creation, maintenance and renewal of clinical and teaching professor positions
22 require careful consideration. Clinical and teaching professor positions are not
23 tenured or tenure-track positions, and under no circumstances does their creation or
24 maintenance or the offer or renewal of a clinical or teaching professor appointment,
25 regardless of length, convey the expectation or possession of a tenure-track or
26 tenured appointment or other permanence of position or employment.

27 1. Terms of Service

28 Appointments to clinical and teaching professor positions are presumptively
29 nine-month (rather than ten-, eleven-, or twelve- month) appointments (and, after
30 three years of service, may be subject to multi-year terms as described in Chapter
31 2.IV). Exceptions to a nine-month appointment period, where appropriate, must
32 be clarified in the faculty member’s appointment letter or annual contract.

33 Teaching responsibilities should be calibrated accordingly, with reference to
34 other position responsibilities. The most likely reason for an appointment longer
35 than nine months is that the position involves teaching, administrative, or field
36 duties that continue through the summer.

37 2. Teaching/Professional Engagement/Service

38 The teaching-professional engagement-service triad for clinical and teaching
39 professor positions tends to be more heavily weighted towards teaching
40 (including student engagement beyond the classroom) or service (often in the
41 form of significant administrative duties requiring professional training or
42 licensure) or both. Professional engagement takes a variety of forms (such as
43 conference and community presentations, participation in professional
44 organizations), but is less likely to involve peer reviewed publication.
45

- 46 C. As set forth in Chapter 2.II.C.2/3 of the handbook, the department chair or program
47 director will document the performance expectations of the clinical or teaching
48 faculty member, in consultation with the dean and subject to approval by the
49 executive vice president and provost, that outlines how the clinical or teaching
50 faculty member will meet the expectations of teaching, service and professional
51 engagement in ways appropriate to the specific clinical or teaching professor
52 position, as well as the timeline and required documentation for demonstrating the
53 degree to which the expectations have been met. This documentation will not be
54 incorporated into the faculty member's contract but will serve as a basis, along with
55 the position description in the Faculty Handbook, for annual evaluations.
56
- 57 D. Chairs and departments are encouraged to support clinical and teaching professors in
58 pursuing opportunities to maintain professional currency through professional
59 engagement. For persons hired based on professional experience, strategies must be
60 employed to maintain that currency.
- 61 1. Creation and Review of Clinical and Teaching Professor Positions
- 62 Preceding any search or renewal of a clinical or teaching professor contract, the
63 department will conduct a review of the proposed position to justify that the
64 department has a need (or continuing need) for the position and to ensure that the
65 position should be created or renewed as a clinical or teaching professor position
66 as opposed to a tenure-track position, with reference to the description of such
67 positions found in Chapter 2.II.C.2/3. Under no circumstances does the creation
68 or continued maintenance of a clinical or teaching faculty position convey the
69 expectation of a permanent position.
- 70 2. The executive vice president and provost must approve each clinical and
71 teaching professor search through the same procedures used to authorize other
72 full time faculty appointments. As part of the approval process for creating a
73 clinical or teaching professor position, the tenured and tenure-track faculty in a
74 department (or college/school, if the academic unit has no departments) must
75 approve the position description, including the expectations of teaching, service
76 and professional engagement associated with the position. Clinical or teaching
77 faculty in the department or college/school in question are expected to participate
78 in the approval process. Once authorized, the designated academic unit will
79 initiate a search in which all faculty search and hiring procedures applicable to
80 other faculty searches will be followed, except that clinical and teaching
81 professor searches do not require a national search (though a national search may
82 be conducted if the academic unit wishes to undertake such a search). Prior to
83 hiring, the department chair or program director will document the performance
84 expectations of the clinical or teaching professor, in consultation with the dean
85 and approval by the executive vice president and provost, that outline how that
86 faculty member will meet the expectations of teaching, service, and professional
87 engagement in ways appropriate to the specific position as well as the
88 documentation required to demonstrate that these expectations have been met.
89 The performance expectations will then serve as a basis, along with the clinical
90 or teaching professor position description contained in the Faculty Handbook, for
91 annual evaluations.

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3. In the interest of transparency, the Office of the Provost will provide an annual summary of all employees with faculty contracts at the University by appointment type in order to better track the percent of clinical and teaching faculty. The report will be delivered to the Senate as an informational item during the Fall semester.
 4. University and Departmental Service
Clinical and teaching professors may serve on the Faculty Senate, most Committees of the Faculty, and all Committees of the University, and as with any faculty serving in such positions, are reminded of the duties spelled out in Chapter I of the Faculty Handbook. They may not serve as Chair of the Faculty, nor on the Faculty Affairs Committee or the university-wide Tenure and Promotion Committee. Clinical and teaching professors hold attendance, floor and voting privileges at meetings of the Faculty and Faculty Senate as spelled out in the bylaws (see Faculty Handbook, Chapter 1.II. Definitions; III. The Faculty Senate and Officers the Faculty; IV. Committees of the Faculty; V. Committees of the University; and VIII. Bylaws).
 - E. At the departmental level, clinical and teaching professors may participate, at a minimum, in determining curriculum, scheduling, approval of new courses, majors and minors and “other questions, the resolution of which is not delegated by the department to specific decision-making units or individuals (such as the chair)” (see Chapter 10).
 - F. This chapter includes policies and procedures approved by at least 50 percent of the Faculty Senate, submitted to the faculty for their consent, and approved by the President, in accordance with the processes stipulated in the Faculty Organization Plan. These policies pertain to the Areas of Primary Faculty Responsibility as outlined in section I.A. of the “Faculty Organization Plan and the Role of the Faculty in Shared Governance,” but cover matters not addressed in either that chapter or the chapter “Policies and Procedures Governing Faculty Rank, Tenure and Evaluations.” They may be revised only by action of the Faculty Senate.
 - G. Amendments to Chapter 8: Clinical and Teaching Professors
This chapter may be amended at any meeting of the Faculty Senate by a 60 percent majority of those present and voting. Proposed amendments must be submitted in writing to the Executive Committee and distributed with the agenda at least one week prior to the meeting of the Faculty Senate at which action is to be taken. Amendments shall be incorporated into the pertinent section of Chapter 8, unless otherwise specified.

1 **Chapter 9**
2 **Student Ratings of Instruction, Posthumous Degrees, Credit-Bearing**
3 **Certificates, Sabbatical Leaves, and Mentoring**
4
5

6 **I. Policy on the Adoption and Implementation of the IDEA Student Ratings**
7 **of Instruction System**
8

9 Part I

10 The Senate approves the adoption of the IDEA Student Ratings of Instruction system,
11 which includes the Diagnostic and Short Forms as well as a reporting system, as the
12 student component of teaching evaluation at UST beginning Fall 2009 and the
13 discontinuation of the current Student Report on Teaching form at the end of summer
14 term. (Approved by Senate on April 28, 2009.)
15

16 Part II

17 Implementation Guidelines for using the IDEA system for teaching evaluation
18

19 **II. Using the IDEA System**
20

21 Every faculty member in every course gets evaluated every semester. This is our current
22 procedure, and annual evaluations of faculty (which are not the charge of this committee) are
23 based on this system. The IDEA Center does not recommend changing this aspect of our
24 system at this time and the Committee on Teaching Evaluation agrees. We have not
25 researched the alternatives on this at this point. We believe this issue is worth visiting
26 if/when the university considers multi-year evaluations.
27

28 Laboratory sections are considered part of the lecture course when taught by the same
29 instructor, and only one set of student evaluations is required. If different laboratory sections
30 are taught by different instructors, student evaluations should be filled out for each section.
31 Department chairs, in consultation with the faculty teaching the labs (not the Committee on
32 Teaching and Evaluation or Institutional Research), will determine which of these categories
33 each lab section falls into.
34

35 **A. Choosing Objectives as Essential or Important**
36

37 Issues of choosing relevant objectives fall into the realm of curriculum content
38 decisions. These decisions reside at various levels now, and so the decision of which
39 objectives to choose will reside at that same level. Levels may include an individual
40 faculty member, groups of faculty within a department, departments, schools, and
41 colleges.
42

43 In the College of Arts and Sciences, for example, curriculum content decisions reside
44 primarily at the department and individual faculty member level, and so decisions about
45 which objectives to choose should remain at this level. For classes with multiple
46 sections, curricular decisions are often made at the department level or by the

47 participating faculty. One suggestion for this situation is to choose 2-3 common
48 objectives and let individual faculty members choose 1-2 of their own that may target
49 their particular goals within the overall agreed upon framework of the course. In other
50 colleges and schools, there are formal requirements to meet specific objectives for
51 accreditation purposes, and therefore certain curriculum decisions rest mainly at that
52 level. In this situation, course objectives may be decided by a curriculum committee or
53 equivalent.

54
55 In all cases, it is important to note that students must respond to all twelve objectives
56 for results to be reliable. Asking students to fill out only part of the form results in
57 errors and unusable reports.

58 59 **B. Deciding Which Form to Use**

60
61 The faculty member, in consultation with his or her department chair, will make this
62 decision. The faculty member makes the final decision, but chairs may have valuable
63 input regarding the form and its use in teaching. No unit or department will require or
64 prohibit a faculty member from using the Diagnostic form at any time.

65 66 **C. Using the IDEA System for Summative Purposes, Both for Annual 67 Evaluation and Tenure and Promotion**

68 69 **1. The Process of Determining the Implementation of the IDEA System for 70 Summative Purposes**

71 Our current system is one in which decisions regarding how student reports are
72 used for evaluation purposes are made at the unit (school and college) level. Deans
73 and the faculty are responsible for coming up with a faculty evaluation plan for
74 their college and school. These unit plans are reviewed and approved by the
75 executive vice president and provost. This allows for the differences in pedagogy,
76 culture, and emphases in each area to be recognized.

77
78 We will follow this system for implementing the IDEA system. Schools and
79 colleges will discuss this with their faculty, chairs, and deans and formulate a unit
80 plan. Every unit plan must adhere to the following guidelines and then be approved
81 by the executive vice president and provost. We have included certain required
82 components based on IDEA research and our work with an IDEA consultant this
83 summer. These will ensure a degree of uniformity for purposes of consistency and
84 fairness regarding tenure and promotion. Many decisions, however, are specifically
85 to be made at the unit level to allow for flexibility and differences. A unit plan
86 should be developed by spring of 2010, but schools and colleges may need to
87 modify this unit plan as they continue to work with this system in the next few
88 years.

89 90 **2. Required and Recommended Components of the Unit Plan:**

- 91 a. IDEA recommends that faculty be evaluated based on a ranking of 3-5
92 categories, and we support this recommendation.
- 93 b. The unit plan may use any of the information in the sections Summary
94 Evaluation of Teaching Effectiveness (page 1), Student Ratings of

95 Learning on Relevant Objectives and Description of
96 Students/Description of Course and Students (page 2) of the IDEA
97 Report. The sections Improving Teaching Effectiveness and Statistical
98 Detail (found on pages 3 or 3 and 4) is for formative purposes only and
99 is not to be used for summative purposes. Data from additional questions
100 (added by the faculty member, department or school/college) is found on
101 page 3 or 4 and the use of this data should be specified within the unit
102 plan, if appropriate. The IDEA Center provides recommendations for
103 creating an evaluation system as well as several examples of ways
104 different universities use the summative data for evaluation. Schools
105 should take these recommendations into account. Most plans at other
106 universities use data from page 1 while a few use data on page 2.

107 c. Each unit plan must incorporate all three components of the IDEA form:
108 **A. Progress on Relevant Objectives; B. Excellent Teacher; and C.**
109 **Excellent Course.** Individual units will decide the weighting of these
110 three components. (The IDEA Report Form weights them A = 50%, B =
111 25%, C = 25%, but different universities use different weightings, and
112 we leave this decision to individual units.)

113 d. Each unit plan will include an appropriate use of raw versus adjusted
114 scores. Adjusted scores are not appropriate to use in certain cases, and
115 this must be taken into account (use the IDEA paper
116 [https://courseevaluationsupport.campuslabs.com/hc/article_attachments/
117 360049849354/adjusted_scores.pdf](https://courseevaluationsupport.campuslabs.com/hc/article_attachments/360049849354/adjusted_scores.pdf) for guidelines). Scores for **A.**
118 **Progress on Relevant Objectives** are adjusted for one set of issues,
119 whereas adjusted scores for **B. Excellent Teacher** and **C. Excellent**
120 **Course** factor in a different set of issues. Units need to take all of these
121 details into account.

122 e. Each unit plan must have a way to ensure that the faculty data is
123 representative and reliable. It must take into account one or more of the
124 following IDEA recommendations:

125 f. It takes a minimum of 6-8 courses to get a valid representation of results,
126 more if the classes have fewer than 10 students.

127 g. If faculty teach small classes or fewer than 6 classes in a year, then a
128 representative set can be achieved by averaging the most recent 2 or 3
129 years' worth of student evaluations.

130 h. If converted averages (comparison boxes on the right side of page 1) are
131 used, the unit plan will recognize that 'being in the gray box' is very
132 acceptable and many faculty members may receive an overall annual
133 Meritorious or Outstanding rating with scores in this box. Other sources
134 of data must be used (see paragraph below). These converted averages
135 are not appropriate for all disciplines, such as disciplines for which
136 IDEA does not have a large enough database for comparison, e.g., Law.
137 Units should work with the Committee on Teaching Evaluation and/or
138 IDEA consultants to determine if the converted averages are appropriate
139 for their unit.

140 i. Each unit plan must demonstrate the use of other data for teaching
141 evaluation purposes. The IDEA student response data will account for
142 30-50% of the overall teaching evaluation. This range is based on
143 research done by IDEA professional staff and is in line with national

144 standards of teaching evaluation: students are capable of reporting on
145 certain classroom activities but not all aspects of teaching. Student
146 evaluations should not be used, or used alone, to assess advising, course
147 design, assessment, use of technology, mentoring other faculty, or
148 contributions to improving department teaching. Self- reflection
149 narratives, syllabi and course material, chair letters, and peer reviews are
150 some of the most common additional sources of data used in teaching
151 evaluation, and these are very appropriate. Chapter 7 of the Faculty
152 Handbook contains other suggestions for additional sources of
153 information on evaluation of teaching. Units may have other data
154 sources as well. The Committee on Teaching Evaluation members will
155 be available to give a presentation on IDEA recommendations and best
156 practices to each school and college as they begin to design their plan.
157 Schools and colleges are also encouraged to access IDEA materials
158 available on the IDEA website.
159

160 **D. 2009-2010 as a Transition Year**

- 161
- 162 1. Schools and colleges will recognize that this entire first year is a transition year
163 for faculty and that it may be most appropriate to weight more or most heavily
164 the B. Excellent Teaching rating on page 1. Statistically, this rating is
165 extremely similar to a composite rating on the current Student Report on
166 Teaching. For units that have continued to use the “old A and B questions,”
167 they may choose to focus on the B. Excellent Teaching and C. Excellent
168 Course ratings. It will likely take faculty and students at least one year to get
169 used to the new A. Progress on Learning Objectives, and this should be taken
170 into account. They may be used this first year in evaluation but should not be
171 weighted heavily.
172
- 173 2. In addition, schools and colleges need to take time to have unit-wide
174 discussions and may choose to have some of these discussions after fall
175 semester when faculty have actual results in hand. This will likely mean the
176 unit plans for using IDEA for evaluation will be fully developed in the spring,
177 and faculty should not be evaluated under these specific unit plans until the
178 following year.
179

180 (Implementation plan approved by the Senate on October 27, 2009)
181

182 **III. Policy for Awarding Posthumous Degrees**

183
184 The University of St. Thomas recognizes the academic achievements of deceased students
185 who have nearly completed their degrees and extends its compassion to their families by
186 granting academic degrees posthumously upon the recommendation of the school or college
187 in which the student was studying. The dean of the school or college in which the student is
188 completing a degree will make a recommendation to the executive vice president and
189 provost based on the judgment that a student was making satisfactory progress toward a
190 degree.

191 The baccalaureate degree will be awarded posthumously if the deceased student is a senior
192 and would have graduated after no more than one additional semester of academic work
193 beyond the semester during which the student dies.

194
195 The same policy can be applied for graduate degrees in which no final thesis or project is
196 required. When a thesis or final project is required, the dean should determine whether all
197 course work has been completed and whether a sufficient portion of the thesis or final
198 project was completed to justify the awarding of the posthumous degree.

199
200 For any student, undergraduate or graduate, who does not meet the criteria for a
201 posthumous degree, the dean may recommend to the executive vice president and provost
202 the award of a non-credit-bearing certificate of recognition.
203

204 **IV. Core Elements of a Credit-Bearing Certificate**

- 205
- 206 1. A certificate is a cohesive group of credit-bearing courses often offered within
207 a full degree program which enables students to develop specialized knowledge
208 and/or skills.
 - 209 2. Completion of a certificate is recorded on a student's University of St. Thomas
210 transcript, and the appropriate administrative office may present a certificate of
211 completion.
 - 212 3. Each degree program must identify and communicate admission criteria and
213 procedures for certificate programs.
 - 214 4. A certificate is offered in a way that is consistent with the academic standards
215 of the university.
 - 216 a. Courses offered for a certificate are taught by St. Thomas faculty at the
217 same level, and with the same standards, as other courses that lead to a
218 degree.
 - 219 b. Courses taken for a certificate should be applicable towards a degree,
220 provided that they are appropriate in content and applied towards a
221 University of St. Thomas degree within the time limit specified by each
222 college or school.
 - 223 5. A certificate, when appropriate, should be endorsed and recognized by relevant
224 outside agencies and should be seen in a positive manner by the community.
 - 225 6. Prior to being offered, a certificate must be approved by the relevant
226 curriculum approval process as outlined in the Faculty Handbook. This
227 includes endorsement by the executive vice president and provost. Any new
228 courses that are part of the certificate must also follow the relevant curriculum
229 approval process.
 - 230 7. Prior to being offered, certificates must also receive approval from external
231 agencies as required.
 - 232 8. Certificate programs should have some evidence of integrative activity that ties
233 the courses together. The integrative activity should be designed to meet the
234 particular purpose of the certificate program and of its students.
 - 235 9. Additional requirements for a post-secondary certificate:
 - 236 a. A post-secondary certificate consists of a minimum of 12 credits.
 - 237 b. Unlike a minor, which can only be earned by a student with an

- 238 accompanying major, certificates can be stand-alone programs; however,
239 academic units should have a rationale for offering the program as a
240 certificate rather than as a minor.
- 241 c. A student pursuing a post-secondary certificate need not be a degree-
242 seeking student at St. Thomas but must have earned a high school
243 diploma or its equivalent.
 - 244 d. A minimum grade point average of 2.0 in certificate courses is required
245 to earn the certificate.
- 246 10. Additional requirements for a post-baccalaureate certificate:
- 247 a. A post-baccalaureate certificate consists of a minimum of 12 credits.
 - 248 b. A student pursuing a post-baccalaureate certificate need not be a degree-
249 seeking student at St. Thomas but must meet the Undergraduate Degree
250 Requirement as specified in the Graduate Study Admission policy.
 - 251 c. In order to earn the certificate, the student must meet the minimum
252 program requirements as set by the appropriate graduate program.
- 253 11. Additional requirements for a post-Master's certificate:
- 254 a. A post-Master's certificate consists of a minimum of 12 credits.
 - 255 b. A student pursuing a post-Master's certificate need not be a degree-
256 seeking student at St. Thomas but must have earned a Master's degree or
257 higher from an accredited post-secondary institution.
 - 258 c. In order to earn the certificate, the student must meet the minimum
259 program requirements as set forth by the appropriate graduate program.
- 260

261 V. Core Elements of a Credit-Bearing Graduate Micro-Credential

262

263 A graduate micro-credential program is a cohesive group of at least two credit-bearing
264 courses which enables students to develop a focused set of specific skills and knowledge in
265 a topic or area of study.

266

- 267 a. A graduate micro-credential is offered in a way that is consistent with
268 the academic standards of the university.
 - 269 1. Courses offered for a graduate micro-credential are taught by St.
270 Thomas faculty at the same level, and with the same standards, as
271 other courses that lead to a degree.
 - 272 2. Courses taken for a graduate micro-credential program should be
273 applicable towards a degree, provided that they are appropriate in
274 content and applied towards a University of St. Thomas degree
275 within the time limit specified by each college or school.
- 276
- 277 b. Completion of a graduate micro-credential program results in a digital
278 credential and is recorded on a student's University of St. Thomas
279 transcript.
- 280
- 281 c. graduate micro-credential consists of a minimum of 4.5 and a maximum
282 of 7.5 credits.
- 283
- 284 d. Each graduate micro-credential must comply with the university policy
285 for graduate admissions requirement and identify and communicate any

- 286 additional admission criteria and procedures for graduate micro-
287 credential programs.
288
- 289 e. Each graduate micro-credential must specify learning outcomes that are
290 connected to one or more of the university-wide graduate student
291 outcomes:
- 292 • the acquisition and application of specialized knowledge in a
293 particular discipline or interdisciplinary program;
 - 294 • critical thinking and analysis that utilizes research method or
295 problem-solving skills appropriate to a given discipline or
296 interdisciplinary program;
 - 297 • the capacity to collaborate with others in a diverse environment
298 and/or to build positive relationships in one’s professional context;
 - 299 • ethical behavior or decision-making in personal or professional
300 interactions.
- 301
- 302 f. A graduate micro-credential must have an assessment plan for the
303 learning outcome(s) and engage in ongoing implantation of the plan.
304
- 305 g. A graduate micro-credential, when appropriate, should be endorsed and
306 recognized by relevant outside agencies and should be seen in a positive
307 manner by the community.
308
- 309 h. Prior to being offered, a micro-credential must be approved by the
310 relevant curriculum approval process as outlined in the Faculty
311 Handbook. This includes endorsement by the executive vice president
312 and provost. Any new courses that are part of the micro-credential must
313 also follow the relevant curriculum approval process.
314
- 315 i. To earn a graduate micro-credential, the student must meet the minimum
316 program requirements as stated in the university-wide Degree
317 Requirements policy and as set by the targeted graduate program.
318
- 319 Note: Non-credit micro-credentials would not have the same restrictions as a credit-bearing
320 micro-credential.
321

322 VI. Sabbatical Leaves

323

324 The sabbatical leave program is designed to support activities which will enhance a faculty
325 member’s professional development, and which will, as a result, benefit the university.
326 Sabbaticals may be granted for activities ranging from “pure research” to concentrated
327 study in a new area of one’s discipline to carefully planned programs for updating
328 knowledge of one’s discipline. They may also be granted for activities such as acquiring a
329 new skill set or new knowledge, community engagement or service, or teaching-related
330 study and experiences. In all cases, applicants must clearly explain how their goals and
331 activities are of value to their individual professional development as well as of value to the
332 university. Sabbatical leaves are not awarded for projects that involve substantial teaching

responsibilities; this typically precludes sabbaticals that involve more than a one-course teaching load or equivalent per sabbatical semester.

Tenured and tenure-track faculty may apply in their sixth year of full-time service or any year thereafter for a sabbatical to be taken in the following year. After an initial sabbatical leave, faculty may apply again in the sixth year after their sabbatical. Applications for subsequent sabbaticals must be accompanied by a copy of the report on the previous sabbatical leave. **The application deadline for sabbaticals is October 1 of the year preceding the requested leave.**

Applicants can request sabbatical leave for either a) a full academic year at half salary, or b) one semester plus a release from service obligations during the J-term of the academic year at issue (for units that have a J-term), at full salary. Department chairs on sabbatical who choose option b) will be released from their responsibilities as chair during both the sabbatical semester and the connected J-term (for units that have a J-term). The university favors full-year sabbaticals which afford recipients more time to achieve significant outcomes. Accordingly, the university has implemented policies to encourage longer leaves:

1. As an accommodation to faculty, the university will, upon request, provide 75 percent of salary in the sabbatical year and the year following.
2. Faculty on a full-year sabbatical may engage in remunerative employment, provided such employment is an integral part of the sabbatical experience and provided such remuneration does not exceed the one-half salary received from the university.
3. Faculty members planning a full-year sabbatical may apply for a **Sabbatical Assistance Grant**.
4. Faculty who have been awarded a full-year sabbatical may revert to a half-year sabbatical should changed circumstances so warrant (e.g., failure of an external grant to materialize) by applying to the executive vice president and provost by February 15 following the award; with the permission of the executive vice president and provost, this deadline may be extended to April 1, to accommodate notification by granting agencies. Any significant changes to the original plan must be submitted to the director of Faculty Development and the executive vice president and provost for consideration.

Sabbatical recipients are required to return to the university for at least one full year of service following the sabbatical and to submit a report to the Center for Faculty Development and to the executive vice president and provost by October 1 following the sabbatical leave.

All application materials and a more detailed description of requirements for sabbatical leave can be found on the Faculty Development website.

Understanding Regarding Sabbatical Eligibility for Faculty with Part-Time Teaching Appointments

Tenured faculty who are not full-time employees, but who do have teaching contracts, are eligible for sabbaticals with these modifications:

1. The service requirement is understood to be full-time-equivalent. Therefore,

381 someone with a half-time appointment is eligible every 14 years.
382 2. The course release is understood to be proportional to their contract. Therefore,
383 someone with a two-thirds appointment could seek a two-course release for
384 one semester or a four-course release for an academic year.

385 386 **Understanding Regarding Sabbatical Eligibility for Faculty with Administrative** 387 **Contracts**

388 This policy takes effect for any faculty with an administrative appointment who do not have
389 a pre-existing clause in their initial administrative contract. Faculty who have an
390 administrative appointment are not eligible to take a sabbatical or to accrue time-credit
391 towards a sabbatical unless stipulated in their initial administrative contract. Faculty in
392 administrative positions who return to teaching after six or more years of administrative
393 duty are eligible to apply for a faculty sabbatical during their last year of administrative
394 service. The regular sabbatical application deadline may be waived by the executive vice
395 president and provost in the event an administrator decides to return to teaching after the
396 deadline has passed.
397

398 **VII. Mentoring**

399
400 Mentoring is designed to support the successful integration of new faculty members into the
401 campus community and to promote continual professional development. The chair/director
402 is responsible for ensuring that mentoring occurs. The mentor must be someone other than
403 the department chair. The process of mentoring is seen as supportive, informal, and
404 individualized. In order to ensure its supportive nature for mentees, it is separate from their
405 summative evaluation and supervision. Minimally, the mentor could provide guidance in
406 the creation of appropriate goals for the Annual Reports and portfolios. Examples of other
407 areas where the mentor might provide assistance include:

- 408 • Assisting with understanding the university structure and culture;
- 409 • Reviewing syllabi and other course materials;
- 410 • Providing feedback on teaching through classroom visitation;
- 411 • Familiarizing the faculty member with campus resources, including Faculty
412 Development, library resources, and the like;
- 413 • Assisting with introductions to other faculty and staff members with similar
414 interests;
- 415 • Reviewing proposals for conference preparation or including the mentored faculty
416 member in proposals;
- 417 • Acknowledging and celebrating professional successes and development;
- 418 • Providing encouragement and inspiration;
- 419 • Reviewing manuscripts or co-authoring materials;
- 420 • Giving suggestions on materials prepared for performance reviews.
421

422 **VIII. Amendment**

423
424 This chapter includes policies and procedures approved by at least 50 percent of the Faculty
425 Senate, submitted to the faculty for their consent, and approved by the president, in

426 accordance with the processes stipulated in the Faculty Organization Plan. These policies
427 pertain to the Areas of Primary Faculty Responsibility as outlined in section I.A. of the
428 “Faculty Organization Plan and the Role of the Faculty in Shared Governance,” but cover
429 matters not addressed in either that chapter or the chapter “Policies and Procedures
430 Governing Faculty Rank, Tenure and Evaluations.” They may be revised only by action of
431 the Faculty Senate.

1 **Chapter 10**
2 **Departmental Charters and Administrator Relationship to**
3 **Academic Departments**
4
5

6 **Governance of Academic Departments**
7

8 **I. Charter**

9 Each academic department shall have a Departmental Charter which identifies the specific
10 rights, privileges and obligations of department members. These specifications should pertain
11 to various ranks and types of appointments and should be made with regard to the various
12 ranks and functions of the department, such as hiring, promotion, tenure, curricular, and staff
13 utilization decisions. The basic purposes served by a departmental charter should be to
14 guarantee minimum rights for each category of department faculty and to establish
15 procedures by which departmental decisions are made and appealed in areas of collective
16 concern.
17

18 **A. Department Charter**

19 At a minimum, a Departmental Charter will specify that:

- 20 1. All and only tenured members will have full participation and voting rights on
21 questions involving tenure decisions. All tenured and tenure-track members will
22 have full participation and voting rights on questions related to hiring decisions.
- 23 2. On questions of promotion to the rank of Associate Professor or Professor, all
24 tenured or tenure-track members at or above the specified rank will have full
25 participation and voting rights on questions related to promotion.
- 26 3. All full-time faculty members (other than those on visiting status) will have full
27 participation in the process which determines how questions related to the
28 curriculum or to scheduling will be decided in a department and will have full
29 voting rights on such issues as the approval of new courses, major and minor
30 programs and other questions, the resolution of which is not delegated by the
31 department to specific decision-making units or individuals (such as the chair).
- 32 4. Members of a department have a right to review their third-year evaluations and
33 their annual departmental performance evaluations. Prior to the department's
34 final tenure recommendation, the faculty member should have the opportunity to
35 respond in writing to the tenure committee to negative recommendations and/or
36 concerns of the tenure committee. The faculty member should have the
37 opportunity to respond in writing to the tenure and promotion committee to
38 negative recommendations and/or concerns of the tenure committee. In both
39 instances, the faculty member would respond to written concerns/negative
40 recommendations. The person(s) who have the concerns or make the negative
41 recommendations would not be identified.

- 42 5. Any member eligible to vote on a particular question may, by request, require that a
43 secret ballot be taken on that question.
44

45 **B. Expansion of Minimum Specifications**

46 The minimal charter identified in section 2 is not intended to restrict departments
47 from expanding the voting privileges or rights of any category of faculty and may
48 be expanded in a number of ways. In particular, departments are encouraged to
49 consider the following aspects of departmental governance as they develop
50 individual department charters:

- 51 1. The extension of particular voting rights to limited-term and part-time faculty
52 may be in the best interests of the department. The extension of such privileges
53 could be specified.
54 2. A process by which grievances are considered within the department could be
55 included.
56 3. Departmental participation in budget decisions might be described in the
57 charter.
58 4. Specific responsibilities of the department chair might be identified and
59 described in the charter.
60

61 **C. Administrative Review of Departmental Charter Provisions**

62 The executive vice president and provost will determine whether or not the charter
63 or charter provision(s) are in accord with written university policy. If a conflict
64 with university policy does not exist, the charter or charter provision(s) will be
65 certified in writing by the executive vice president and provost, and each charter
66 and charter amendment will become operational only upon the written certification
67 of the executive vice president and provost. If the executive vice president and
68 provost or president determine that a conflict exists, the executive vice president
69 and provost shall communicate in writing to the chair of that department the basis
70 of any objection. The department chair and/or a designee will represent the
71 department in efforts to resolve any disagreement.
72

73 For any department that has not adopted a charter by September 1, 1989, the
74 minimum specifications of #2 automatically apply.
75

76 **II. Administrators and Their Relationship to Academic Departments**

77 December 1998

78 Because of their responsibilities, administrators with contractual faculty appointments
79 (administrators whose contracts designate rank and tenure status) are expected to refrain
80 from participation in formal departmental procedures conducted by their faculty colleagues
81 in the departments in which they hold their faculty appointments. Types of activities they
82 should not be involved in include such things as tenure and promotion reviews and faculty
83 searches. This policy has been instituted in recognition of the mutually supportive roles
84 played by faculty and administrators and in honor of the division of labor which these roles
85 require.

86

87 **III. Amendment**

88

89 This chapter includes policies and procedures approved by at least 50 percent of the Faculty
90 Senate, submitted to the faculty for their consent, and approved by the President, in
91 accordance with the processes stipulated in the Faculty Organization Plan. These policies
92 pertain to the Areas of Primary Faculty Responsibility as outlined in section I.A. of the
93 “Faculty Organization Plan and the Role of the Faculty in Shared Governance,” but cover
94 matters not addressed in either that chapter or the chapter “Policies and Procedures
95 Governing Faculty Rank, Tenure and Evaluations.” They may be revised only by action of
96 the Faculty Senate.