



# FACULTY HANDBOOK

— 2022-2023 —



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# 1 Introduction

## 1.1 Handbook Purpose and Related Documents

The purpose of the *Duquesne University Faculty Handbook* (henceforth the Handbook) is to present the most important University policies and practices as they relate to the University faculty.

The Handbook functions in accordance with multiple networks of policies and procedures that regulate the management and oversight of the University, including:

- **Articles of Incorporation** that define the University’s legal status and its purpose. They provide for the appointment of Members of the Corporation and for the election of a Board of Directors. They also require the adoption of Bylaws of the University. In cases of conflict, the Articles of Incorporation shall “control resolution of such conflict.” The Handbook incorporates by reference the Articles of Incorporation.
- **Bylaws of the University** that describe the respective powers and functions of the Members of the Corporation and the Board of Directors. They also define the senior administrative leadership of the University. The Faculty Handbook incorporates by reference the Bylaws of the University.
- **The Administrative Policies or TAPs** that are official university policies, which are binding obligations for University employee including faculty. All TAPs apply to the faculty unless they explicitly state that it is only for non-faculty, administrative/professional or support employees. For this reason, the Faculty Handbook incorporates the TAPs by reference. See Appendix A for a summary of all TAPs.

The Handbook is designed to be consistent with these three sets of policies. In the event of any conflict or inconsistency, the Articles of Incorporation, Bylaws of the University and/or TAPs shall govern and control. In any case of conflict between the Handbook and individual school or department’s policies, practices or procedures, the Handbook governs. The most current versions of all of these policies is available on the University intranet site known as DORI:

<https://portal.duq.edu>. This Handbook shall be interpreted and applied in a manner consistent with applicable federal, state and local laws, and in a manner consistent with the rules of any accrediting body relevant to the University as a whole or its colleges or schools. Each year, in consultation with the Faculty Senate, the Handbook will be reviewed for emergent issues and, if necessary, revised to address them. A memorandum highlighting any changes to the Handbook will be distributed to the faculty. This modest review process is distinct from the more comprehensive five-year revision process specified that includes a review committee with elected members of the faculty.

## 1.2 Brief History of the University

In 1878, Duquesne became the first Catholic university in Pittsburgh, Pennsylvania, as a result of the vision and commitment of a group of Catholic missionaries known as the Congregation of



the Holy Spirit or the “Spiritans.” Duquesne was originally founded as *Pittsburgh Catholic College* with 40 students and six faculty members, and held classes in rented space above a bakery in Pittsburgh’s Hill District. The “Old Main” building was constructed in 1885 as a result of the University's growth. This five-story red brick landmark was, for years, the highest point on Pittsburgh’s skyline. It is still actively used as the administrative building on campus.

The University saw tremendous change in 1911 when it officially changed its name to Duquesne University of the Holy Ghost and when it added its first professional school, the School of Law. Over the next three decades, Duquesne established five additional schools: Business, Pharmacy, Music, Education, and Nursing. Assumption Hall opened in 1950 as the first student dormitory. Between 1950 and 1980, the University underwent a period of development with the construction of College Hall, Mellon Hall, Rockwell Hall, the School of Music, the library and the Student Union. Additionally, four more dormitories were built to accommodate the influx of new students to the University.

Between 1990 and 2001, the University opened its first new schools in 50 years: the John G. Rangos Sr. School of Health Sciences; the Bayer School of Natural and Environmental Sciences; and the School of Leadership and Professional Advancement. New spaces for classrooms, offices and residence halls; parking garages; and the Arthur J. Rooney Athletic Field were also developed.

In January 2008, Duquesne expanded its footprint onto Forbes Avenue with the dedication of the Power Center. This new five-story building, named for Duquesne's first president, Spiritan Fr. William Patrick Power, includes an 80,000 sq. ft. fitness center, banquet facilities, retail shops, restaurant and a Barnes and Noble bookstore.

Duquesne began construction its first new residence hall in decades in 2010. The final product was the 12-story Des Places Residence Hall for junior, senior, graduate and law students. The University also purchased an eight-story academic building at 600 Fifth Avenue and dedicated it as Libermann Hall. The purchase of Libermann Hall doubled the size of the University's classroom space.

The Genesis Theater was dedicated in August 2015 to be used by Duquesne University's Red Masquers, Spotlight Musical Theater Company and Mary Pappert School of Music ensembles for performances, as well as a space for production classes.

In 2019 the iconic A. J. Palumbo Center was taken offline to undergo a significant renovation to officially become the UPMC Cooper Field House in 2021. In 2019 the University also announced it was creating a College of Osteopathic Medicine to enroll its first students in the fall of 2023. A new 80,000 square foot building for the College of Medicine will be constructed on Forbes Avenue to support the College.

Today, Duquesne University is a nationally ranked, tier-one research university and a worldwide leader in Catholic higher education. The University strives for a future in which its Catholic and



Spiritans identities are enhanced and its educational mission continues to thrive by lifting up lives through learning.

## 1.2 Colleges and Schools

Duquesne is home to 10 colleges and schools that offer a wide variety of degree programs at the bachelor's, professional, master's and doctoral levels:

- McAnulty College and Graduate School of Liberal Arts
- Bayer School of Natural and Environmental Sciences
- School of Law
- Palumbo Donahue School of Business
- School of Pharmacy
- Mary Pappert School of Music
- School of Education
- School of Nursing
- Rangos School of Health Sciences
- College of Medicine (expected in 2023)

## 1.3 University Mission

Duquesne University's mission is to serve God by serving students who then go on to serve others. This mission is achieved in five ways:

- Commitment to excellence in liberal and professional education
- Profound concern for moral and spiritual values
- Maintaining an ecumenical atmosphere open to diversity
- Service to the Church, the community, the nation, and the world
- Attentiveness to global concerns

The Congregation of the Holy Spirit has consistently reaffirmed the Spiritan commitment to education as an integral part of its mission of proclaiming and witnessing the Gospel, particularly to the poor and underserved. In recent years, the Congregation has not only identified education as an essential aspect of the Spiritan mission today, but has also called for more coordination in educational endeavors within the entire Spiritan community.

## 1.4 University Goals

The University has established five goals in pursuit of its mission.

- Achieve Academic Excellence
- Create an Environment of Unconditional Inclusion
- Encourage a Spirit of Service
- Promote Moral and Spiritual Values
- Involve Students in World Concerns

## 2 Governance Structure

Governance of the University involves multiple bodies and individuals whose respective roles and responsibilities are summarized in this section. Communication among these bodies and individuals provides the basis for effective governance.

### 2.1 Members of the Corporation

Duquesne University is sponsored by the Congregation of the Holy Spirit and all Duquesne employees including faculty are called upon to respect its unique Catholic and Spiritan Mission. The governance of the University is a two-tier system consisting of Members of the Corporation and Directors of the Corporation. The governing body that is the Members of the Corporation include the Provincial Superior and other vowed priests of the Spiritan Congregation as appointed by the Provincial Superior. Currently, there are seven Members of the Corporation. Three of the Members (Chair, Vice Chair and Secretary) are also voting members of the Board of Directors. Although the authority to manage the business and affairs of the University is vested in the Board of Directors, the Members of the Corporation retain certain important, reserved powers.

The Members of the Corporation delegate many decisions to the Board of Directors. However, they retain 11 specific reserved powers in accordance with the Bylaws:

- to determine or change the Mission of the University;
- to elect individuals to and remove individuals from the Board of Directors;
- to amend or repeal the Articles of Incorporation or the Bylaws;
- to approve the sale or purchase of real property whose cost exceeds a set amount;
- to approve any merger, consolidation or acquisition or creation of a subsidiary organization;
- to dissolve the University and to determine the distribution of its assets upon dissolution;
- to approve new indebtedness above a set amount;
- to issue statements of policy concerning the Mission of the University;
- to request information and receive annual financial reports from the Board;
- to confirm the Board's election and appointment of the Officers of the University and Officers of the Board; and
- to approve significant legal actions taken in the name of or on behalf of the University.

### 2.2 Board of Directors

Subject only to the powers reserved to the Members of the Corporation, the University is governed by its Board of Directors, which consists of no fewer than fifteen directors elected by the Members of the Corporation. In addition, seven directors serve ex officio: the President; the Bishop of the Roman Catholic Diocese of Pittsburgh or their designee; the Chair, Vice-Chair, and Secretary of the Members of the Corporation; the University's Vice President for Mission and Identity; and the President of the Duquesne University Alumni Association. The Board

elects its own chair and up to four vice-chairs. The Board generally holds its annual meeting in May and ordinarily holds additional meetings in October and February. Standing committees of the Board, each staffed by the appropriate vice president, may conduct meetings between meetings of the Board.

## **2.3 Officers of the University**

The officers of the University are appointed by the Board of Directors and affirmed by the Members. Their positions are defined in the Bylaws of the University. They are the President, Provost, Vice President for Legal Affairs, Vice President for Finance and Business, Vice President for Advancement, Vice President for Enrollment Management, and the University Secretary.

## **2.4 Division of Academic Affairs**

The Division of Academic Affairs is comprised of colleges and schools (for each of which a dean serves as chief administrative officer) and of organizations that provide academic support services to the campus as a whole. Some academic programs may also report directly to the Provost. A college or school may be divided into constituent academic entities such as divisions, departments, and/or programs.

## **2.5 Deans**

Deans are the chief administrative officers and representatives of their college or school.

### **2.5.1 Duties**

Deans act under the supervision of the Provost. As members of the senior leadership of the Division of Academic Affairs, deans may be assigned duties that extend beyond their college or school. However, this section addresses only those duties associated with the administration of a dean's own college or school.

Deans consult with department chairs and faculty members on matters of educational policy and serve as the medium of communication for all official business between their college or school and other units and offices of the University. They represent their college or school inside and outside the University.

As leaders, deans develop a strategic vision for building and promoting their college or school. They motivate and work with department chairs and their faculty colleagues to design innovative programs and discontinue programs that no longer serve the interest of the college or school or the University. They identify needs and work with the University Advancement Division to secure resources to meet those needs.

As administrators, deans have the authority necessary to fulfill the following responsibilities in their college or school:

- to supervise the development and delivery of academic programs of the highest quality;
- to promote the professional effectiveness and well-being of the faculty and staff;
- to make recommendations, in accordance with University and college or school guidelines, regarding faculty and staff appointments, tenure, promotion, salaries, leaves, and the non-renewal or termination of appointments;
- to support the academic success of students;
- to oversee academic and budgetary planning and execute plans that have been approved;
- to make recommendations regarding facilities and equipment; and
- to work with the administration to advance the interests and well-being of the University as a whole.

Where applicable, deans also supervise compliance with professional accreditation standards.

Except where constrained by University, college, or school guidelines, deans have the power to create committees, appoint faculty members to serve on them, and, as needed or deemed advisable, assign faculty members to administrative positions within their schools and delegate duties to those holding such positions. Deans exercise supervisory responsibility over the activities of department chairs as well as over the faculty members and staff in their college or school.

### **2.5.2 Appointment**

The President appoints deans of colleges and schools. Deans ordinarily hold tenured faculty appointments in their college or school at the rank of professor.

### **2.5.3 Searches**

When a new dean is to be appointed, the Provost will supervise the creation of a search committee consisting of seven voting members and one non-voting student member:

- Four of the voting members shall be full-time faculty members such that the number of tenured, tenure-track faculty members and non-tenure-track faculty members is broadly consistent with the composition of the faculty in the college or school as a whole;
  - The full-time faculty of the college or school in question shall elect three of these members in a way broadly consistent with the composition of the faculty of the college or school as described in the preceding paragraph.
  - The President shall appoint one member.
- The President shall then appoint three additional members to the committee;
  - These members may include (a) the dean of another college or school within the University, (b) a representative of the college or school's alumni/-ae, and/or (c) a representative of the community served by the college or school.

- The seven voting members of the committee shall then select the non-voting student member.

The President shall appoint the Chair of the Committee from the seven voting members. The President shall charge the search committee, stipulating the criteria to be applied and all other requirements of the search.

The Provost serves as an ex officio of all dean search committees and can serve as Chair when needed. The committee shall advertise the vacancy, review applications, and invite candidates for interviews on campus in which all faculty members in the college or school concerned have an opportunity to participate. Individual faculty members shall have an opportunity to indicate in writing to the committee whether or not a candidate is judged to be acceptable. To the degree possible, the committee should also seek to involve students, staff members, administrators, and the members of the Spiritan community.

The committee shall ordinarily submit to the President, unranked and in alphabetical order, the names of three candidates that it considers suitable and qualified, with comments regarding the strengths and weaknesses of each candidate. If the committee believes that fewer than three candidates are qualified, it may submit the names of those candidates and explain its reasons for doing so. If the candidates presented by the search committee are unacceptable to the President, the President may invite the search committee to submit the names of additional suitable and qualified candidates, with comments regarding the strengths and weaknesses of each candidate.

At any time after the search committee submits its first list of candidates to the President, the President may determine that the search be reopened or a new search initiated. If necessary, the President shall appoint an acting dean to serve as the search continues. The continuing or second search shall be conducted in the same manner as the original search, but if no candidate meets the President's expectations at the conclusion of the continuing or second search, then the President shall have the authority to appoint any suitable and qualified person to the position.

#### **2.5.4 Term**

A dean's initial term of office is ordinarily five years. Subsequent terms are ordinarily three years. The maximum length of service for a dean is ordinarily fourteen years. Whenever a dean is appointed or reappointed, the President shall inform the faculty and staff in that college or school and indicate the term of the dean's appointment or reappointment. Notwithstanding these terms and limitations, all deans serve at the discretion of the President and Provost and may be removed or reappointed by the President at any time.

#### **2.5.5 Evaluation and Reappointment**

If the President is willing to consider reappointing a dean and the dean is willing to remain in that role, the dean should indicate in writing to the President at the beginning of the fall semester of the penultimate year of the dean's term that they wish to be considered for reappointment. If

the dean seeks to be reappointed, the President shall direct the Provost to initiate an evaluation process that also provides the opportunity for a review of developments and priorities within the college or school concerned.

The Provost shall direct the dean to work with the faculty in the college or school concerned to constitute, before the end of the fall semester, an evaluation committee consisting of eight members. Seven of the members shall be full-time faculty members in the college or school such that the composition of tenured, tenure-track and non-tenure-track faculty is broadly consistent with the composition of the college or school as a whole. The dean shall first appoint two of these members. The full-time faculty members of the college or school shall next elect four of these members. The Provost shall then appoint the one remaining faculty member. The members of the committee so appointed or elected shall then select one active alumnus/-a familiar with the activities of the college or school to serve on the committee.

The members of the committee shall elect one of the faculty members on the committee to serve as its chair. The Evaluation Committee shall commence its review no later than the first week of the second semester in the penultimate year of the dean's term.

The dean shall prepare for the committee a statement of their goals for the college or school during their most recent term of appointment and an assessment of their effectiveness in implementing them. After meeting with the dean to review this document, the committee shall draw up a set of questions and/or topics appropriate to the college or school and submit it to the Provost for approval. Relying on the agreed set of questions and/or topics, the committee shall develop a questionnaire to elicit responses from faculty members, staff members, administrators, and students in the college or school to assess the dean's performance. The committee shall also meet with faculty members, staff members, administrators, and selected students either individually or in groups.

Faculty members, students, and staff members may also submit signed letters either to the committee chair or directly to the Provost. The committee shall draft a report to the Provost, summarizing the views of faculty members, staff members, administrators, and students in the college or school on the questions and/or topics selected for analysis. The report shall indicate points for commendation and suggest areas for improvement. The report shall also convey the recommendation of the majority of the voting members of the committee regarding reappointment. One or more minority reports may be submitted independently if members of the committee so wish.

After receiving the committee's report(s), the Provost shall meet with the dean to provide an oral summary of the report(s) and their own evaluation. In summarizing the committee's report, the Provost shall not reveal the numbers of votes cast for or against reappointment and shall respect the confidentiality of all individual participants in the evaluation process.

Following their meeting with the dean, the Provost shall submit a recommendation regarding reappointment to the President, who shall notify the dean of their decision to terminate or reappoint the dean by May 1 of the year of the review. Within fifteen days of the notification, the

Provost shall provide a written summary of the review process and its outcome to the dean, to all members of the evaluation committee, and to members of the faculty and staff in the college or school concerned.

All data accumulated during the evaluation and reappointment process shall be submitted to the Office of the Provost and retained in compliance with the University's Records Retention Policy (see TAP 39: Records Retention Policy).

### **2.5.6 Vacancy**

If a dean does not complete their term, the President shall appoint an acting or interim dean to serve as the chief administrative officer of the college or school until a search can be conducted and a permanent dean appointed.

## **2.6 Associate Deans**

Associate deans are administrators and representatives of their respective schools. Associate deans act under the supervision of and in coordination with the dean of their college or school. Associate deans support administrative needs through various activities aligned with the individual school or college.

The dean of each college or school, in consultation with the Provost, appoints associate deans, sets terms for their appointment, and defines their duties and responsibilities. Associate deans ordinarily hold tenure in a department of the school or college and ordinarily hold full-time faculty appointments. Deans have considerable latitude for appointing associate deans, but the dean must provide a process for appointment/reappointment that involves faculty input.

## **2.7 Department Chairs**

Department chairs are the administrators and representatives of academic departments. Not all colleges and schools rely on an organizational structure based on academic departments. Some are divided into divisions or programs rather than departments and employ titles such as Coordinator, Director or Facilitator for the individuals appointed to lead them. Others operate without any internal divisions. All such colleges and schools shall clearly define in writing which individuals are charged with fulfilling the responsibilities assigned to the heads of departments, whether they are titled "department chair" or some other designation in Section 4.7.1 and elsewhere in this Handbook.

Department chairs act under the direct supervision of and in coordination with the dean of their college or school. As leaders, they develop strategies to build and promote their departments and motivate their faculty colleagues to do the same.



Generally speaking, department chairs are responsible for supervising the development and delivery of academic programs of the highest quality that are consistent with the university's strategic plan and mission. They consult with faculty members and administrative staff regarding academic policies and procedures, including matters such as the following:

- the curriculum and curricular modifications;
- the scheduling of courses;
- the admission of students to and their graduation from programs of study (where applicable);
- academic advisement; and
- the development of academically or professionally related organizations such as honor societies or chapters of national professional organizations.

Where applicable, they work with their dean to ensure compliance with professional accreditation standards.

Department chairs are responsible for the professional development of the members of the faculty and staff in their departments. They advise their dean regarding the recruitment, advancement, and dismissal of faculty and staff. They promote the development of individuals by means such as mentoring junior faculty members; conducting Annual Performance Evaluations; and working with other University offices to assist faculty members in their efforts to secure resources for their scholarship. They oversee, evaluate, and document excellence in teaching, advising, scholarship, clinical activities, and service in their department.

Department chairs ordinarily are responsible for administering the resources allocated to their department according to University and college or school policies. In addition to annual operating budgets, these resources may include physical facilities and equipment.

Department chairs preside at meetings of their departments. They are responsible for informing members of the faculty and staff about matters of University, college or school, and department interest. They are also responsible for actively soliciting the views of members of the faculty and staff and accurately representing those views to others.

In conducting the Annual Performance Evaluations of the academic administrators who report to them, deans shall include an assessment of a department chair's performance of the duties described in this section.

The dean of each college or school appoints department chairs after consulting with the faculty members in the department and obtaining the approval of the Provost and the President. Department chairs ordinarily hold tenure in the department that they chair and shall in all cases hold full-time faculty appointments.

A department chair's term of appointment is ordinarily four years. Renewal beyond a four-year term shall be subject to additional review by the dean, the Provost and the President. Notwithstanding these terms, all department chairs serve at the discretion of the dean, the Provost, and the President and may be reappointed or removed at any time.

If a department chair does not complete their term, the dean shall consult with the Provost and the President before appointing an individual to serve as acting chair or as the new chair. If a department chair is granted a leave, the dean shall consult with the department chair and the Provost before appointing an individual to serve as interim chair. If a chair accepts a leave for one semester or one year it is the discretion of the dean as to whether the term shall be extended. Department chairs shall not ordinarily be eligible for leave of more than one year during a given term in that position.

Except as specifically provided elsewhere in this Handbook, neither appointment as a department chair nor the transition out of that role at a subsequent date alter in any way the appointee's status as a member of the faculty. Appointment as a department chair does not constitute a grant of tenure, nor does service as a department chair qualify an individual to receive tenure except insofar as it may satisfy certain of the University's general criteria for tenure.

## **2.8 Faculty Members**

A faculty member is a person employed by the University who has responsibilities for teaching, scholarship, clinical activities, librarianship, and/or professional service. A faculty member may also be assigned administrative responsibilities. Additional descriptions of how faculty are appointed, classifications of faculty appointments, faculty work expectations and policies and procedures that govern tenure and promotion are found elsewhere in this Handbook.

## **2.9 Faculty Senate**

The Faculty Senate is the deliberative body, the voice, and the agent of faculty involvement in shared governance at Duquesne University of the Holy Spirit. Its mission is to provide a forum for mutual understanding and effective communication between the faculty and other University governance bodies. The Faculty Senate's members represent all full-time faculty, including administrators who have faculty status and members of the library faculty.

The Faculty Senate consists of two elected representative bodies: (a) the Assembly, which has an apportioned membership based on the number of faculty members within a college, a school, or the Library; and (b) the Executive Committee, which includes a single representative from each college or school and one from the Library.

The Faculty Senate is led by four officers (the President, Vice President, Secretary, and Treasurer), who are elected by the full-time faculty at large. The governing procedures of the Faculty Senate are described in the Constitution of the Faculty Senate of Duquesne University, which was approved by a vote of the full-time faculty, administrators with faculty status, and members of the library faculty, and subsequently by the Board of Directors. It may be amended following the process set forth by the Faculty Senate Constitution. In cases of conflict between the Articles of Incorporation, Bylaws of the University, or the TAPs and the Constitution of the Faculty Senate of Duquesne University, the Articles of Incorporation, Bylaws and TAPs prevail.

Faculty members communicate their views and concerns to the President, the Cabinet, the Members of the Corporation, and the Board of Directors through the Faculty Senate President who meets regularly with key members of these constituencies and the President. The Faculty Senate meets throughout the academic year. Representatives to both Faculty Senate governing bodies, the Executive Committee and the Assembly, carry concerns from faculty members in their respective units to the Faculty Senate for discussion and action.

## **2.10 University Councils and Committees that Include Faculty**

The University relies on councils and committees to provide broad-based input on a wide variety of topics. The standing councils and committees of the University that have faculty representation include the following:

- Academic Council
- Graduate Council
- Interdisciplinary Curriculum Committee
- University Committee on Promotion and Tenure
- University Grievance Committee for Faculty
- University Budget Committee
- Total Compensation Committee
- Retirement Committee
- University Library Committee
- Athletics Academic Advisory Committee
- NCAA Academic Integrity Committee

### **2.10.1 Academic Council**

The Academic Council is responsible for overseeing the development and implementation of the University's academic plans and policies, subject to the direction and approval of the President. All matters that fall within this scope must be considered by the Council.

The Council consists of the following voting members: Provost (chair), Dean of each college or school, President of the Faculty Senate and the University Librarian. It also consists of the following non-voting members: Associate Provosts, Vice President of Computing and Technology Services, Vice President of the Faculty Senate, University Registrar and one undergraduate student elected by the Student Government Association (SGA). The student member serves a one-year term. The Council meets several times throughout the academic year.

### **2.10.2 Graduate Council**

The Graduate Council develops and recommends to the Academic Council policies and procedures to increase the efficiency and effectiveness of graduate programs in all colleges and

schools. This includes program review protocols; coordination of procedures and standards; and evaluation of proposals for the creation, suspension, or closure of graduate programs.

The Council consists of the following:

- Voting Members
  - One faculty member with school-wide leadership responsibilities appointed by the dean of each college or school that offers a graduate program
  - University Librarian
  - University Registrar
  - One faculty member appointed by the President of the Faculty Senate
- Non-voting members
  - Associate Provost for Academic Affairs (chair)
  - Other Associate Provosts
  - Faculty Advisor to the Graduate and Professional Student Council (GPSC)
  - One student elected by the GPSC

Faculty members serve one-year terms. The student member serves a one-year term. The Council meets once each month throughout the academic year.

### **2.10.3 Interdisciplinary Curriculum Committee**

The Interdisciplinary Curriculum Committee supports the development and periodic review of interdisciplinary programming. It reviews proposals for new interdisciplinary programs that involve more than one college or school and makes recommendations to the Provost with respect to these initiatives. The committee consists of one faculty member appointed by the dean of each college or school and no more than three additional faculty members appointed by the Provost. To the degree possible, members serve staggered two-year terms. Members may not serve more than three consecutive terms. The committee meets as necessary to conduct its business.

### **2.10.4 University Committee on Promotion and Tenure**

The University Committee on Promotion and Tenure reviews and evaluates the portfolios of candidates for pre-tenure review, tenure, and/or promotion in rank. It recommends to the Provost those candidates whose retention, tenure, and/or promotion would, in its view, benefit the University and whose professional achievements meet the University's expectations.

The committee is chaired by the Provost. The committee consists of one full-time, tenured faculty member from each college or school except the McAnulty College and Graduate School of Liberal Arts and two full-time, tenured faculty members from the McAnulty College and Graduate School of Liberal Arts. All members of the committee vote except for the Provost.

A faculty member may not serve simultaneously on this committee and the Grievance Committee for Faculty. Voting members shall be elected by full-time tenured and tenure-track faculty members in the college or school using procedures established by the college or school. Each college or school shall also elect one alternate to serve in cases of the extended

unavailability of an elected member or their recusal. Administrators such as deans, associate deans, department chairs, and program directors are ordinarily not eligible for membership. All exceptions shall be approved by the President. The committee shall ordinarily be chaired by the Provost. If the Provost cannot serve in this capacity or recuses themselves, the President shall designate a member of the committee to serve pro tempore. Voting members serve staggered three-year terms. Voting members may not serve more than two consecutive terms. The committee meets as necessary, ordinarily between mid-November and mid-March.

### **2.10.5 University Grievance Committee for Faculty**

The University Grievance Committee for Faculty receives from faculty members, and investigates according to procedures described elsewhere in this Handbook, grievances that arise from alleged failures on the part of administrators to follow policies, procedures, and criteria adopted by departments, divisions, colleges, schools, and/or the University.

The committee consists of one full-time faculty member who has completed at least seven years of full-time employment as a faculty member at the University from each college or school (except for the McAnulty College), two full-time faculty members who have completed at least seven years of full-time employment as faculty members at the University from the McAnulty College, and one member of the Gumberg Library faculty.

Members shall be elected by the full-time faculty members in the college or school or in the Library using procedures established by that college or school or the Gumberg Library. A faculty member may not serve simultaneously on this committee and the University Committee on Promotion and Tenure.

Elections shall be staggered so that members' terms begin according to the following schedule:

- Every three years beginning in fall 2015: Law, Education, Nursing, Natural and Environmental Sciences
- Every three years beginning in fall 2016: Pharmacy, College A, Business Administration, Health Sciences
- Every three years beginning in fall 2017: Music, College B, Library

Each college or school and the Library shall also elect one alternate to serve in cases of the extended unavailability of an elected member or their recusal. If a member resigns, the alternate from that college or school or the Library shall serve out the remainder of that member's term. At the start of each year, the committee shall elect one of its number as chair.

Members serve terms that begin on the first day of the year in which they are elected and end at the conclusion of the committee's first meeting of the fall semester three years later. Members whose terms will end at the conclusion of that meeting do not vote in the election of the committee chair. Members may not serve more than two consecutive terms. The committee shall meet as often as is necessary to conduct its business (see Section 10). Five members who are

eligible to participate in the business before the committee at a given meeting (see Section 10.1) shall constitute a quorum for that meeting.

### **2.10.6 University Budget Committee**

This committee advises the President and vice presidents in matters relating to the key assumptions used in the development of the University's pro-forma multi-year operating budgets and seeks to ensure that those assumptions align with the University's Mission. The committee has a charter that further defines its purpose and its structure.

The committee consists of the following:

- Vice President for Management and Business (co-chair)
- Provost (co-chair)
- Vice President for University Advancement
- Vice President for Mission and Identity
- Vice President for Student Life
- President of the Faculty Senate
- Two deans appointed by Academic Council
- Athletic Director
- Vice Provost
- Vice President for Enrollment Management
- Assistant Vice President for Finance and Business
- Assistant Vice President, Chief Budget and Planning Officer
- Assistant Vice President, Chief Human Resources Officer
- University Librarian
- Three faculty members elected by the Faculty Senate
- Two undergraduate students elected by the Student Government Association
- One graduate or professional student elected by the Graduate and Professional Student Council (GPSC)
- Two exempt staff and two non-exempt staff appointed by the President.

The Committee Co-Chairs may invite non-Committee members to attend meetings to provide subject matter expertise or additional support. The President may attend meetings at any time. Deans serve staggered two-year terms. Faculty members serve terms determined by the Faculty Senate. Staff and student members serve one-year terms. The committee meets regularly throughout the calendar year but not less than twice in the fall semester and twice in the spring semester.

### **2.10.7 Compensation Committee**

This committee advises the President and Officers in matters pertaining to employee compensation including performance-based salary and wage increases, health and welfare benefits, tuition remission benefits and retirement benefits (contribution levels but not

investment options, etc.). The committee has a charter that further defines its purpose and its structure.

The Committee consists of the following:

- Vice President for Management and Business (co-chair)
- Provost (co-chair)
- One dean appointed by the Provost
- Two faculty members appointed by the President of the Faculty Senate
- Assistant Vice President, Chief Human Resources Officer
- One representative of IUOE Local #95
- One representative of SEIU Local #32BJ
- One exempt staff and one non-exempt staff appointed by the committee co-chairs.

With the exception of the Assistant Vice President and Chief Human Resources Officer, members may not serve on both the Compensation Committee and the Budget Committee at the same time.

The Committee Co-Chairs may invite non-committee members to attend meetings to provide subject matter expertise or additional support. The dean serves a two-year term. Faculty members serve terms determined by the Faculty Senate. Staff members serve one-year terms. The committee meets in person at least once per year. The Committee Co-Chairs may call special meetings as needed.

### **2.10.8 Retirement Committee**

This committee advises the Vice President for Management and Business in their capacity as the University administrator responsible for selecting and monitoring the investment options offered in the University's retirement plans. The committee provides non-binding recommendations to the Vice President for Management and Business, who retains sole responsibility for all plan-related decisions. The committee has a charter that further defines its purpose and its structure.

The committee consists of the following:

- Vice President for Management and Business (chair)
- Assistant Vice President for Human Resources
- Vice President for Legal Affairs and General Counsel
- Two faculty members appointed by the Faculty Senate
- One staff member appointed by the chair.

Because committee members are expected to provide meaningful input and discussion related to the University's retirement plans, all members must possess investment or business expertise sufficient to evaluate the issues associated with the committee's purpose. The committee meets as needed.



### **2.10.9 Library Committee**

The Library Committee advises the University Librarian on the development and allocation of library resources for instruction and research, on library facilities, and on the provision of library services to the University community. It also provides a forum for the discussion of library-related concerns.

The committee consists of the following:

- The University Librarian or their designee (chair)
- One faculty member from each college or school appointed by its dean
- One faculty member appointed by the President of the Faculty Senate
- One undergraduate student appointed by the President of the Student Government Association
- One graduate or professional student appointed by the President of the Graduate and Professional Student Council (GPSC).

All appointed members serve renewable one-year terms. The committee meets at least once per semester.

### **2.10.11 Athletics Academic Advisory Committee**

The Athletics Academic Advisory Committee constitutes a formal means for staff members in the Division of Athletics and members of the faculty to interact on issues of shared interest or concern specific to the University's intercollegiate athletics program and associated campus initiatives.

The committee consists of the following:

- Director of Athletics (chair)
- Faculty Athletics Representative appointed by the President
- Associate Athletic Director for Sports Administration and Strategic Initiatives
- Associate Athletic Director for Academic and Student Services
- Associate Athletic Director for Administration and Compliance
- Assistant Athletic Director for Student Services, Department of Athletics
- Faculty representatives from colleges and schools, invited to participate by the Director of Athletics in consultation with the deans. Representation from each college or school is preferred.

The committee meets approximately three times per year, typically in August, December and March.

### 2.10.12 NCAA Academic Integrity Committee

The NCAA Academic Integrity Committee conducts an annual review of the academic processes of the Department of Athletics to assure that they are consistent with the University Mission and compliant with NCAA requirements. In particular, the committee reviews the academic outcomes of student athletes and makes recommendations to the President for improving those outcomes.

The membership of the committee includes:

- Faculty Athletic Representative (chair)
- Associate Provost for Academics
- A dean appointed by the Provost
- University Registrar
- Director of Admissions
- Director, Learning Skills Program
- Coordinator, Comprehensive Student Advising
- Associate Athletic Director for Sports Administration and Strategic Initiatives
- Associate Athletic Director for Administration and Compliance
- Associate Athletic Director for Academic and Student Services.

The committee meets at least once per year.

## 3 Academic Freedom and Faculty Standards of Conduct

Essential to the purpose of the University is the free and unhampered pursuit and communication of truth and knowledge. To exercise their essential role in the educational mission of the University, faculty members require certain freedoms, both as citizens and as members of an academic community engaged in teaching, scholarship, clinical activities, and service to the University and society.

### 3.1 Freedom and Responsibility as Citizens

As citizens, faculty members shall be free from institutional censorship. In particular, they shall not be subject to disciplinary sanctions on the grounds that they exercised their right as citizens to express their opinions. But their special position in society imposes certain obligations. When speaking in public, faculty members shall at all times be accurate, exercise appropriate restraint, and show respect for the opinions of others. Faculty members are bound by TAP 35 and must clearly distinguish their personal views from the positions established by the University.

### 3.2 Freedom and Responsibility in Teaching

Academic freedom is essential to teaching and to discussing the material that one teaches. However, faculty members shall not, when teaching, persistently intrude unrelated opinion or material with no relevance to the subject being taught.

### **3.3 Freedom and Responsibility in Scholarship**

Freedom in scholarship is fundamental to the advancement of truth. Faculty members have freedom in pursuing their scholarly work and in publishing the results. Scholarship, publication, and consulting, including that done for pecuniary return, shall be subject to stated rules and policies of the University, as delineated in this Handbook and TAPs.

### **3.4 The Balance between Academic Freedom and Faculty Responsibilities**

Academic freedom carries with it responsibilities in addition to rights. It does not remove from a faculty member the duty to comply with stated rules and policies of the University and its constituent academic units, including policies and procedures with respect to teaching, teaching assignments, curricula, syllabi, grading, the evaluation of teachers and students, academic integrity, committee service, harassment, discrimination, and professional behavior. Disagreements about the balance between academic freedom and University rules and policies shall be subject to the processes in this Handbook regarding grievances.

## **4 University-Wide Faculty Ranks and Appointments**

### **4.1 Diversity and Inclusion**

Creating, enhancing, and affirming diversity plays a role in decision-making at all levels. Confronting and eliminating bias, whether conscious or unconscious, represents an institutional priority. Duquesne University's commitments to diversity are expressed in TAP 30: Affirmative Action, Equal Educational and Employment Opportunity, and Human Relations in the Workplace and Classroom.

### **4.2 Faculty Appointments**

All faculty appointments are subject to the terms of the Articles of Incorporation, Bylaws of the University, the University Mission Statement, the Faculty Handbook (to the extent the Handbook is not inconsistent with the Bylaws) and The Administrative Policies.

#### **4.2.1 Initial Offers of Appointment and Annual Letters of Reappointment**

The President makes initial offers of appointment by letter. This letter of appointment constitutes the only official offer and supersedes any previous understanding, whether oral or in writing. The President also makes letters of reappointment for full-time faculty members by letter and delegates to the deans of the colleges and schools the authority to sign letters of appointment for part-time faculty members. Letters of appointment or reappointment shall include, but not be limited to, the following terms: department, college or school, faculty rank and classification, salary, duration of appointment, and any additional applicable terms.

Faculty members accept the terms of the University's offer of employment when they return a signed copy of the initial offer of employment to the Office of the Provost. All initial offers of employment are contingent upon the University's acceptance of satisfactory background checks, which may be repeated as a condition of continued employment.

No later than June 15 of each year, the Office of Human Resource Management shall make available to continuing full-time faculty members their letters of appointment for the following year.

#### **4.2.3 Duration of Appointment**

Appointments for full-time faculty members will take the form of either "nine-month" or "twelve-month" appointments, depending on the practice in the college or school concerned. Initial offers of employment and letters of appointment for "nine-month" appointees stipulate the exact dates on which their formally assigned teaching and service commitments begin and end, as determined by the University's academic calendar.

Part-time faculty members are appointed for the period of one term.

#### **4.2.4 Transfer of Appointment**

Faculty members who hold appointments in a department, college or school may propose to the Provost that their appointments be transferred to a different department, college or school. Prior to approving or denying the transfer, the Provost shall consult with all department chairs and deans whose departments, colleges or schools would be affected by the transfer. If approved, a transfer shall take effect with the beginning of an academic year and be reflected in the faculty member's annual letter of appointment for that year. Transfers shall not result in any change to the faculty member's rank, status with respect to tenure, or compensation unless such a change has been agreed to by all parties.

#### **4.2.5 Reassignment of Appointment**

The University may from time to time reorganize departments, colleges or schools and, in the process, reassign faculty members' appointments to new or different departments, colleges or schools. Reassignment shall take effect with the beginning of an academic year and be reflected in the faculty member's annual letter of appointment for that year. Reassignment shall not result in any change to the faculty member's rank, status with respect to tenure, or compensation.

## 4.3 Classifications of Faculty

### 4.3.1 Full-Time Tenure-Track Faculty

Full-time faculty members are expected to devote all their professional time and effort to the responsibilities associated with their appointments. Tenure-track faculty members are subject to the tenure review process described elsewhere in the Handbook.

At the end of the term of appointment defined in their letters of appointment, the appointments of tenure-track faculty members cease without expectation of continued employment unless the faculty members have been reappointed. However, the University shall notify in writing tenure-track faculty members whom it intends not to reappoint for the next year according to the following schedule:

- during the faculty members' first year of appointment on the tenure track, no later than March 1 of that year;
- during the faculty members' second consecutive year of appointment on the tenure track, no later than December 15 of that year; and
- during the faculty members' third consecutive year of appointment on the tenure track and thereafter, at least twelve months before the expiration of the current appointment.

Faculty members initially appointed on the tenure track may not be transferred to non-tenure-track appointments except in highly unusual circumstances. Transfers may be granted only by the President on the recommendation of the department chair, dean and Provost and with the agreement of the faculty member concerned. In such cases, a new letter of appointment will be issued by the President setting forth the new appointment status.

### 4.3.2 Full-Time Tenured Faculty

Tenure is a contract for continuous employment subject to termination for serious misconduct or professional incompetence (as described elsewhere in this Handbook). Tenured faculty members are entitled to renewal of their appointments annually until they resign, retire, or are terminated.

### 4.3.3 Full-Time Non-Tenure-Track Faculty

Non-tenure-track faculty members are not eligible for tenure. They ordinarily hold full-time, one-year appointments. The initial offers of employment to non-tenure-track faculty members and all subsequent letters of appointment shall state whether their appointments are renewable and, if so, under what conditions (including provisions required in certain disciplines by the relevant accrediting bodies or membership organizations).

If non-tenure-track faculty members subsequently apply for and are appointed to tenure-track positions, their years of non-tenure-track service do not affect the length of their probationary

period unless this is approved by the Provost at the time of their appointment to the tenure track position.

Non-tenure-track faculty members enjoy the academic freedom that all other faculty members enjoy with the attendant responsibilities. They enjoy the same voting rights as tenured and tenure-track faculty members except that they may not vote on the tenure or promotion of tenured and tenure-track faculty members. They are entitled to participate in the process of reviewing candidates for full-time faculty appointments in their department, but colleges and schools may determine whether they are eligible to cast a vote on whom to recommend.

#### **4.3.4 Full-Time Library Faculty**

Members of the library faculty are employed in the Gumberg Library or the Center for Legal Information and must possess a master's or doctoral degree in Library Science from an institution accredited by the American Library Association or a foreign equivalent.

The University will continue to honor the tenured status awarded to members of the library faculty before the adoption of this Handbook. However, all future appointments to the library faculty will be classified as non-tenure-track.

#### **4.3.5 Full-Time Visiting Faculty**

Visiting faculty members typically hold permanent appointments at other institutions or outside the academy and serve at the University on a non-tenure-track basis and ordinarily for no more than one year. Visiting faculty members enjoy no voting rights. The terms and conditions of such appointments will be set forth in a letter of appointment from the Provost.

#### **4.3.6 Executives in Residence**

Executives in Residence have enjoyed distinguished careers in their respective professional fields and serve at the University on a non-tenure-track basis for a limited term. Executives in Residence enjoy no voting rights. The terms and conditions of such appointments will be set forth in a Letter of Appointment from the Provost.

### **4.4 Full-time Faculty Ranks**

Full-time faculty members hold appointments at ranks appropriate to the classification of their positions.

Appointment Type	Ranks
<b>Tenure-Track</b>	Instructor, Assistant Professor, Associate Professor, or Professor
<b>Tenured</b>	Associate Professor or Professor
<b>Non-Tenure-Track</b>	Instructor, Senior Instructor, Assistant Professor, Associate Professor, or Professor—optionally in combination with a modifier appropriate to the college or school in which the appointment is held (see paragraph immediately following this table)  Assistant Librarian, Associate Librarian, Librarian

Colleges and schools may propose for approval by the Provost modifiers commonly employed in their respective disciplines. Modifiers include “Teaching,” “Clinical,” and “of the Practice” (e.g., Clinical Assistant Professor or Associate Professor of the Practice). The Office of the Provost shall maintain a master-list of the modifiers approved for use in each college or school. The use of a modifier may broadly correspond with workload expectations in ways commonly recognized by the discipline concerned, but the actual workload of an individual faculty member at Duquesne University shall be determined only as described elsewhere in the Handbook.

Ordinarily, full-time faculty members who do not possess the terminal degree recognized by their disciplines are appointed at the rank of instructor. Instructors who complete all requirements for the terminal degree in their disciplines at an accredited university and submit evidence of this to the dean of the college or school and meeting all other position requirements will be considered for appointment at the rank of assistant professor.

Promotion to the ranks of senior instructor, associate professor, and professor depend not only on faculty members’ continuous employment for certain periods of time but also on their success in demonstrating that their professional achievements meet the appropriate standards.

The ranks assigned to members of the library faculty are determined at the time of their initial appointment on the basis of the alignment of their professional experience, educational credentials, and contributions to the library profession with the criteria for librarianship, scholarship, and service.

The rank assigned to a visiting faculty member shall be the rank most closely equivalent to that held by the faculty member at the institution where they hold their permanent appointment (if applicable), prefixed by the modifier “Visiting.” If a visiting faculty member holds no other academic appointment, the Provost shall determine the rank to be assigned.



## 4.5 Joint Appointments

A joint academic appointment is a faculty appointment that involves responsibilities in two departments, schools, or colleges of the University.

The terms and conditions of a joint academic appointment shall be described in as much detail as is practicable in the initial offer of employment, which shall be signed by the chairs of the departments involved and by the deans of the colleges or schools involved, as well as by the faculty appointee.

The initial offer of employment shall specify the primary and secondary hiring units as well as who will serve as the appointee's dean and chair for Annual Performance Evaluations, salary recommendations, consideration for pre-tenure leave (if applicable), recommendations regarding personal or professional leave, and all other matters of professional supervision. That dean and chair shall be responsible for consulting with the dean and chair in the other department(s), school(s), or college(s), and communicating decisions reached with respect to the faculty member.

Additional topics that should be addressed in the initial offer of employment and in annual letters of appointment when they are applicable include:

- expectations regarding teaching assignments in each department, college, or school;
- expectations regarding advising, committee work, or other service in each department, college, or school; and
- the appointee's voting rights in each department, college, or school (which shall include full voting rights in at least one instance).

The initial offer of appointment or letter of reappointment shall state that a request to modify the terms of the joint appointment may be submitted to the Provost at any time either by the appointee or by one of the deans or department chairs concerned. The Provost shall seek the input of all parties before reaching a decision regarding any modification requested. The primary concern in considering modification requests shall be the equitable treatment of the appointee with respect to their expectations regarding tenure, promotion, and career development in their field. Any adjustment to the terms and conditions of the appointment shall be specified in a revised letter of appointment with copies to all parties.

## 4.6 Part-Time Faculty

Part-time faculty members are to be assigned to teach up to a maximum of six credit hours per term (or the equivalent) and are responsible only for teaching unless their letters of appointment specify otherwise. Their responsibilities are determined by their department chair, division head, or dean.

Part-time faculty members are not eligible to be considered for tenure. Years of part-time service do not accrue toward eligibility for tenure if a part-time faculty member is subsequently appointed to a tenure-track position.

This faculty classification does not include currently enrolled Duquesne University graduate students who receive stipends for teaching as part of their courses of study (i.e., graduate assistants).

Part-time faculty members enjoy the academic freedom that all other faculty members enjoy with the attendant responsibilities. Part-time faculty members enjoy no formal voting privileges. Colleges, schools, and departments may, however, provide means by which their part-time faculty members have a voice in matters directly related to the work they do for the University.

The University arranges for part-time faculty members to receive an orientation to the University's mission and culture, its expectations and policies, and the opportunities and resources available to them. Departments should provide part-time faculty members with the resources necessary to fulfill their responsibilities as specified in their job descriptions. Part-time faculty members receive from the dean of the college or school a letter of appointment that details their responsibilities and specifies their stipend.

Part-time faculty members are appointed at the rank of Adjunct Lecturer. At the request of a dean, the Provost may approve a higher rank, but the rank shall always be prefixed by the modifier "Adjunct."

#### **4.6.1 Volunteers**

Volunteers are individuals who participate without compensation in academic activities such as guest lecturing and service on thesis or dissertation committees. They may occasionally receive honoraria and/or be reimbursed for approved professional expenses.

### **4.7 Faculty Hiring**

#### **4.7.1 Full-Time Faculty**

Full-time faculty members are appointed by the President in consultation with the Provost. Deans, in consultation with the Provost, determine the parameters and processes used for all full-time faculty hires. Tenure-track faculty positions are ordinarily filled following national or international searches. Non-tenure-track faculty positions (including library faculty, visiting faculty and Executives in Residence) may be filled following more limited (regional) searches, especially when time is short later in the academic year.

Faculty members in the relevant unit recommend two to three candidates in ranked order to the department chair or division head including conclusions about each candidate's strengths and weaknesses. The department chair or division head relays these recommendations to the dean of

the college or school for their consideration. Searches that do not produce viable candidates may be deemed a failed search by the dean or the Provost. The dean of the college or school collaborates with the Provost to make a final candidate choice that is forwarded on to the President for consideration and, if appropriate, approval.

#### **4.7.2 Part-Time Faculty**

The President and the Provost delegate to deans the responsibility for overseeing the recruitment and appointment of part-time faculty members. Deans may further delegate that responsibility to department chairs or departmental committees. Ordinarily, part-time positions are filled following limited (local) searches.

#### **4.7.3 Joint Appointments**

Searches to fill full-time faculty positions approved by the Provost as joint appointments are conducted collaboratively by the departments, colleges, and schools in which the appointee will have responsibilities. The names of the candidates recommended for appointment are submitted jointly to the Provost by the relevant deans.

#### **4.7.4 Hiring with Tenure and/or Advanced Rank**

The University does not ordinarily authorize searches that would result in the award of tenure to an appointee at the time of their initial appointment, nor does it expect to appoint faculty members at a rank above that of assistant professor. Exceptions can be approved by the President on the recommendation of the relevant department chair, dean, and Provost. Situations that could justify an exception include faculty appointments extended to candidates for deanships or other leadership positions in the Division of Academic Affairs; appointments associated with endowed professorial chairs; and, more rarely, lateral appointments of senior scholars recruited to meet specific disciplinary needs.

While individuals may be appointed with tenure and/or at advanced rank without having been previously subjected to the review process defined in the handbook, the criteria articulated in that section shall constitute a key consideration for those recommending such appointments to the President and for the President's decision making.

In preparing initial offers of employment for faculty members to be appointed with tenure and/or advanced rank, the relevant department chair, dean, and Provost shall ensure that they clearly articulate in writing all understandings concluded between the University and the appointees regarding their future eligibility for tenure and/or promotion and the ways in which their prior professional achievements will be incorporated into the relevant review processes.

#### 4.7.5 Spousal Hiring

The University makes reasonable efforts to assist the spouses of those whom it recruits to fill faculty positions as they seek employment in the Pittsburgh region. However, it has no policy of creating positions to accommodate spousal hires, nor does it require those charged with conducting searches to prioritize the applications of spouses, since this would conflict with the principle of conducting good-faith searches for all positions (see TAP 21: Employment of Relatives of University Employees).

If, with the approval of the appropriate vice president(s) or the President, two spouses are hired to positions at the University, the Provost shall ensure that the relevant initial offers of employment alert them to TAP 21: Appointment of Relatives of University Employees and delineate steps to forestall foreseeable conflicts of interest.

### 4.8 Expectations of Faculty

By accepting employment at the University, faculty members commit to (a) upholding through the teaching, scholarship, and service they perform the religious and ecumenical orientation of the University as expressed in its Mission Statement and (b) complying with the Bylaws of the University as well as with all published policies and procedures of the University, of their college or school, and of their department.

Faculty members shall at all times comply with accepted professional and ethical standards. Faculty members shall meet the expectations described in this section and elsewhere in this Handbook with respect to teaching, scholarship, service, and (where appropriate) clinical activities or librarianship.

#### 4.8.1 Teaching

Excellence in teaching presupposes a commitment to communicating knowledge, skills, and disciplinary expectations to one's students; assisting them in the development of critical thinking; fostering in them an understanding of the process of problem solving; and instilling in them an awareness of the moral and ethical context of their actions. In these and other ways, faculty members shall promote learning and stimulate the intellectual development of their students.

In addition, the University expects its faculty members to avoid complacency, constantly evaluate their methods, and change and improve those methods based on relevant evidence, such as Student Perceptions of Teaching (SPOT) surveys, peer evaluations, and performance reviews. In these and other ways, they shall remain current in their understanding of advances both in pedagogy and in their respective disciplines or interdisciplinary fields and contribute to developing further creative enhancements as they are able.

As determined by the assignments they are given by their chair and dean, faculty members shall prepare and deliver courses, whether face-to-face or online.

Preparing courses includes:

- creating new courses;
- revising existing courses;
- providing course descriptions;
- ordering course materials;
- selecting appropriate learning outcomes;
- determining what pedagogical methods to employ;
- developing syllabi;
- designing assignments; and
- establishing standards.

Delivering courses includes:

- presenting or imparting relevant material either face-to-face or online;
- creating an inclusive and productive learning environment;
- providing feedback to students on their work;
- proctoring exams and monitoring the integrity of student work;
- grading examinations, assignments, and papers;
- submitting grades promptly; and
- where applicable, supervising and accepting final responsibility for work carried out by teaching assistants.

As applicable, faculty members may also fulfill teaching responsibilities by:

- supervising laboratories;
- instructing students in clinical skills in non-patient-based settings such as simulation facilities;
- conducting independent studies and directed readings;
- directing or acting as readers for theses, dissertations, and capstone projects or problems of applied practice; and
- delivering workshops, seminars, guest lectures, or community-based event presentations.

All faculty members shall encourage students to consult them about academic matters, arrange and announce opportunities for them to do so including office hours, and make reasonable efforts to accommodate students with challenging schedules. Colleges and schools may establish more specific policies with respect to office hours. In cases where students use advising meetings to describe personal problems to which an adequate response would demand specific expertise or training, faculty members shall refer them to the University's professional counseling services and/or to the University Chaplain or as applicable to other University resources such as Public Safety, the Title IX Coordinator, the Office of Special Services, and the Office of Student Life.

If illness or an emergency prevents a faculty member from fulfilling any teaching commitment, the faculty member shall follow the policy established by their department and college or school

to ensure that students are informed and that arrangements are made for them to achieve the relevant learning outcomes.

### **4.8.2 Scholarship**

Faculty members shall contribute to the discovery, creation, and communication of knowledge in ways appropriate to their disciplines or interdisciplinary fields and consistent both with the Mission of the University and with relevant professional standards. Their productivity shall be consistent with their appointment classification and with the expectations of their departments, colleges or schools, and disciplines or interdisciplinary fields.

Evidence of scholarly productivity includes:

- peer-reviewed publications;
- presentations at conferences;
- publication, exhibitions, and performances of original, juried creative work; and
- external grant awards.

Faculty members are encouraged to participate in the activities of learned societies and professional organizations. When participation involves out-of-town travel, they shall ensure that they have the approval of their department chair or dean and that their teaching obligations will be met. Policies governing the reimbursement of expenses incurred by faculty members who attend professional meetings are published by the Office of the Provost and by each college, school, and department as well as by the Office of the Vice President for Finance and Business.

### **4.8.3 Service**

Unless excused in advance by their dean, department chair or division head, full-time faculty members shall attend faculty meetings in their department and their college or school, and all academic convocations. All faculty members shall attend the appropriate matriculation ceremonies, commencement exercises, and diploma ceremonies.

Faculty members shall bear a reasonable share of committee work at the department, college or school, and/or University level and shall conscientiously serve on those committees of which they are members.

Faculty members shall engage in service to their disciplines or interdisciplinary fields and/or their professions and to the community in ways consistent with the Mission of the University.

### **4.8.4 Clinical Activity**

When appropriate, faculty members shall engage in clinical instruction and supervision as well as the provision of professional services at a clinical site. Activities may include:

- developing and assessing clinical sites or settings;

- training students for, and supervising them in, practicum, fieldwork, or internship experiences as these relate to the students' courses of study;
- identifying and evaluating students' clinical competencies;
- attesting to the capability of their students to enter practice in their profession; and
- (where applicable) providing direct patient care, client services, or professional practice.

Faculty members working in clinical or professional settings are expected to maintain appropriate certification and licensure for practice and to adhere to all relevant professional standards.

#### 4.8.5 Librarianship

Members of the library faculty shall engage in activities recognized by the Association of College and Research Libraries as constituting librarianship. Activities may include:

- optimizing and promoting access to and use of information resources;
- building and preserving print and digital collections;
- providing appropriate study space for students and faculty;
- advancing research and learning inside and outside the classroom; and
- facilitating scholarly communication and production.

Inasmuch as members of the library faculty also teach, conduct scholarship in their fields, and provide service to the University and to their discipline, they are subject to the expectations articulated in this Handbook for library faculty.

#### 4.8.6 Faculty Instructional Workload

Each school/college's dean in collaboration with the faculty develops their own instructional workload policy that reflects the models listed in the table below. Such policies should take into account school-specific variables such as contract length, clinical/lab instructional contact hours, thesis/dissertation advisement, and accreditation standards. School policies are instituted following Provost approval.

As part of their Annual Performance Evaluation, faculty scholarship productivity for the three prior years is evaluated to determine which model applies to them for the next academic year. The Dean makes the final determinations in consultation with the Provost.

#### Faculty Teaching Load Models

Model	Credits*	Scholarly Productivity** (Prior 3-year cycle)
Scholar-teacher	15	High scholarly productivity
Teacher-scholar	18	2-3 published peer-reviewed journal articles, 2-3 juried original creative works, or annual progress on an original book



Teacher	21	TT faculty with a teaching focus
NTT Teacher	24	NTT faculty

\* Typical minimum number of credits.

\*\* Discipline-specific adjustments to quality benchmarks and volume criteria for scholarly productivity should include data-based quality indicators such as impact factors, citation frequency, independent critical reviews, etc. Progress on books is evidenced by accumulated new book pages per year equivalent to a single journal article within the discipline, resulting in at least one original book published every five years.

#### 4.8.7 Course Release for Administrative Service

Course releases for administrative service are assigned by the Dean following Provost approval.

#### 4.8.8 Course Release for Extramurally-Funded Research

With the approval of the Dean, faculty awarded extramural funds for research may receive related course release. Funds required to compensate for the reduced load are determined by the Dean and listed in the grant proposal budget. Upon funding of the grant, the predetermined amount is transferred to the faculty's school for operating and/or capital expenses. For each three-credit course release, investigators must charge a minimum of twelve and one-half percent (12.5%) of their annual salary and fringes to extramural funds.

### 4.9 Annual Performance Evaluation

The professional performance of a full-time faculty member shall ordinarily be evaluated annually according to a schedule developed by the college or school to meet a deadline established by the Provost. The department chair or division head shall complete the evaluation and submit it to the dean. In colleges and schools without constituent academic entities, deans shall complete the evaluation. Deans shall conduct the evaluation of department chairs, division heads, and other academic administrators who report to them. In this section, the person completing the evaluation is referred to as the supervisor.

Documentation of a full-time faculty member evaluation shall be retained by the dean of the relevant college or school. The Office of the Provost shall monitor each college or school's satisfactory completion of this process.

Each college or school shall develop and publish a full-time faculty evaluation form that reflects the University's expectations of faculty and includes the following sections:

- a self-evaluation, prepared by the faculty member, that addresses the preceding year's goals and, where relevant, longer-term projects;
- a set of goals for the following year in the areas of teaching, scholarship, service, and (if applicable) clinical activity; and
- the supervisor's evaluation.

Full-time faculty members shall submit to their supervisor their self-evaluation, and a list of goals for the following year. The supervisor shall complete the supervisor's evaluation and hold a conference with the faculty member to discuss the faculty member's self-evaluation, goals, and supervisor's evaluation. Following the conference, the supervisor may revise the supervisor's evaluation and/or the goals. The supervisor shall submit the signed form including their evaluation. The faculty member may append further comments and shall then sign the form, indicating that the faculty member has read it, and return it to the supervisor. The supervisor shall forward the evaluation form to the dean and provide a copy to the faculty member.

While annual evaluations may inform decisions regarding compensation and/or promotion, they are not the sole determining factor.

During the year following an Annual Performance Evaluation, a department chair or division head may, with the agreement of the faculty member concerned, assign them teaching responsibilities beyond those assigned following the process described in this section (i.e., overload assignments). Overload assignments shall be appropriately compensated. The department chair shall notify the dean of each overload assignment, which require the approval of the Provost.

Retrospective assessment of the faculty member's accomplishments shall rely on aggregate data drawn from the preceding three years, taking into account the impact of any periods of approved leave.

Processes for the evaluation of part-time faculty members vary by department, other academic units, and school or college. Part-time faculty members should consult their department chair, academic supervisor, or dean for information about the evaluation of part-time faculty.

## **4.10 Compensation**

### **4.10.1 Salary**

Full-time faculty members receive salaries that compensate them for the totality of their work for the University. The salaries of full-time faculty members, including faculty members with "nine-month" appointments, are paid in equal installments over twelve months.

Factors that contribute to determining the salaries of full-time faculty members include the faculty member's rank, years of service at that rank, and professional performance, as well as the academic discipline in which the faculty member teaches and pursues scholarship.

The University awards full-time faculty members salary adjustments based on factors that include promotion in rank, meritorious professional performance during the period covered by the faculty member's three most recent Annual Performance Evaluations, and the perceived need for the University to maintain competitiveness with discipline specific salaries at other institutions.

In October of each year, faculty members shall receive from the University written notification of any salary adjustment that has been approved, stated both as a dollar amount and as a percentage of the faculty member's compensation for the prior year. Faculty members shall be afforded the opportunity to discuss the basis for the adjustment during their next annual performance evaluation.

#### **4.10.2 Stipends**

Holders of endowed professorial positions receive stipends associated with the specific named positions that they occupy.

Full-time and part-time faculty members may receive stipends to compensate them for performing specific tasks. Full-time faculty members who accept administrative responsibilities may receive stipends according to the policy of their college or school. These stipends may increase over time, but they do not increase a recipients' base salary.

Full-time faculty members may receive stipends for agreeing to teach overload courses. However, a faculty member who has earned or been awarded a leave or a reduced teaching load ordinarily should not receive an additional stipend for an overload course in the same year.

Part-time faculty members are compensated for their work in the form of stipends based on factors such as the number of credit hours they teach and the number of clinical students for whom they serve as preceptor. Part-time stipends vary by academic discipline and may be augmented when the part-time faculty member previously retired from a full-time teaching position at the University. Part-time stipends apply only to the term of a single appointment.

Faculty members receive annual letters from the appropriate office that provide the details of any stipend(s) they are to receive.

#### **4.10.3 Benefits**

Faculty members receive employee benefits based on the classification of their positions. Detailed information is available from the Office of Human Resource Management and in a number of TAPs.

#### **4.10.4 Compensation from Grants**

Providing that faculty members received the requisite approval from their dean before submitting a grant or fellowship proposal to external funding agencies they may include in their budget a request for additional compensation. The amount of compensation is limited only by the requirements imposed by the agency or foundation making the award. Salaries paid from government sponsored research agreements must be consistent with salaries paid from University funds to Duquesne employees with similar titles, duties, and responsibilities.

## 5 University-Wide Faculty Tenure and Promotion

### 5.1 Tenure-Track and Tenured Faculty

#### 5.1.1 Determination of the Probationary Period

Tenure-track faculty members shall be reviewed for tenure only once. This review ordinarily occurs in the sixth year of a tenure-track faculty member's full-time employment at the University. The period up to and including the year in which the review occurs is the probationary period.

In rare instances, a tenure-track faculty member's initial offer of employment stipulates that the appointment is to begin in the middle of an academic year. In such cases, the partial first year of employment is not included as one of the six years that constitute the faculty member's probationary period and tenure review ordinarily occurs in the seventh year.

If a department, college or school, or the University determines that it no longer foresees the need for the expertise that a tenure-track faculty member provides, the Provost shall notify the faculty member that their appointment will not be renewed. Notification shall be given at the earliest opportunity, in accordance with the stipulations in this Handbook, and no less than six months before the faculty member would otherwise initiate the tenure review process by submitting their Cover Sheet.

#### 5.1.2 Modification of the Probationary Period

Only the Provost may extend or abbreviate a faculty member's probationary period. A faculty member must request modifications of the probationary period as described below. The Provost shall promptly notify the faculty member, the department chair, and the dean of any modification in writing and adjust subsequent annual letters of appointment to reflect the change.

##### *5.1.2.1 Extension*

Faculty members may request up to two one-year extensions to their probationary period. However, only in exceptional circumstances shall the probationary period extend beyond the faculty member's eighth year of full-time employment at the University (or the ninth year if the initial appointment begins in the middle of an academic year). Extensions are granted only by the Provost and always in writing with copies to the department chair or division head and dean.

A faculty member may request an extension for personal reasons, citing as grounds for the request one of the circumstances listed in TAP 23: Leaves of Absence: Family and Medical Leave and Personal Leave, Section A.3 (including the birth or adoption of a child, extraordinary demands for dependent care, or the illness of the faculty member). The University shall not unreasonably deny such a request or retract approval after it has been granted.

A faculty member may request an extension for professional reasons if they present a compelling case that their opportunity to meet the University's tenure expectations have been impacted by circumstances beyond their control. Extensions for professional reasons is not guaranteed; the University reserves the right to grant or deny requests based on its assessment of the best interests of the institution.

Requests shall be submitted in writing to the faculty member's department chair or division head ordinarily no fewer than six months before the faculty member's portfolio is due to be submitted. The department chair or division head shall forward the request with their recommendation to the dean, who shall in turn forward both documents with their recommendation to the Provost.

#### *5.1.2.2 Abbreviation on the Grounds of Prior Full-Time Employment*

Faculty members may request that their probationary period be abbreviated only on the grounds of prior full-time employment as faculty members.

When negotiating the terms of their initial offer of employment or at any time before February 1 of their first year of full-time employment at Duquesne University, a tenure-track faculty member with one or more years of prior full-time employment in an instructional or research capacity at the rank of instructor or higher on the faculty of another college or university may request that the University abbreviate the probationary period by the corresponding number of years up to a maximum of three years. In requesting the maximum three-year abbreviation permitted, the faculty member forgoes the opportunity to undergo pre-tenure review.

The Provost shall seek the recommendation of the faculty member's department chair and dean before deciding whether to approve a request to abbreviate the probationary period. Once a request is approved, it may not be rescinded or amended and the faculty member may make no further requests for an abbreviation or extension. The dates approved by the Provost for tenure review shall be included in the initial offer of employment or a revised annual letter of appointment.

A faculty member who held a non-tenure-track appointment at the University before applying for and being appointed to a tenure-track position may request that the University abbreviate the probationary period subject to the same provisions, except that the Provost shall review and approve or deny the abbreviation at the time of the tenure-track appointment and issue an initial letter of appointment that reflects that decision.

The University reserves the right to deny credit for previous experience and accordingly to require any tenure-track appointee to complete up to five complete years of service at the University before being reviewed for tenure. The status of tenure track or that of tenure are not granted based solely on years of service.

### 5.1.2.3 Early Application

Faculty members who believe that their case for tenure already meets all of the University's criteria may apply before the end of their probationary period. Neither the review process nor the criteria employed shall differ in any way from those for cases submitted at the end of the probationary period. Faculty members who apply early are still subject to the provision that they may be reviewed for tenure only once; if denied tenure, they shall receive a one-year terminal appointment for the year following the review.

### 5.1.3 Review Process

Continuation of employment after pre-tenure review as well as tenure and promotion in rank may be conferred only by the President, who receives recommendations from the Provost, the University Committee on Promotion and Tenure, the appropriate dean and department chair, and faculty committees formed by the candidate's college or school and department.

The University follows similar but not identical processes when reviewing tenure-track faculty members for both pre-tenure and tenure review, and when reviewing applications for promotion in rank.

Only the President may sanction modifications of or exceptions to the processes described in this Handbook. The President shall convey their approval of a modification or exception in writing to the faculty member, department chair and dean concerned, and to the Provost.

Faculty members should not follow advice that appears inconsistent with the review process as it is described in this section. All questions of interpretation should be discussed as soon as they arise with the department chair or division head, dean and Provost, escalating in that order only until a final conclusion can be reached, which is then put in writing and conveyed to the faculty member.

During the review process, all aspects (including the nature of the deliberations at all levels of review, the outcome and details of votes taken, and the content of all reports and recommendations) are to be held in the utmost confidence, subject to legal requirements. Any breach of confidentiality violates the code of ethical behavior to which all University employees are held accountable.

Candidates for pre-tenure review, tenure review, and promotion in rank are responsible for understanding when those reviews will occur. Tenure-track faculty members' annual letters of appointment include this information, but individuals should monitor it carefully to ensure that it remains consistent with the provisions of this Handbook. They should immediately bring any apparent discrepancies to the attention of their department chair and dean.

## Review Process Timetable

DATE	ACTION
by March 25	Faculty member submits Cover Sheet to department chair and dean
by April 1	Dean forwards names of all candidates in college or school to Provost
by April 15 *	Faculty member nominates external reviewers of scholarship
by May 1 *	Faculty member provides scholarly materials for external review
by May 15 *	Department chair or dean identifies reviewers of scholarship and forwards materials to them
by September 1	Faculty member uploads complete portfolio for evaluation
by November 15	Dean uploads evaluative reports and recommendations from college or school
by February 1	Provost uploads evaluative reports from University Committee on Promotion and Tenure and their own recommendation
by March 1	After reviewing all reports and recommendations, President notifies faculty member of outcome

\* These steps do not apply in the case of pre-tenure reviews.

### 5.1.3.1 Portfolio

**By March 25** of the calendar year in which the review will occur, candidates shall obtain a Cover Sheet from the department chair or dean, complete the top portion of the form, and submit the original to the department chair and a copy to the dean. Administrators and faculty committees charged with evaluating the case shall complete the appropriate portions of the original Cover Sheet immediately after they complete their reviews. The hard copy of the original Cover Sheet constitutes a part of the candidate's portfolio throughout the review process.

**By April 15**, candidates for tenure and/or promotion in rank (but not for pre-tenure review) shall submit to the department chair or dean the names of at least five individuals whom they regard as qualified to serve as external reviewers of their scholarly work. External reviewers are qualified individuals who have not been employed by the University at any point in the five years immediately preceding the year of the review.

**By May 1**, candidates for tenure and/or promotion in rank (but not for pre-tenure review) shall submit to the department chair or dean a selection of materials for external review that adequately reflects their achievements as scholars. In assembling these materials, candidates should consult with their department chair or dean regarding the need not to overburden



reviewers while still affording them the chance to understand the breadth of the scholarly record they will be evaluating.

**By May 15**, or as soon as possible thereafter, the department chair or dean shall secure two reviewers from the list of names submitted by the candidate as well as no fewer than one and no more than two additional external reviewers.

In nominating and selecting individuals from whom to solicit reviews, candidates, chairs, and deans shall consider the degree to which each will be regarded by others as a reliable and objective evaluator. Inappropriate nominees include the candidate's dissertation or thesis advisor, colleagues with whom the candidate has published or presented as a co-author, scholars who have already publicly disparaged the candidate's work, and family members or close personal friends. Candidates seeking full professor should have external reviews from tenured academics holding full professor rank. Collectively, the three or four reviewers shall be capable of providing a comprehensive evaluation of the candidate's scholarship and standing in the discipline.

Then, as soon as is practicable, the department chair or dean shall forward to the external reviewers a form letter made available by the Provost (adapted if necessary to apply to the case), a copy of the candidate's curriculum vitae, and appropriate scholarly materials. The external reviewers must be supplied with Duquesne's Promotion and Tenure section of this handbook.

**By September 1**, candidates shall assemble and upload electronically a portfolio that describes their ongoing professional development and provides all pertinent evidence of effectiveness or excellence in teaching, scholarship, clinical activity (if applicable) and service. After September 1, candidates will no longer have access to their portfolios. However, they may still submit to the Provost documentation of any additional professional accomplishment that strengthens their case, including notifications of the acceptance of publications or presentations or the award of grants. The Provost shall upload the documentation to the candidate's portfolio and notify all individuals and committees that have not yet completed their evaluations of the case.

Portfolios shall consist of two parts: The Main Packet and the Supplementary Packet.

The Main Packet consists of the following:

- The candidate's current curriculum vitae
  - The Office of the Provost provides guidance to candidates regarding areas that should be addressed and formatting options. However, candidates are ultimately responsible for creating their own documents.
- A framing statement by the candidate
  - The statement should provide a clear and concise description of the candidate's accomplishments in teaching, scholarship, clinical activities, and service as those accomplishments relate to the criteria for retention, tenure, and promotion; the candidate's academic discipline; and the Mission of the University.

- Teaching evaluations

Although faculty at all ranks must conduct Student Perceptions of Teaching (SPOT) evaluations of all their classes.

- For untenured faculty members, evaluations should include (a) quantitative data from the SPOT for all courses taught at Duquesne University\* and (b) at least one peer evaluation report from each year of service. Qualitative comments from SPOT should not be included.
- For candidates for promotion to professor, evaluations should include (a) quantitative data from the SPOT (or equivalent) evaluations for all courses taught in the five years preceding the submission of the portfolio\* and (b) at least five peer evaluation reports completed since appointment as associate professor. Qualitative comments from SPOT should not be included.

Candidates for promotion will be expected to submit SPOTs for all classes starting Fall 2022.

The Supplementary Packet consists of the following:

- Copies of all scholarly publications;
- Manuscripts of, and letters of acceptance for, scholarly works accepted for publication but not yet in print;
- Documentation of grants or other external funding received;
- Documentation of performances, recordings, or installations that give evidence of creative achievement;
- Documentation of scholarly presentations at professional meetings, conferences, or other institutions;
- Unpublished manuscripts or other works in progress;
- Documentation of key claims regarding pedagogical accomplishments as referenced in statement by the candidate;
- All qualitative responses from the Student Evaluation Survey (SES) for all courses taught at Duquesne University since Spring 2014;
- Documentation of key claims regarding service.

Letters from students, colleagues, or other parties (whether solicited or unsolicited) carry no weight during the review process and should not be submitted.

Candidates who held academic positions elsewhere before their initial appointment at the University may describe and document their professional achievements during those years to provide a context for their teaching, scholarship, and service at Duquesne University.

Candidates should prepare all portions of the portfolio in a manner that is clear, concise, and logical, and should ensure that it is accessible to all those who will evaluate it, including

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\* For courses taught before Spring Semester 2014, candidates should submit the one-page summary sheets, entitled “Student Rating Form—Results by Class,” from each Student Evaluation Survey SES report. For courses taught in Spring Semester 2014 or thereafter, the Office of the Provost will provide summary reports of all SESs and SPOTs completed that the candidate may upload.

colleagues from other disciplines. Candidates are individually responsible for articulating and documenting the case that they have met the University's expectations. In addition, candidates should keep in mind that their dossier must be persuasive and that members of evaluative committees may have little or no experience with the type of scholarship and teaching done by the candidate. Consequently, candidates should focus on writing for a non-expert audience and make clear and compelling arguments about the discipline-specific impact of their work in teaching, research, and service.

**After September 1**, the department chair or dean shall upload electronically to the candidate's portfolio all external reviews of the candidate's scholarship that have been received, including the letter used to solicit external reviews. The evaluative reports and recommendations of administrators and committees shall be uploaded as soon as they have been completed.

### 5.1.3.2 Criteria

In evaluating the portfolio submitted by a candidate for pre-tenure review, tenure, and/or promotion in rank, academic administrators and faculty committees shall:

- consider the evidence the portfolio contains regarding the candidate's teaching, scholarship, service, and (if applicable) clinical activity;
- for individuals seeking promotion and tenure or promotion to full professor, assess whether the candidate's performance in teaching, research, and service is *excellent*, *effective*, or *ineffective* relative to the Handbook expectations;
- for individuals seeking successful pre-tenure review, assess whether the candidate's performance demonstrates a potential for excellence in either teaching or scholarship and at least effectiveness in the other area, service, and (if applicable) clinical activity;
- base their recommendation regarding the disposition of the candidate's case on their assessments in each area of professional performance.

None of the provisions contained in the Handbook overrides the ultimate responsibility of all participants in the evaluation process, which is to recommend to the President those candidates whose retention, tenure, and/or promotion would benefit the University and whose professional achievements meet or surpass the University's expectations. This charge cannot always be adequately met by applying a rigid formula. For this reason, administrators and committees shall always submit clear and persuasive written rationales in support of their recommendations.

Specific items often considered as indicative of accomplishment in teaching include the following:

- Receipt of, or nomination for, a university, college or school, or professional society's award for outstanding teaching
- Evaluations of teaching performance by both students and peers, including
  - Evidence of courses taught at a rigorous and challenging level
  - Evidence of significant student learning as a result of one's teaching
- Development of new courses or major revisions to existing courses
- Service as coordinator of a multi-section course

- Development of innovative pedagogical methods and materials, including
  - Participation in community-engaged teaching in a manner consistent with the University's model for such pedagogy
  - Adoption of innovative instructional technology
  - Involvement in effective online delivery of instruction
  - Incorporation of interdisciplinary or inter-professional approaches
- Publication of widely-adopted or acclaimed instructional materials such as textbooks
- Publication in scholarly/peer-reviewed journals in the area of curriculum development and/or teaching methodology (including community-engaged teaching)
- Authorship of externally funded teaching-oriented grant proposals
- Appointment to thesis and/or dissertation committees
- Evidence of outstanding academic advising/mentoring
- Significant self-development activities calculated to lead to enhanced effectiveness as a teacher.

Specific items often considered as indicative of accomplishment in scholarship include the following:

- Receipt of, or nomination for, a university, college or school, or professional society's award for outstanding scholarship
- Receipt of a major fellowship or similar research-related award
  
- Artistic performance in prestigious venues or with highly regarded ensembles
- Receipt and execution of commissions to compose or create important works
- Reviews of performances or audio recordings to which the faculty member contributed
  
- Publication of original research or of major review articles in peer-reviewed journals
- Publication of scholarly books or of chapters in scholarly books
- Publication of original research in the refereed proceedings of professional conferences
- Frequent citation of publications
- Presentation of scholarly papers at international, national, regional, or local meetings
- Participation in research or practice workshops, seminars, or other scholarly meetings
- Editorship of major journals or monograph series
  
- Membership on the editorial boards of major journals or monograph series
- Authorship of externally funded research-oriented grant proposals
- Involvement in community-engaged research as defined in Section 3.1
- Membership on review panels for national research organizations or funding agencies
- Receipt of patents
  
- Significant self-development activities calculated to lead to increased effectiveness in scholarship and publication.

Specific items often considered as indicative of accomplishment in service include the following:

- Receipt of, or nomination for, a university, college or school, or professional society's award for outstanding service
- Service on the Faculty Senate
- Service on university, college or school, or department committees
- Service in support of applications for (re-)accreditation by professional organizations
  
- Service in national professional organizations
- Service on governmental commissions, task forces, or advisory boards
- Service as a consultant to businesses or governmental agencies
  
- Service as program chair at professional meetings
  
- Organization of research symposia
- Service as a reviewer for peer-reviewed journals
  
- Service in non-academic areas of the University (e.g., in advising student organizations)
  
- Significant community service (e.g., membership on institutional boards related to one's profession, membership on city or municipal planning commissions, membership on school boards, or holding office in regional artistic or social welfare organizations).

Particular notice is often taken of these and other service roles when they entail leadership responsibilities.

Specific items often considered as indicative of accomplishment in clinical activity the following:

- Regional or national recognition as a clinical teaching expert
- Demonstration of the ability to establish, develop, and assess clinical teaching sites
- Assumption of leadership roles for course management in clinical settings
- Development of successful clinical educational programs, advanced degree programs, and certification programs
  
- Evidence of significant student learning in clinical practice as a result of one's teaching
- Development of a positive and collaborative learning climate for students
  
- Publication of clinical practice manuals for practitioners, institutions, or other agencies related to one's discipline
- Service as a role model for students and peers of the interactive relationship among theory, research, and practice
  
- Achievement of national certification for advanced clinical specialty practice
- Demonstration of the ability to translate clinical theory and clinical research into practice

- Evidence of active participation in, and contributions to, programs such as continuing education and faculty development workshops
- Effective provision of service in the clinical setting.

**It is important to stress that the bulleted lists in this section are neither exhaustive nor prescriptive. Candidates may present whatever evidence they believe supports their case, providing in their framing statement an explanation of its relevance and significance.**

While faculty members contribute in broadly similar ways to the educational mission of the University, individuals may demonstrate greater skill and engagement in one area or another. Academic administrators and faculty committees charged with reviewing cases for pre-tenure review, tenure, and/or promotion in rank shall consider each case as a whole on its own merits. Success in pre-tenure review, tenure, or promotion in rank in one case is not precedent for any other.

The following standards shall be applied with due regard to the relevant stage in a candidate's career:

- A successful candidate for pre-tenure review shall be judged to have potential for excellence in either teaching or scholarship and at least effectiveness in the other area, service, and (if applicable) clinical activity.
- A successful candidate for tenure and promotion to associate professor shall be judged to have demonstrated *effectiveness* in each of the areas of teaching, scholarship, service, and (if applicable) clinical activity; and *excellence* in at least one of the areas of teaching, scholarship, and (if applicable) clinical activity.
- A successful candidate for promotion to professor shall be judged to have demonstrated *effectiveness* in service, and (if applicable) clinical activity; and *excellence* in teaching and scholarship.

When the University appoints faculty members as department chairs, division heads, or administrators of programs with university-wide scope, it charges them with accountability for the effective functioning of their department, division, or program. In considering portfolios submitted by such individuals for pre-tenure review, tenure, and/or promotion in rank, those charged with evaluating the cases shall take into account the responsibility implicit in their administrative appointments. In addition, the time and effort that these individuals devote to administrative duties may affect the time and effort they are able to allocate to teaching, scholarship, service of all kinds, and (where relevant) clinical activities. Evaluation of their portfolios shall therefore proceed in the context of any modifications to each candidate's allocation of effort for each year of appointment to the administrative position in question, as described in Sections 5.4.2 and 5.5.

Portfolios submitted by candidates for pre-tenure review, tenure, and/or promotion in rank are evaluated in the following order by academic administrators and faculty committees:

1. Departmental or divisional committee (if the college or school so provides—see below)
2. Department chair or division head

3. College or school committee
4. Dean
5. University Committee on Promotion and Tenure
6. Provost
7. President

Each successive evaluation represents a level of review. After evaluation of a case at a given level of review has been completed and the required recommendation has been submitted, the individual(s) at that level of review shall no longer have access to the candidate's portfolio.

The following principles govern the roles that individuals may occupy with respect to this process:

- An academic administrator may not make a formal recommendation regarding a candidate at more than one level of review.
- No faculty member may participate in the evaluation of a candidate at more than one level of review. In particular, a faculty member elected to serve on the University Committee on Promotion and Tenure is ineligible to participate in the evaluation of a candidate at the college, school, departmental, or divisional level. Similarly, a faculty member elected to a college or school committee is ineligible to participate in the evaluation of a candidate at the departmental or divisional level. (This proscription of participation encompasses more than the act of casting a vote. Individuals may not "sit in" on committee discussions or contribute to the preparation of committee reports.)
- Academic administrators who chair faculty committees shall have no vote on those committees.
- A faculty member who applies for tenure in a given year may not participate in any way in the review of other candidates' tenure applications in that year, nor may a faculty member who applies for promotion to a given rank in a given year participate in any way in the review of other candidates' applications for promotion to that rank in that year.
- Individuals shall recuse themselves from participating in cases in which their objectivity might reasonably be questioned, including those in which they have an exceptionally close personal or professional relationship with the candidate.

Each college or school shall determine as a matter of policy whether it will conduct evaluations at the departmental or divisional level. If a college or school elects to do so, those evaluations shall be conducted by departmental or divisional committees. Such committees shall consist of all tenured members of the candidate's department or division who hold an academic rank higher than that held by the candidate except the department chair or division head and (if applicable) the dean of the college or school. In cases where fewer than three faculty members meet these criteria, a college or school may establish procedures to supplement departmental or divisional committees with tenured faculty members holding an appropriate rank from other departments or divisions. Committees shall select as their chair one of their members who holds tenure in the same department or division as the candidate. If no such member exists, the dean shall appoint the committee chair. If a college or school elects not to conduct evaluations at the departmental or divisional level, the evaluation process shall begin with the chair's evaluation.



The **departmental or divisional committee** shall thoroughly review and evaluate the portfolios of all candidates from the department or division. Relying exclusively on information contained in the portfolios, members of the committee shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service. Based on those judgments, as described in Section 5.7.3.2, the committee shall vote on the candidates' retention, tenure, and/or promotion. The committee chair shall prepare separate narrative reports: addressing each of the areas of professional performance; summarizing the committee members' individual evaluations; and recording all vote counts on each candidate's retention, tenure, and/or promotion. The committee chair and all remaining committee members shall sign the report. However, a committee member who wishes to do so may submit a supplemental report expressing differing or dissenting views. Supplemental reports shall be submitted directly to, and uploaded to the candidate's portfolio by, the department chair or division head. They shall not be shared with other committee members. The committee chair shall complete the relevant section of the Cover Sheet and forward it with the committee's narrative report to the department chair or dean.

The **department chair or division head** shall thoroughly review and evaluate the portfolios of all candidates from the department or division, including (if applicable) the recommendations of the departmental or divisional committee. Relying on the information contained in the portfolios and on their own knowledge and assessment of the candidates as their supervisor, the chair or head shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service. Based on those judgments, as described in Section 5.7.3.2, the chair or head shall complete the relevant section of the Cover Sheet and support their recommendation in a narrative report that addresses each of the areas of professional performance. The chair or head shall submit the completed Cover Sheet and accompanying report to the dean.

The tenured and tenure-track faculty members in each college or school shall annually elect no fewer than five tenured faculty members other than the dean of the college or school to serve on the **college or school committee**. The requirement that membership in departmental and divisional committees be restricted to faculty members who "hold an academic rank higher than that held by the candidate" (see above) does not apply to college or school committees. The dean may either preside as the non-voting chair of the college or school committee or appoint one of the elected members to serve as chair.

The college or school committee shall thoroughly review and evaluate the portfolios of all candidates from the college or school, including the recommendations of all prior evaluators. Relying exclusively on information contained in the portfolios, members of the committee shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service. Based on those judgments, the committee shall vote on the candidate's retention, tenure, and/or promotion. The committee chair (or, in cases where the dean elects to preside, a committee member elected to do so by the other members) shall prepare separate narrative reports: addressing each of the areas of professional performance; summarizing the committee members' individual evaluations; and recording all vote counts on a candidate's retention, tenure, and/or promotion. The committee chair (or the

committee member elected to prepare the narrative report) and all remaining committee members shall sign the report. However, any committee member who wishes to do so may submit a supplemental report expressing differing or dissenting views. Supplemental reports shall be submitted directly to, and uploaded to the candidate's portfolio by, the dean. They shall not be shared with other committee members. The committee chair (or the committee member elected to prepare the narrative report) shall complete the relevant section of the Cover Sheet and forward it with the committee's narrative report to the dean.

The **dean** shall thoroughly review and evaluate the portfolios of all candidates from the college or school including the recommendations of all prior evaluators. Relying on the information contained in the portfolios and on their own knowledge and assessment of the candidates as their supervisor, the dean shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service. Based on those judgments, as described in Section 5.7.3.2, the dean shall complete the relevant section of the Cover Sheet and support their recommendation in a narrative report that addresses each of the areas of professional performance. The dean shall submit the completed Cover Sheet and accompanying report to the Provost.

The composition of the **University Committee on Promotion and Tenure** is described in Section 2.10.4. The committee shall thoroughly review and evaluate the portfolios of candidates from all colleges and schools, including the recommendations of all prior evaluators. Relying exclusively on information contained in the portfolios, members of the committee shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service.

Based on these factors, committee members shall vote on the candidate's retention, tenure, and/or promotion. Committee members designated by the committee chair shall prepare separate narrative reports: addressing each of the areas of professional performance; summarizing the committee members' individual evaluations; and recording all vote counts on a candidate's retention, tenure, and/or promotion. All committee members other than the committee chair shall sign the report. However, any committee member who wishes to do so may submit a supplemental report expressing differing or dissenting views. Supplemental reports shall be submitted directly to, and uploaded to the candidate's portfolio by, the committee chair. They shall not be shared with other committee members. The committee chair shall sign the Cover Sheet and collect all reports associated with the case for submission as the candidate's portfolio to the President.

The **Provost** shall thoroughly review and evaluate the portfolios of candidates from all colleges and schools including the recommendations of all prior evaluators. Relying on the information contained in the portfolios and on their own knowledge and assessment of the candidates as their supervisor, the Provost shall evaluate all candidates and judge whether they are excellent, effective, or ineffective in the areas of teaching, scholarship, clinical activity, and/or service. Based on those assessments, the Provost shall complete the relevant section of the Cover Sheet and upload to the candidate's portfolio a narrative report supporting their recommendation regarding the candidate's retention, tenure, and/or promotion.

### 5.1.3.3 Decision

At the conclusion of the evaluation process described in this Handbook, the Provost shall ensure that all candidates' portfolios are complete and contain fully executed Cover Sheets as well as all narrative reports and recommendations before notifying the President that they are available for review.

After reviewing each candidate's portfolio, the President shall make their decisions, sign the Cover Sheet, and inform the candidate of the decision in writing no later than March 1. Decisions may be conveyed only by the President and shall always be conveyed in writing.

After the candidate has been notified of the President's decision, they may ask the Provost to provide a written summation of the review process. In the summation, the Provost shall indicate the recommendation made by each of the committees that evaluated the candidate's case (without revealing information about the votes cast by the members of those committees individually) and the principal reasons they provided for their recommendations. The Provost shall similarly indicate the recommendation made by each of the individuals who evaluated the case and the principal reasons they provided for their recommendations. The Provost shall preserve the confidentiality of views expressed by all individuals including any external reviewers who contributed to the evaluation process. A copy of each summation shall be provided to the candidate's department chair and dean within 30 days of the candidate's request for the summation.

A candidate may appeal the President's decision to the Grievance Committee for Faculty but only on certain grounds.

When the decision made is either (a) not to retain a candidate who applied for pre-tenure review or (b) to deny tenure to a candidate who applied for tenure review, the candidate shall be offered a one-year terminal appointment for the year following the review.

When the decision made is to award tenure and/or promotion, the faculty member's new status is effective at the beginning of the following year and is reflected in the faculty member's next letter of appointment.

The Office of the Provost retains a single hard copy of all materials in the candidate's portfolio other than those scholarly publications and original artistic works that the candidate specifically requested be returned.

### 5.1.4 Pre-Tenure Review

The University conducts pre-tenure reviews of the progress of tenure-track faculty members at a point approximately halfway through their probationary period (ordinarily during their third year of full-time employment at the University). However, faculty members whose probationary

period has been abbreviated by the maximum three years permitted do not undergo pre-tenure review.

Initial offers of employment and subsequent annual letters of appointment issued to tenure-track faculty members shall state the then-current projected date of their pre-tenure review. Faculty members shall receive no less than one calendar year's notice of the date by which they are to submit their pre-tenure review portfolios.

The outcome of pre-tenure review is both summative and formative. At the conclusion of each pre-tenure review, the President decides whether the candidate should be retained as a faculty member at the University. If the President decides in favor of retention, this shall not be construed as a guarantee that the faculty member will ultimately be tenured and/or promoted in rank.

Before the end of the year in which each pre-tenure review occurs, the Provost shall meet with the candidate and the candidate's dean and department chair or division head to discuss in general terms the strengths and weaknesses of the candidate's portfolio. Within 30 days of that meeting, the Provost shall summarize in writing the outcome of that discussion and send copies of the summary to the candidate and the candidate's dean and department chair or division head. While intended in good faith to provide guidance to the candidate, this feedback on the candidate's pre-tenure review does not guarantee the outcome of the subsequent evaluation of the candidate for tenure and/or promotion in rank.

### **5.1.5 Tenure Review and Promotion to Associate Professor**

For tenure-track faculty members, promotion to the rank of associate professor ordinarily occurs when tenure is granted and is subject to the same criteria.

### **5.1.6 Promotion to Professor**

Promotion to the rank of professor is ordinarily granted on the basis of a candidate's professional accomplishments since being promoted to associate professor. Evidence submitted as part of a candidate's portfolio for tenure and promotion to associate professor may be resubmitted only if the candidate can make the case that it is critical to provide a context for subsequent work. (Regarding candidates recruited to the University as lateral hires, see Section 5.1.7.)

Candidates whose applications for promotion to professor are denied may ordinarily reapply no sooner than in the third year following that decision.

### **5.1.7 Lateral Hires**

Faculty members may be appointed with tenure and/or at advanced rank. When an individual is subsequently considered for tenure and/or promotion in rank, the dean of the relevant college or school shall inform those responsible for evaluating the candidate's portfolio of any provisions in

the candidate's initial offer of employment regarding the year in which they would be eligible for review and/or the ways in which professional achievements that pre-dated the candidate's employment at the University would be evaluated as part of those reviews.

### **5.1.8 Appeal of Decision Regarding Tenure and/or Promotion**

The President's decision regarding applications for retention, tenure, and promotion in rank may be appealed by the candidate to the Grievance Committee for Faculty, but only on certain grounds as described elsewhere in this handbook.

## **5.2 Non-Tenure-Track Faculty**

### **5.2.1 Continuation of Employment**

At the end of the term of appointment defined in their letters of appointment, the appointments of non-tenure-track faculty members cease without expectation of continued employment unless the faculty members have been reappointed. Non-tenure-track faculty members who hold renewable appointments may be reappointed based on the needs of the department, division, college or school, and the University and on their performance of their professional responsibilities.

Letters of reappointment for non-tenure-track faculty members whose appointments are being renewed will ordinarily be provided according to the following schedule:

- during the faculty members' first year of appointment, no later than March 1 of that year;
- during subsequent years of appointment, no later than December 15 of that year.

For non-tenure-track faculty members, being reappointed and earning promotion in rank are unrelated events. Non-tenure-track faculty members need not apply for promotion when eligible to do so to be considered for reappointment. Conversely, achieving promotion does not in itself guarantee reappointment.

### **5.2.2 Promotion**

After serving six complete consecutive years at the rank of instructor, non-tenure-track faculty members are eligible to apply for promotion to senior instructor.

After serving six complete consecutive years at the rank of assistant professor or associate professor, non-tenure-track faculty members are eligible to apply for promotion to associate professor or professor, without tenure, respectively.

Non-tenure-track faculty members whose applications for promotion are denied may ordinarily reapply no sooner than in the third year following that decision.

Upon the recommendation of the dean and with the approval of the Provost, either one or two years of full-time professional service at another university may be applied to satisfying this eligibility requirement. In addition, if a non-tenure-track faculty member began teaching full-time at the University as an instructor and was subsequently reappointed as an assistant professor upon completing their terminal degree, they may apply for promotion after completing an aggregate of six complete consecutive years of service, so long as at least four of those years were at the higher rank.

#### 5.2.2.1 Review Process

Promotion in rank may be conferred on non-tenure-track faculty members by the Dean, who receives recommendations from the appropriate department chair or division head and a faculty committee formed in the candidate's college or school. Only the Provost may sanction modifications of or exceptions to the processes described in this section. The Provost shall convey their approval of any modification or exception in writing to the faculty member, department chair, and dean concerned. Faculty members should not follow advice that appears inconsistent with the review process as it is described in this section.

During the review process, all aspects of the review (including the nature of the deliberations at all levels of review, the outcome and details of votes taken, and the content of all reports and recommendations) are to be held in the utmost confidence, except as required by law. Any breach of confidentiality violates the ethical code of behavior to which all University employees are held accountable. After the review is concluded and the final decision has been conveyed to the candidate, the candidate may ask the Provost to provide a written summary of the review process.

#### Review Process Timetable

DATE	ACTION
<b>by March 25</b>	Faculty member submits Cover Sheet to department chair and dean
<b>by April 1</b>	Dean forwards names of all candidates in college or school to Provost
<b>by September 1</b>	Faculty member submits complete portfolio for evaluation
<b>by November 15</b>	Dean assembles evaluative reports and recommendations for Provost
<b>by March 1</b>	After reviewing all reports and recommendations, Provost notifies faculty member of outcome

**By March 25** of the calendar year in which they wish a review to occur, candidates shall obtain a Cover Sheet from the department chair or dean, complete the top portion of the form, and submit the original to the department chair and a copy to the dean. Administrators and faculty committees charged with evaluating the case shall complete the appropriate portions of the

original Cover Sheet immediately after they complete their reviews. The hard copy of the original Cover Sheet constitutes a part of the candidate's portfolio throughout the review process.

**By September 1**, candidates shall submit to the department chair or dean a portfolio that describes their ongoing professional development and provides pertinent evidence of accomplishment in the areas of teaching, scholarship, clinical activity, and service insofar as each of these areas is designated as germane to their respective faculty appointments and/or written job description. After September 1, the candidate will no longer have access to the portfolio.

The portfolio shall consist of the following:

- The candidate's current curriculum vitae;
- A framing statement by the candidate that provides a clear and concise description of the candidate's accomplishments in all areas germane to their faculty appointment;
- Documentation of key claims regarding pedagogical accomplishments including teaching evaluations (specifically, quantitative data from the SPOT evaluations for all courses taught at Duquesne University\* and a total of at least two peer evaluation reports completed during the preceding two years);
- Documentation of key claims regarding scholarly accomplishments (if relevant to the candidate's position), including copies of any scholarly publications and presentations at professional meetings, conferences, or other institutions; documentation of grants or other external funding received; and documentation of performances, recordings, or installations that give evidence of creative achievement;
- Documentation of key claims regarding clinical activity accomplishments or librarianship (if relevant to the candidate's position);
- All qualitative responses from the Student Evaluation Survey (SES) for all courses taught at Duquesne University since Spring 2014;
- Documentation of key claims regarding administrative and service accomplishments as referred to in the candidate's statement.

Letters from students, colleagues, or other parties (whether solicited or unsolicited) carry no weight during the review process and should not be submitted.

Candidates who held academic positions elsewhere before their initial appointment at the University may describe and document their professional achievements during those years to provide a context for their teaching, scholarship, and service at Duquesne University.

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\* For courses taught before Spring Semester 2014, candidates should submit the one-page summary sheets, entitled "Student Rating Form—Results by Class," from each Student Evaluation Survey (SES) report. For courses taught in or after Spring Semester 2014, the Office of the Provost will provide summary reports all SESs and SPOTs completed that the candidate shall then upload.



Candidates should prepare all portions of the portfolio in a manner that is clear, concise and logical, and should ensure that it is accessible to all those who will evaluate it, including colleagues from other disciplines.

**After September 1**, the department chair or division head shall upload recommendations of administrators and committees as soon as they have been completed.

In evaluating the portfolio submitted by a non-tenure-track faculty member for promotion in rank, academic administrators and faculty committees shall:

- consider the evidence contained in the portfolio regarding the candidate’s professional accomplishments in areas germane to their faculty appointment, as well as their ongoing professional development; and
- assess whether the candidate’s performance meets the University’s expectations, especially with regard to committed and effective teaching, as characterized in this Handbook.

It is the ultimate responsibility of all participants in the evaluation process to recommend to the dean those candidates who have earned recognition. For this reason, administrators and committees shall always submit clear and persuasive written rationales in support of their recommendations.

Portfolios submitted by non-tenure-track faculty members for promotion in rank are evaluated in the following order by faculty committees and academic administrators:

1. Department chair or division head
2. A faculty committee established within the college or school
3. Dean or University Librarian.

Each successive evaluation represents a “level of review.”

Basic principles governing the functions of all individuals with respect to this process (including principles with respect to the eligibility of individuals to vote at specific levels of review and their obligation to recuse themselves under certain circumstances) are identical to those detailed in with respect to the review of applications from full-time tenure-track faculty members for pre-tenure review, tenure, and/or promotion in rank.

The **department chair or division head** shall thoroughly review the portfolio of each non-tenure-track faculty member from the department or division who applies for promotion in rank and, on the basis of the information it contains and on their own knowledge and assessment of the candidates as their supervisor, evaluate the candidate’s record of professional accomplishment in areas germane to their faculty appointment as well as their ongoing professional development. Based on those judgments, the department chair or head shall complete the relevant section of the Cover Sheet and support their recommendation in a narrative report. The chair or head shall submit the completed Cover Sheet and accompanying report to the dean.

Each college or school and the Gumberg Library shall establish a **faculty review committee** to consider applications for promotion in rank from non-tenure-track members of its faculty. Faculty review committees shall consist of no fewer than five full-time faculty members, of whom at least one shall be tenured and at least one shall be a member of a department or division other than that in which the candidate holds their appointment. If the college or school employs five or more non-tenure-track faculty members, at least two members of its faculty review committee shall be drawn from that pool; and if the college or school employs four or fewer non-tenure-track faculty members, at least one member of its faculty review committee shall be drawn from that pool. Each committee shall select one of its members to serve as chair. The faculty review committee shall thoroughly review the candidate's portfolio and, on the basis of the information it contains, evaluate the candidate's record of professional accomplishment in areas germane to their faculty appointment as well as their ongoing professional development. Based on those judgments, the committee shall vote whether to recommend the candidates' promotion. The committee chair shall prepare a narrative report summarizing the committee members' individual evaluations and recording the vote that was taken. The committee chair and all remaining committee members shall sign the report. However, a committee member who wishes to do so may submit a supplemental report expressing differing or dissenting views. Supplemental reports shall be submitted directly to, and added to the candidate's portfolio by, the dean. They shall not be shared with other committee members. The committee chair shall complete the relevant section of the Cover Sheet and forward it with the committee's report to the dean.

The **dean or university librarian** shall thoroughly review the portfolio of each non-tenure-track faculty member from the college or school who applies for promotion in rank and, on the basis of the information it contains and on their own knowledge and assessment of the candidates as their supervisor, evaluate the candidate's record of professional accomplishment in areas germane to their faculty appointment as well as their ongoing professional development. Based on those judgments, the dean shall complete the relevant section of the Cover Sheet and indicate whether the candidate is awarded promotion. The dean or university librarian makes the final decision, signs the Cover Sheet, and notifies the candidate of the decision in writing no later than March 1. All materials are then forwarded to the Provost for university processing.

A candidate may appeal the promotion decision to the Grievance Committee for Faculty but only on certain grounds.

When the decision taken is to grant promotion, the non-tenure-track faculty member's new status is effective at the beginning of the following year and is reflected in the faculty member's next letter of appointment.

Candidates whose applications for promotion are denied may ordinarily reapply no sooner than in the third year following that decision.

The Office of the Provost retains a single hard copy of all materials in the candidate's portfolio other than any scholarly publications or original artistic works that the candidate specifically requested be returned.

### 5.2.3 Professional Development

In general, non-tenure-track faculty members shall not be unreasonably denied access to available resources for professional development.

After completing six consecutive years of full-time employment, non-tenure-track faculty members may apply for a reduction in their instructional responsibilities for one or two semesters at full pay to engage in professional development activities germane to their respective faculty appointments. Reductions are neither automatic nor guaranteed and shall be awarded on the basis of three criteria: (a) the teaching needs and financial resources of the college or school; (b) the value of the proposed development activities to the faculty member, the faculty member's discipline, the college or school, and the University; and (c) where applicable, the results reported by the faculty member following the conclusion of any previous period of reduction.

Each college or school shall develop for approval by the Provost and subsequent publication (a) the form(s) that reductions in instructional responsibilities may take, (b) the application procedure to be followed, and (c) additional college- or school-specific criteria by which applications will be evaluated. Each dean is responsible for reviewing applications from non-tenure-track faculty members in alignment with the college or school policies and for awarding or denying the reduction requested, in consultation with the Provost.

Years in which a non-tenure-track faculty member's instructional responsibility has been reduced count as years in rank for purposes of promotion consideration.

Faculty members become eligible to apply for a subsequent reduction in the sixth year following completion of each year on a reduced instructional load.

## 5.3 Library Faculty

The promotion provisions for non-tenure track faculty apply to members of the library faculty unless explicitly modified as noted below.

### 5.3.1 Eligibility

Candidates for appointment as Assistant Librarian shall meet the requirements noted in this Handbook and shall ordinarily have served for fewer than five years as professional librarians. Assistant Librarians at Gumberg Library shall ordinarily apply for promotion to Associate Librarian after completing three consecutive years at that rank. Associate Librarians at Gumberg Library may ordinarily apply for promotion to Librarian after completing at least eight years as professional librarians and at least three consecutive years at Gumberg Library. In addition, they shall have completed a doctoral degree, a second master's degree or substantial post-master's coursework; have earned other appropriate credentials; or demonstrate equivalent experience.

### 5.3.2 Evaluations

Portfolios submitted by members of the library faculty for promotion in rank are evaluated by a faculty review committee and by the University Librarian. Each evaluation represents a level of review. Each **faculty review committee** shall consist of three members drawn from those members of the library faculty who have successfully earned promotion in rank at least once. One member shall be selected by the University Librarian, one member shall be selected by the candidate, and one member, who will chair the committee, shall be elected by the members of the library faculty eligible to serve. Supervisors are ineligible to serve on review committees for those whom they supervise, and individuals with possible conflicts of interest shall recuse themselves.

## 5.4 Part-Time Faculty

The instructional needs of each department, division, college, or school constitute the primary criterion for the University's decision to offer part-time faculty appointments. Prior service in a full-time or part-time capacity is not a consideration. Department chairs, division heads, and program directors are responsible for evaluating the professional performance of part-time faculty members and providing them with written assessments at the end of their first period of appointment and at the end of every fourth subsequent period of appointment.

## 5.5 Other Appointments

### 5.5.1 Graduate Assistants

Students enrolled in graduate programs at the University may be assigned and compensated for tasks (including teaching, scholarship, and/or clinical activities) under two sets of circumstances:

- Graduate assistants perform such tasks as a function of their educational programs under the supervision of the department chair, division head, graduate program director, or other faculty member responsible. When assigned as instructors of record for course sections, graduate assistants carry the responsibilities associated with that role. However, they are expected to consult with their faculty supervisors when addressing complex or challenging situations. Graduate assistants receive financial aid that may include tuition remission as well as or in lieu of a living allowance. The University formally defines the status of graduate assistants as that of "student."
- Graduate students who do not receive an assistantship may be assigned teaching responsibilities as part-time faculty members, in which case they are subject to those sections of this Handbook that refer to part-time faculty members.

## 5.5.2 Research Appointments

At the request of a dean, the Provost may grant research appointments to individuals who will conduct scholarly research at the University. Such individuals are not compensated by the University from its own budget. If their appointments are supported by extramural grants, the extension or renewal of their appointments is contingent on the continuation of that funding.

Research appointments may carry the titles of Research Assistant Professor, Research Associate Professor, Research Professor, Research Scholar, Research Associate, or Postdoctoral Fellow.

Letters of appointment issued to individuals with research appointments shall state:

- the applicability of the Bylaws of the University, the University Mission Statement, the Faculty Handbook, and The Administrative Policies;
- the name of the tenured or tenure-track faculty member who will serve as the appointee's sponsor and supervisor during the term of the appointment;
- the start date and end date of the appointment, which may not exceed one year;
- the conditions, if any, under which the appointment may be renewed;
- the nature of the responsibilities associated with the position;
- the appointee's title;
- the source of any compensation the appointee will receive and, if appropriate, the fact that the appointment is contingent on the continuation of funding; and
- any additional terms.

Individuals holding research appointments have no right to vote in any area of faculty governance and cannot be members of the Faculty Senate.

The sponsoring college or school is responsible for supervising the work of the appointee and for ensuring their compliance with all relevant University policies and procedures.

After consulting with the dean, the Provost may at any time void a research appointment if they determine that the appointment no longer serves the best interests of the University.

## 5.5.3 Courtesy Appointments

The University extends courtesy faculty appointments to individuals who either (a) hold continuing full-time appointments in one University department but contribute to the work of another department in ongoing and substantial ways that are nevertheless not so extensive as to justify a joint appointment; or (b) visit the University while retaining appointments at other academic institutions or in non-academic organizations and contribute to the fulfillment of a department's mission.

An academic department or program may at any time request that a courtesy appointment be offered to an individual who meets these criteria. In a written request to the dean of the relevant college or school, the department chair or program director shall outline:

- the role the department or program foresees for the individual;
- the way in which the individual's activities will be supervised; and
- the rank at which the courtesy appointment should be made (as commensurate with the proposed appointee's academic qualifications, their rank at their current institution, if applicable, and their expected duties or activities).

The department chair or program director shall also submit a current curriculum vitae or résumé for the proposed appointee that includes appropriate contact information.

If the dean, in consultation with the Provost, approves the request, they shall send a letter to the individual extending the courtesy appointment. This letter shall clearly state:

- the term of the courtesy appointment, which may not exceed one year but may be renewed annually at the request of the sponsoring department or program;
- the academic title that the individual will enjoy (a title that must include the phrase "by Courtesy" [e.g., Assistant Professor of Philosophy by Courtesy] and must always be used in full); and
- any additional privileges or services that will accompany the appointment (e.g., picture ID card, library privileges, email access).

All privileges or services to be provided must have been agreed upon in detail with the University offices responsible for granting or providing them before the appointment letter is issued. Issues or concerns regarding the propriety of extending certain privileges or services shall be resolved by the Provost.

The dean shall send one copy of the appointment letter and the appointee's curriculum vitae or résumé to the Provost and an additional copy of only the appointment letter to all offices that have agreed to provide privileges or services to the appointee.

Unless they hold regular (that is, non-courtesy) appointments in another department, individuals holding courtesy appointments are not members of the Faculty Senate and they may not vote, even in matters limited to the department in which they hold their courtesy appointment.

The sponsoring department or program is responsible for supervising the work of the appointee and for ensuring their compliance with all relevant University policies and procedures.

After consulting with the sponsoring department or program and the dean, the Provost may at any time void a courtesy appointment if they determine that the appointment no longer serves the best interests of the University.

## 5.6 Funded Faculty Positions

In pursuit of its goal of academic excellence, the University seeks to recruit, retain, recognize, and support faculty members with distinguished records as scholars, teachers, and clinicians. As one means to this end, it establishes and fills funded faculty positions.

Funded faculty positions may be underwritten externally (by individual benefactors, foundations, or granting agencies; either as endowed positions or by means of a multi-year financial commitment); internally (through the creation of quasi-endowment accounts); or by drawing on a combination of external and internal sources. Salary dollars allocated to an existing vacant faculty position may also contribute to the costs of establishing a funded position.

Funded faculty positions may be school- or discipline-specific or indeterminate with respect to either or both.

In all cases where donor monies contributed to creating a faculty position, the University honors to the best of its ability donor intent as expressed in the relevant gift agreement or other formal documentation. Endowed faculty positions include:

- professorial chairs, which may be designated as either
  - continuing appointments, subject only to sustained distinguished professional performance, or
  - term-limited, with or without the possibility of renewal for additional terms;
- distinguished professorships; and
- faculty fellowships.

Faculty stipends are contingent to holding the chair and availability of funding.

### 5.6.1 Named Chairs

Only the President may appoint faculty members to named chairs, whether continuing or term limited. Appointment to a continuing named chair constitutes the highest recognition of academic achievement that the University bestows. To be eligible for such an appointment, a faculty member shall either hold the rank of professor at the University or at another institution of comparable status, or show compelling evidence of distinguished professional performance that would justify immediate appointment at that rank. In addition, candidates for continuing professorial chairs shall demonstrate at least national recognition of their leadership in their respective fields during the three years immediately preceding their candidacy.

In rare instances, the gift agreement creating the endowment that funds a continuing professorial chair may name a tenured faculty member already employed at the University as the inaugural holder of the chair. In all other cases, continuing professorial chairs shall be filled following international searches that invite applications from external as well as internal candidates.

The dean of the college or school in which the chair is to reside shall chair the search committee, to which the full-time members of the relevant department shall elect at least four of their number.

The search process shall follow all the procedures established for faculty searches by the Office of the Provost, the college or school, and the department, with the following additions:



- Before publishing the position announcement, the search committee shall review all available information concerning the intent of the donor(s);
- The committee shall provide opportunities for candidates who are invited to interview on campus to meet with faculty members who reflect the University as a whole;
- At the conclusion of the search, the committee shall recommend two or three candidates in ranked order to the Provost. The Provost shall then attach their own recommendation and forward the materials to the President, who shall make the final decision. If no candidate is found satisfactory to the President, they may direct that a new search be initiated.

If the search committee recommends, and the Provost and President endorse, the appointment of an external candidate for whom they consider a tenured faculty appointment appropriate, the President shall consult with the full-time faculty members in the relevant department before extending an initial offer of employment. Following this consultation, the President may confer tenure without consulting the University Committee on Promotion and Tenure.

The initial term of appointment to a continuing professorial chair shall ordinarily be five years. To the degree that this is consistent with donor intent and after consulting with relevant deans and the Provost, the President shall decide whether to renew the appointment for successive five-year terms relying on criteria identical to those for initial appointment.

The University ordinarily appoints to term-limited professorial chairs distinguished members of its own faculty in recognition of their exceptional professional achievements. To be eligible for such appointments, faculty members shall hold the rank of professor at the University and demonstrate at least national recognition of their leadership in their respective fields during the three years immediately preceding their candidacy.

Each fall semester, the Provost shall consult with the deans and other relevant offices to develop a list of qualified candidates for all term-limited chairs, professorships, and faculty fellowships to which the University will need to make new appointments before the beginning of the following year. The Provost shall recommend candidates for each position to the President, who shall make the final decision. To the degree possible, appointments shall be announced by December 1 so as to facilitate the scheduling of courses for the following year.

Upon completing their final term, the holders of term-limited professorial chairs shall lose their entitlement to identify themselves using the names of the chairs they held. However, for the remainder of their employment as faculty members at the University, they shall instead enjoy the title “Duquesne Professor of <Their Discipline>.”

Holders of professorial chairs, whether continuing or term-limited, may identify themselves during their term using the names of the chairs they hold and shall be so identified by the University in all press releases and publications in which their names appear. In addition to their base salaries, holders of professorial chairs receive stipends and discretionary budgets determined by the Provost after reviewing the relevant gift agreement.

Chair holders' allocations of effort shall align with the orientation of the chairs that they hold and may therefore differ from those typical for faculty members in their department, division, college, or school. Holders of professorial chairs may in particular teach fewer courses than other professors in their department, division, college, or school. Except where a teaching commitment is expressly stipulated in the gift agreement that established the chair in question, however, chair holders shall not teach fewer than two courses per year.

Specific responsibilities (significant among which may be leadership and enrichment of the intellectual life and academic programs of the University and the department, division, or program in which the chair resides) shall be agreed upon by the chair holder, the dean of the relevant college or school, and the Provost, and included in the initial letter of appointment.

Chair holders shall participate fully in the process of Annual Performance Evaluation described in this Handbook. In addition, they shall provide copies of a narrative summary of their achievements as holders of their respective chairs to the President and the Provost no later than June 1 each year.

### **5.6.2 Professorships**

Professorships differ from term-limited professorial chairs in one or more of the following respects:

- the position may be funded only on a limited basis or for a limited term;
- to be eligible for appointment to the position, candidates need not yet have attained the rank of professor;
- the stipend and/or the discretionary budget allocated to the holder may be less than would be expected for professorial chairs;
- final appointment decisions are made by the dean of the college or school in consultation with the Provost;
- no annual report is due from the holder of the professorship to the President or the Provost; and
- upon completing the term of the professorship, the holder resumes the title associated with their rank as a member of the faculty.

### **5.7 Faculty Fellowships**

The University awards faculty fellowships to tenure-track or recently tenured faculty members at the University in recognition of their professional achievements in one or more of the areas of teaching, scholarship, or clinical activities. In all other respects, faculty fellowships are structured in the same way as professorships.

### **5.8 Professors Emeriti and Emeritae**

The President, upon recommendation of a Dean and the Provost, may confer the title of Professor Emeritus or Emerita on any faculty member who:

- retires at the rank of professor, and
- held full-time faculty appointments at the University either
  - at any rank for a total of at least twenty years or
  - at the rank of professor for at least ten years.

Conferral of the title, however, is neither automatic nor guaranteed.

Professors Emeriti and Emeritae continue to have library privileges but otherwise enjoy no rights or privileges beyond those extended to retired employees under TAP 18: Retirement Benefits—All University Employees.

## **6 Leave**

The University may relieve faculty members of their regular responsibilities under several circumstances. It does so with the expectation that they will ordinarily resume their regular duties at the conclusion of the leave period. They shall not exceed two years.

All publications and presentations of work undertaken while on leave shall indicate the faculty member's continuing association with the University.

### **6.1 Leave for Professional Advancement**

Leaves for professional advancement provide the opportunity for faculty members to pursue scholarly, artistic, and/or professional activities related to their development as teachers and scholars in ways appropriate to their academic disciplines and the University's Mission.

Final authority to award all leaves for professional advancement resides with the Provost, who shall communicate their decision in writing to the applicant, the department chair and the dean.

Within three months of returning from a leave for professional advancement, faculty members shall provide a report on the activities undertaken during the leave to the Provost, dean, and department chair if applicable.

#### **6.1.1 Sabbatical Leave**

Faculty members are first eligible to apply for a sabbatical in their sixth year of tenure-track employment. Approval under these circumstances is contingent upon the award of tenure. Faculty members become eligible to apply again in the sixth year following completion of their first and all subsequent sabbaticals.

Sabbaticals may take any of the following forms: one semester of leave at full salary, two consecutive semesters at half salary, or two consecutive semesters with a reduced workload at full salary. Faculty members who elect to structure their leaves as two consecutive semesters at

half salary may supplement their salaries with internal or external funding consistent with the approved activities. Faculty members are advised to consult the Office of Human Resource Management regarding the impact of each option on their entitlement to employee benefits.

Faculty members seeking a sabbatical leave shall submit a letter of application that provides a detailed description of their sabbatical plans. The letter shall explain the relation of the proposed activities to the applicant's professional development and in particular to their previous scholarly or artistic work, teaching and/or clinical activities. The letter shall not ordinarily exceed 2,000 words.

Faculty members shall submit their letter of application to their department chair or division head, who shall forward it with a recommendation to the dean. If there is no department chair, the letter shall be submitted to the dean. In all cases, the dean shall add a recommendation and forward all materials to the Provost, who shall make the final decision. Deans may request additional information from sources internal or external to the university to inform their recommendations, and the Provost may do so before reaching a decision.

Sabbaticals are neither automatic nor guaranteed and shall be awarded on the basis of the following criteria: (a) the teaching needs and financial resources of the college or school; (b) the likelihood that the activities proposed can be completed in the leave period requested; (c) the value of those activities to the faculty member, the faculty member's discipline, the college or school, and the University; (d) performance history of the applicant in teaching, scholarship and service as assessed by their academic unit's annual performance review process; and (e) where applicable, the results reported by the faculty member following the conclusion of any previous leave(s) for professional advancement.

### **Sabbatical Timetable**

DATE	ACTION
by September 15	Faculty member submits letter of application to chair or dean
by October 1	(if applicable) Chair submits application with recommendation to dean
by October 15	Dean submits materials with recommendation to Provost
by November 15	Provost notifies faculty member of decision

Faculty members on sabbatical may not accept employment at another institution without explicit permission from the Provost.

Time on sabbatical leave is counted as time in rank for promotion consideration.

### 6.1.2 Pre-Tenure Leave

With the approval of the Provost, a college or school may invite tenure-track faculty members to apply for a pre-tenure leave. The college or school shall propose for consideration by the Provost the form(s) that pre-tenure leaves may take, the application procedure to be followed, the criteria by which applications will be evaluated, and the process by which recommendations will be forwarded to the Provost. To the degree possible, these shall reflect the corresponding provisions for sabbatical leaves and “the teaching needs and financial resources of the college or school” shall always constitute one of the criteria for evaluating applications. Under no circumstances shall the awarding of pre-tenure leaves be defined as either automatic or guaranteed.

Time on pre-tenure leave is counted as time in rank for tenure and promotion consideration.

Faculty members who are granted pre-tenure leaves become eligible to apply for their first sabbatical in the sixth year following completion of their pre-tenure leave.

### 6.1.3 Uncompensated Leave

Full-time faculty members may apply for uncompensated leaves for professional advancement for a period of up to one year. Under exceptional circumstances, this may be extended for up to one additional year. Faculty members are advised to consult the Office of Human Resource Management regarding the impact of uncompensated leave on their entitlement to employee benefits. Under certain limited circumstances, the University may agree to subsidize these benefits.

Faculty members seeking uncompensated leaves for professional advancement shall submit a letter of application that describes the purpose of the leave and the exact period requested, including the proposed starting and ending dates.

Faculty members shall submit their letter of application to their department chair or division head, who shall forward it with a recommendation to the dean. If there is no department chair or division head, the letter shall be submitted to the dean. In all cases, the dean shall add a recommendation and forward all materials to the Provost, who shall make the final decision. Deans may request additional information from sources internal or external to the University to inform their recommendations, and the Provost may do so before arriving at a decision.

Letters of application should be submitted as far in advance of the proposed starting date as the circumstances permit. The Provost shall communicate a final decision within 30 days of receiving the relevant materials from the dean.

Uncompensated leaves for professional advancement shall be awarded on the basis of two criteria, of which the first is the more significant: (i) the University’s ability to make suitable accommodations for the faculty member’s absence in fulfilling the teaching commitments of the department and college or school; and (ii) the scholarly merits of the proposal.

Time spent on uncompensated leave for professional advancement shall count as time in rank when calculating the recipient's eligibility for promotion and tenure consideration and also as full-time faculty employment when calculating the recipient's eligibility for sabbatical leave.

#### **6.1.4 Grant-Supported Leave**

In rare cases, faculty members may apply to the Provost for a grant-supported leave that relieves them of all non-grant-related responsibilities. The expectation for this leave is that faculty grant support will cover their salary and benefits and leave-related costs for the period of leave. The leave shall be requested before the grant proposal is submitted to the funding agency or foundation. The Provost shall consult with the faculty member's department chair and dean to determine the implications of granting the leave but shall not unreasonably deny the request. Such a leave shall not exceed two years.

### **6.2 Leave for Personal Reasons**

Faculty members are provided the same entitlement as other employees of the University to leave for certain personal reasons. Policies and procedures associated with personal leaves are outlined in The Administrative Policies, including TAP 9: Military Leave of Absence; TAP 15: Sick Leave, Short-term and Long-term Disability Benefits; and TAP 23 Leaves of Absence: Family and Medical Leave and Personal Leave. The Office of the Provost works with faculty members, deans, and the Office of Human Resource Management to apply provisions of the relevant TAP to the individual circumstances of faculty members in various disciplines.

## **7 Other Privileges and Responsibilities**

The University expects faculty members to act in accordance with the highest standards of professionalism and honesty. In particular, faculty members shall (a) avoid involvement in activities that conflict with the University Mission Statement; (b) treat students, faculty, and all employees of the University fairly, honestly and with respect; and (c) refrain from using students, faculty, or employees of the University to perform tasks unrelated to the student's studies, the faculty member's responsibilities, or the employee's position description. In this respect, faculty members are held to the high standards articulated for all University employees in The Administrative Policies.

### **7.1 Use of University Title and Affiliation**

Faculty members are encouraged to use their title and affiliation with the University in public for purposes connected to their professional and/or academic areas of expertise, but they may not represent themselves as speaking on behalf of the University unless expressly authorized to do so.

As a tax-exempt organization, the University may not engage in political activities. Faculty members may not, therefore, use their title or affiliation in conjunction with any political activity that might imply endorsement or support by the University.

Faculty members may not use the University's name or logo for personal or commercial gain.

## 7.2 Conflict of Interest

Faculty members are under the same obligation as other employees of the University to observe the University's policies regarding conflicts of interest (see TAP 33: Conflict of Interest Policy and the University policy on Conflicts of Interest in Grants and Sponsored Research Projects).

## 7.3 Conflict of Commitment

Full-time faculty members shall devote themselves fully to their assigned University duties and responsibilities. However, the University recognizes that in certain circumstances a full-time commitment is compatible with limited professional employment outside the University. Indeed, such employment may be appropriate or even necessary as proof of expertise or for professional licensure, certification, or accreditation. The University therefore encourages and approves limited professional employment outside the University to the degree that it is consistent with the Mission of the University and does not unduly limit an individual's attention to their assigned responsibilities at the University. A conflict of commitment arises only when external activities and interests are so substantial or demanding of a faculty member's time and attention as to interfere with their responsibilities to the University.

Full-time faculty members shall obtain annual written permission from the dean of the college or school before accepting or renewing outside employment of any kind, including teaching at another institution. The dean shall grant permission only after carefully considering the contribution of the activities or proposed employment to the faculty member's responsibilities at the University, with appropriate regard to

- the amount of time required, which shall not ordinarily exceed an average of one day per week during the period of the faculty member's term of appointment (see Section 5.1.3),
- its effect upon the faculty member's availability to students and colleagues,
- the possibility of conflict of interest,
- the consistency of the activity with the Mission of the University, and
- any foreseeable cost to the University for the use of equipment, materials, or facilities.

Permission will not be unreasonably denied.

A faculty member's failure to seek approval by the dean, or engagement in activities that occupy more than an average of one day per week, may be grounds for disciplinary action (see Section 9).



## 8 Voluntary and Involuntary Termination of Employment

### 8.1 Resignation

As a professional courtesy and to allow their departments adequate time to accommodate their resignations, faculty members who do not desire to be reappointed at the expiration of their current terms of appointment are asked to notify their department chair and dean in writing no later than January 15 or as soon after that date as individual circumstances permit.

#### 8.1.1 Retirement

TAP 18: Retirement Benefits—All University Employees articulates when resignation will be regarded as retirement.

### 8.2 Non-Reappointment

Non-reappointment differs from dismissal in that it does not represent a disciplinary sanction imposed on the faculty member as an individual.

The University may elect not to reappoint:

- part-time faculty members at the end of any term;
- full-time non-tenure-track faculty members at the end of any year; and
- tenure-track faculty members at the end of any year, ordinarily as the result of either pre-tenure or tenure review.

The University may elect not to reappoint any faculty member, including those who hold tenure, for financial or programmatic reasons as described in Sections 8.2.1 and 8.2.2. The University shall terminate faculty members who hold tenure only after first terminating faculty members in an affected program who are untenured.

#### 8.2.1 Non-Reappointment on the Grounds of Financial Exigency

The employment of faculty members may be terminated for reasons of financial exigency only under extraordinary circumstances because of a demonstrably bona fide financial exigency declared by the Board of Directors that cannot be alleviated by less drastic means.

If a condition of financial exigency is declared, the Provost in consultation with the Academic Council shall assume the responsibility for recommending to the President the extent of reductions in force needed and the areas in which reductions should be made.

Faculty members affected by such decisions shall receive a reasoned explanation for the decision not to reappoint them. The University shall make every reasonable effort to place the faculty members in other positions within the University for which they are qualified. When positions

are determined to exist, new letters of appointment shall be offered. When positions are determined not to exist, at least one year's notice of non-reappointment shall be given.

Positions vacated on the grounds of a condition of financial exigency shall not be refilled for three years unless the faculty members released have first been offered reinstatement and a minimum of 21 calendar days to consider whether to accept.

### **8.2.2 Non-Reappointment on the Grounds of the Discontinuance of an Academic Program**

The employment of faculty members may be terminated as a result of the University's decision to discontinue a division, department, or program. Such decisions shall take into account both educational and financial considerations and shall be arrived at only after consultation between the Provost, the dean of the college or school, and the faculty of the division, department, or program concerned.

Faculty members affected by such decisions shall receive a reasoned explanation for the decision not to reappoint them. The University shall make every reasonable effort to place such faculty members in other positions within the University for which they are qualified. When positions are determined to exist, new letters of appointment shall be offered. When positions are determined not to exist, at least one year's notice of non-reappointment shall be given.

### **8.3 Termination on Medical Grounds**

The employment of faculty members may be terminated for medical reasons based upon documented medical evidence that the faculty members cannot continue to fulfill the terms and conditions of their appointment.

The decision to terminate shall be reached only after appropriate consultation and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member's position and to respond to the evidence of inability to perform the essential duties of the position, as indicated in the faculty member's letter of appointment and or relevant documents governing their employment.

## **9 Disciplinary Actions and Dismissal**

### **9.1 Disciplinary Actions**

Routine disciplinary actions are the responsibility of department chairs, division heads, and deans.

When a faculty member, department chair or division head has reason to believe that a faculty colleague has knowingly engaged in conduct that constitutes a violation of the provisions of this Handbook or other University policies and procedures, the faculty member, department chair or division head shall immediately notify the dean in writing. Disciplinary actions short of termination shall be conducted by the dean in consultation with the Office of Human Resource Management or other departments as appropriate. If the recommendation includes termination, the Provost will be notified.

After notifying the faculty member, the dean shall further review the allegation in a timely fashion. The review may involve meetings with the faculty member and other involved parties, as well as consultation with the Office of Human Resource Management or Office of Legal Affairs. To the degree that this is consistent with ascertaining all the relevant facts, the dean shall limit the number of individuals involved in the investigation and protect all parties from retaliation (see TAP 7: Ethics Reporting Policy & Procedure).

At the conclusion of the investigation, the dean shall decide whether the faculty member will be disciplined and shall notify the faculty member in writing of that decision. Sanctions imposed may include, but not limited to, one or more of the following:

- an oral warning;
- a written reprimand;
- assignment to other duties;
- referral to a professional body for possible censure;
- restitution to the University for any financial gain to the faculty member arising from the misconduct;
- reduction in compensation;
- suspension with or without pay; and
- referral for medical review or mental health counseling.

Repeated violations or failure to comply with previously recommended sanctions or behavioral changes may result in additional and/or more serious sanctions than were imposed following a first offense.

If the dean determines that the circumstances may warrant the faculty member's dismissal, they shall refer all relevant materials to the Provost.

Allegations of violations involving academic administrators such as department chairs, division heads, and deans may be made directly to the dean or the Provost.

## **9.2 Dismissal**

Dismissal and, where relevant, termination of a faculty member's tenure constitutes the most serious sanction the University can impose. Only the President or the Provost may dismiss a faculty member.

Faculty members may be dismissed and, where relevant, their tenure forfeited for reasons of serious misconduct or professional incompetence.

Serious misconduct includes, but not limited to:

- the failure to observe the principles of the Mission Statement of Duquesne University or elaborations thereof approved by the Board of Directors;
- conduct involving moral turpitude;
- the failure to observe specific University policies that address discrimination and sexual harassment;
- the failure to treat faculty colleagues, students, staff, or administrators fairly, honestly, or with respect; and
- the failure to maintain the standards of professional conduct articulated in the TAPs or this Handbook.

Professional incompetence includes, but not limited to, the repeated and unreasonable failure to:

- meet classes on time and as scheduled;
- respond to students' requests for appointments or assistance;
- comply with deadlines established for all faculty members;
- attend meetings of committees to which the faculty member belongs; and to submit routine reports, grades and other documents; and
- meet the University's expectations for teaching, scholarship, and service as described in this Handbook.

In the event of the proposed dismissal of a tenured faculty member, the faculty member is entitled to a hearing by the University Grievance Committee for Faculty. That hearing, the committee's subsequent recommendations and the President's final decision shall be conducted in accordance with the provisions of this Handbook.

### **9.3 Appeal of Disciplinary Actions, Including Dismissal**

A faculty member may appeal any disciplinary action to the University Grievance Committee for Faculty. During the pendency of any appeal, no sanction may be enforced unless the failure to do so (a) would constitute a breach of the University's legal obligations, (b) would entail the creation or continuation of a risk of danger to the faculty member concerned or other members of the University community, or (c) might result in egregious harm to the reputation of the University.

## **10 Grievances**

Faculty members with complaints should exhaust all normal avenues for resolving disputes through the administrative structure in their school (e.g., including but not limited to seeking counsel from departments chairs, division heads, deans and/or university administrators) before considering filing a grievance with the University Grievance Committee for Faculty (UGCF).

The UGCF exists to provide a thorough, efficient, and fair process for the resolution of faculty grievances that do not involve allegations of Title IX violations or discrimination. Its charge is to assure the proper application in all instances of the policies, procedures, and criteria that departments, divisions, colleges, schools, and/or the University have formally adopted or, in the absence of formal regulations, have historically applied. A grievance is a written complaint filed by a faculty member against one or more faculty or administrators alleging a violation of a department, division, college, school, or University policy, procedure, criterion, or established practice resulting in harm or adverse action to the faculty member (the grievant).

The UGCF may not determine the policies and procedures of any department, division, college or school, or of the University, nor shall it establish criteria to be used in reviewing portfolios submitted for pre-tenure, promotion, or tenure reviews. It is within the committee's purview, however, to determine in a given instance whether such policies, procedures, and criteria are consistent with University policy and to assure (a) that the policies, procedures, and criteria used in reaching a decision were those that the department, division, college or school, or the University had established; (b) that they were applied uniformly and consistently; and (c) that in applying them, adequate consideration was given to all available and relevant information.

### **10.1 Eligibility of Committee Members to Participate in Committee Business**

Members of the UGCF who represent a constituency that includes a party to a grievance shall be ineligible to participate in the consideration of that grievance.

Members of the UGCF who were directly involved in the sequence of events that occasioned a grievance shall be ineligible to participate in the consideration of that grievance.

Members of the UGCF shall recuse themselves from participating in the consideration of grievances in which their objectivity might be questioned, including those in which they have an unusually close personal or professional relationship with a party to the grievance.

Members of the UGCF must be current with all required Human Resources and TAPS-related trainings. Further, members should seek additional training if necessary to fulfill the role and expectations of members. If a particular grievance requires an outside expert to provide expertise on particular matters, and as identified and agreed upon by the elected members of the Grievance Committee, an expert may be consulted as part of this process in order to provide specific, subject-matter expertise.

### **10.2 Initial Resolution of Complaints**

Because the grievance procedures described in this section are not those of a court of law, it is important that they be implemented with flexibility and in an atmosphere of collegiality, and that all participants avoid an excessively legalistic approach. Efforts should be made to resolve complaints informally before initiating the grievance process, and such efforts may continue even after the formal process is underway. To this end, grievants should consult with the Chair of

the UGCF, who may (a) assist them in focusing or framing their complaint, (b) advise them on the suitability of their complaint for review by the UGCF, (c) suggest alternate avenues of appeal, or (d) otherwise assist in the pursuit of an informal resolution.

### 10.3 Filing a Grievance

A complaint becomes a grievance when it is expressed in writing and submitted to the Chair of the UGCF.

Grievants shall file formal grievances as soon as reasonably possible but no later than 30 days after they know or should have known of the basis for their complaint. In cases related to pre-tenure review, promotion, and tenure, the grievant shall file a formal grievance no later than 30 days after receiving the Provost's summary of why they were denied.

The written grievance shall contain the following information:

- the person(s) against whom the grievance is filed (the respondent(s));
- the specific policy, procedure or established practice that was allegedly violated;
- the date(s) of the alleged violation(s);
- facts relevant to the alleged violation(s);
- the identities of other University personnel with knowledge of the alleged violation(s);
- the resolution sought by the grievant; and
- all relevant supporting documentation.

The grievance document, excluding the supporting documentation, shall not ordinarily exceed ten pages.

### 10.4 Establishing Jurisdiction

Upon receiving a written grievance, the Chair of the UGCF shall determine whether or not the committee has jurisdiction. Jurisdiction shall be determined by a consideration of the following factors:

- whether the grievant has standing by virtue of being a faculty member;
- whether the grievance was filed in accordance with the requirements set forth in Sections 10.2 and 10.3 and, in particular,
- whether respondents named in the grievance are administrators of the University;
- whether the grievance identifies existing policies, procedures, or practices alleged to have been violated; and
- whether the grievance might more appropriately be addressed by another established process of the University.

The chair may also determine that the UGCF has jurisdiction if they believe that regular channels of appeal within a department, division, college or school, or within the University have not been made available or have been unreasonably delayed. In making their determination regarding

jurisdiction, the Chair of the UGCF may consult with other members of the committee either formally or informally.

Within five working days of receiving the grievance, the Chair of the UGCF shall communicate with the grievant, acknowledging receipt of the grievance and communicating their determination regarding jurisdiction.

If the Chair determines that the committee has jurisdiction, the date of this communication (the filing date) shall serve as the date relative to which key deadlines for subsequent steps in the review of the grievance are calculated.

If the Chair determines that the committee has no jurisdiction, they shall provide a rationale for that determination and shall inform the grievant of any other University policy or office known to them that might help in resolving the grievant's complaint. No further action shall be taken and the grievance shall be considered closed.

## 10.5 Initial Review

The UGCF shall review all grievances over which the Chair accepts jurisdiction and shall decide in each instance whether the facts as presented merit further investigation or whether the grievance should be dismissed. Submission of a grievance shall not automatically entitle the grievant to an investigation, and the committee has broad discretion to define the scope of any investigation it undertakes.

In the following instances, however, grievants may demand certain procedures as a matter of right:

- Grievants who have been dismissed from the University faculty may demand an investigation.
- Tenured grievants who have been dismissed from the University faculty may demand that the investigation include a hearing.
- Grievants who allege a violation of their right to academic freedom (see Section 2.1) may demand an investigation that includes a hearing.

Within fifteen working days of the filing date, the Chair of the UGCF shall convey to the grievant the committee's decision whether to investigate further or to dismiss the grievance.

If the committee's decision is to dismiss the grievance, no further action shall be taken and the grievance shall be considered closed.

If the committee's decision is to pursue an investigation, the Chair shall (on the same date that they so notify the grievant) provide a copy of the grievance and any supporting documentation to the respondent(s). Respondents shall be informed that they have ten working days in which to submit a written response.



## 10.6 Investigation

If the UGCF decides to pursue an investigation, it shall empanel a subcommittee ordinarily composed of three of its members to conduct that investigation. The subcommittee shall have access to those University records that it deems pertinent to the grievance and may request the Provost to assist it in gaining access. The subcommittee has the right to request oral or written testimony relevant to the grievance from members of the University community, including the President and the Provost.

The grievant bears the burden of proving there has been a violation of policy, procedures, or established practice. The standard of proof is a preponderance of the evidence.

At its sole discretion (except insofar as it is constrained by the provisions of Section 10.5), the subcommittee may elect to convene a hearing in the course of its investigation. However, the grievant may waive in writing the right to a hearing at any time before the hearing is held. If the grievant waives the right to a hearing but does not withdraw the grievance, the subcommittee shall evaluate all available evidence and rest its findings and recommendations (see Section 10.7) upon the evidence in the record.

### 10.6.1 Hearing

If a hearing is to be held, the subcommittee chair shall set a date, time, and place for the hearing as expeditiously as possible but with due regard for the commitments of all parties. A hearing may not be scheduled more than 45 days after the filing date without the written approval of the Provost.

As soon as the hearing date has been set, the subcommittee chair shall notify the grievant and the respondent(s) (a) that written documentation already provided by them to the Grievance Committee for Faculty may be amended or supplemented only up until ten days before the hearing; and (b) that the subcommittee must receive no later than ten days before the hearing the names of members of the University community whom they intend to call as witnesses.

The subcommittee chair may, with the consent of all parties, hold informal joint pre-hearing meetings with the parties to clarify the issues; effect stipulation of certain facts; provide for the exchange of documentary or other information; and achieve other appropriate pre-hearing objectives and make the hearing fair, effective, and expeditious.

At least five days before the hearing, the subcommittee chair shall provide subcommittee members and all parties to the grievance with the following materials:

- formal notice of the date, time, and place of the hearing;
- copies of all documents submitted; and
- lists of all witnesses.

The subcommittee may elect to call additional witnesses at its discretion.

The hearing shall be closed to non-participants, and the subcommittee chair shall advise all participants (including the subcommittee members, the parties, and witnesses) of the obligation to respect the absolute confidentiality of all proceedings and records. (However, see Section 10.8.)

Each faculty member may have an advisor of their choosing present at the hearing. An attorney may act as an advisor, but an advisor does not have the right to act as legal counsel, to speak on behalf of the faculty member, or to question either the other parties or the witnesses.

A grievant or respondent is encouraged to attend the hearing but not required to attend, in which event they may not be represented at the hearing, which shall proceed in their absence. The subcommittee may not consider an absence prejudicial to the grievant. A grievant who is unavailable in person may also choose to appear by electronic means, making the necessary arrangements through the subcommittee chair.

The hearing is not subject to strict rules of legal evidence and the subcommittee may admit any evidence or testimony that will assist it in determining the merits of the issues.

The grievant and respondent(s) shall be permitted to present their respective positions to the subcommittee and the subcommittee members may question the parties and the witnesses. The parties are not permitted to question each other or the witnesses directly.

The hearing shall be audio-recorded and the grievant and respondent(s) may request copies of the recording. The original recording and all documents submitted to and considered by the subcommittee shall be retained by the Office of the Provost for a period of at least three years.

Once initiated, the hearing process shall be completed within ten working days unless the chair of the subcommittee and the Chair of the Grievance Committee for Faculty agree that an extension of time is essential if the subcommittee is to meet its charge responsibly, in which case all parties shall be notified. An extension may not exceed an additional ten working days without the written approval of the Provost.

## **10.7 Findings and Recommendations**

As soon as possible after it concludes its investigation, but not more than 75 working days after the initial filing date, the subcommittee shall present a written report to the UGCF that includes its findings of fact, a statement of the basis in the record for those findings of fact, the subcommittee's recommendations, and a rationale for those recommendations. The findings of fact and the recommendations contained in the report shall be based solely on the material submitted by the grievant and the respondent(s); on evidence obtained by the subcommittee in the course of its investigation; and on evidence produced at the hearing, if any.

Upon receiving the subcommittee's report, the UGCF shall consider the recommendations of the subcommittee and the rationale provided for them. It may vote either to accept the

subcommittee's recommendations as submitted or to amend them. It may not dispute the findings of fact. Within ten working days of receiving the subcommittee's report, the UGCF shall submit its final written report to the Provost (or to the President if the Provost is a party to the grievance). Copies of the final report shall also be provided to the grievant and the respondent(s), and shall be retained by the Office of the Provost, and made available to the Chair of the UGCF upon request.

As soon as possible, but ordinarily not more than fifteen working days after receiving the UGCF's final report, the President shall decide to accept, reject, or modify its recommendations, notifying in writing the chair of the committee and all parties to the grievance.

## **10.8 Confidentiality**

Confidentiality is critical to the success of any grievance process. Accordingly, it is expected that those who participate in the grievance process and become privy to a grievant's allegations, the response(s) furnished by respondent(s), information obtained in the course of any investigation, the report of the investigative subcommittee, the final report of the UGCF, and the Provost's determination, will respect the confidentiality of all matters disclosed to them. The obligation of confidentiality does not extend to matters disclosed that are a violation of local, state or federal law, or to the release of records otherwise required by law.

The confidentiality referred to above is designed to protect the grievant. Thus, if the grievant chooses to make public information that would otherwise be deemed confidential, the University may respond by disclosing related matters that ought in fairness to the University or to the UGCF be disclosed.

## **10.9 Retaliation**

Retaliation exists when action is taken against a grievant or other participant in a grievance process that (a) adversely affects the individual's employment or academic status, and (b) is motivated in whole or in part by the individual's participation in the grievance process.

An individual who files a grievance or who participates in the investigation or resolution of a grievance may not be subjected to retaliation as a result of their activity or participation. Any acts of retaliation shall be grounds for disciplinary action, up to and including termination.

## Appendix A: Summary of The Administration Policies (TAPs)

The summaries in this appendix are for reference only. All faculty are responsible to read and understand the full policies of all TAPs which can be found on the University website ([www.duq.edu/taps](http://www.duq.edu/taps)). If there are any inconsistencies or conflict between the summaries below and what is on the University website, the information on the University website governs and controls.

### 1. TAPs - Definition, Purposes and Guidelines for Use

*This policy explains how the university defines a TAP. It also explains the purpose of a TAP, and provides procedures for proposing a new TAP and/or amending a current TAP.*

### 2. Post-Retirement Health Reimbursement Account

*This policy establishes and defines the Health Reimbursement Account for University retirees as described in the full TAP description.*

### 3. Classification of All University Employees

*This policy identifies and defines the various employment classifications within the university.*

### 4. Recruitment and Employment Procedure for All Employees

*This policy provides guidance on the recruitment procedures to those involved in the recruitment and employment process at Duquesne University.*

### 5. Wage, Salary Range and Position Classification

*This policy describes the wage and salary program that is in place at the University for applicable employees.*

### 6. Selection, Assignment, Transfer, and Promotion Non-Faculty Employees

*This policy summarizes the internal selection, assignment, transfer, promotion and introductory review process.*

### 7. Ethics Reporting & Fiscal Misconduct

*This policy establishes the consequences of fiscal misconduct and the proper reporting mechanisms to be used for notification of known or suspected fiscal misconduct.*

### 8. Employment Records

*This policy establishes that the Office of Human Resource Management is responsible for maintaining complete employment records for all employees of the University.*

### 9. Military Leave of Absence

*This policy defines the employment rights given to employees who serve in the Armed Forces.*

**10. Termination of Employment – Notice Guidelines, Non-Faculty Employees**

*This policy summarizes the notice guidelines that apply when employees resign or are dismissed from University employment.*

**11. Fair Labor Standards Act, Attendance & Affordable Care Act**

*This policy defines the University's expectations relative to attendance, time keeping and work schedules for non-faculty employees, compliance with the Fair Labor Standards Act and expectations relative to the Affordable Care Act.*

**12. Benefits — DUFlex Insurance**

*This policy provides eligible employees health and welfare benefits on a pre-tax basis. The DUFlex Benefit Plan is a flexible benefit plan that allows employees to take advantage of federal tax regulations with the before tax purchase of certain benefits which lowers taxable income, thereby saving on income tax as well as Social Security taxes.*

**13. Tuition Remission**

*This policy describes the University's tuition remission benefit for all eligible employees, their spouses and dependent children.*

**14. Holidays/Holy Days for Administrative/Professional and Support Employees**

*This policy identifies recognized University holidays and holy days of obligation and describes the manner in which employees will be paid.*

**15. Sick Leave, Short-term and Long-term Disability Benefits**

*This policy outlines expectations related to the use of sick leave and provides an overview of the University's short-term and long-term disability programs.*

**16. Retirement - University Sponsored Defined Contribution Plan**

*This policy describes the terms and conditions of University sponsored Defined Contribution Retirement Plan - 403(b) for the benefit of its eligible employees. This plan is intended to help employees meet their financial needs during retirement.*

**17. Vacation for Full-time, 12-Month Clerical/Secretarial and Administrative/Professional Employees**

*This policy summarizes the different types of vacation available to eligible employees as well as set forth the expectations that apply to scheduling and use of vacation time.*

**18. Retirement Benefits - All University Employees**

*This policy establishes the benefits and qualifications for University retirees.*

**19. Bereavement Time, Non-faculty Employees**

*This policy explains the circumstances under which paid time off will be provided for eligible employees (full-time non-faculty employees) when death occurs in their immediate and extended families.*

**20. Jury Duty Time – All University Employees**

*This policy describes how the University will compensate employees who are called to jury duty or are subpoenaed as witnesses related to their employment at the University.*

**21. Employment of Relatives of University Employees**

*This policy describes the University's stance regarding nepotism and how it will be addressed.*

**22. Emergency Closing or Partial Shutdown of University**

*This policy defines categories of employees and related expectations of work during planned or unplanned delays, closings, cancelling of classes and events, and early release.*

**23. Leaves of Absence: Family and Medical Leave and Personal Leave**

*This policy provides protected leave to all eligible full-time and part-time employees of the University.*

**24. Workers' Compensation**

*This policy reviews expectations related to the work-related injuries and provides an overview of the administration of the workers' compensation program.*

**25. Smoking**

*This policy describes the University's stance on the use of all tobacco-based products as well as electronic smoking devices on University property.*

**26. Computing Ethics and Guidelines**

*This policy describes how the University maintains an information technology infrastructure and the rights and responsibilities of its users.*

**27. Political Activity**

*This policy outlines the University's stance on political activity of students, faculty, and staff.*

**28. Family Educational Rights & Privacy Act (FERPA)**

*This policy describes how the University adhere's to FERPA and the expectations of employees related to FERPA.*

**29. Environmental Health and Safety**

*This policy describes how the university handles environmental health and safety and the expectations for employees related to health and safety.*

**30. Affirmative Action, Equal Educational and Employment Opportunity, and Human Relations in The Workplace and Classroom**

*This policy evidences the university's commitment to the principles of equal educational and employment opportunities for all qualified persons. It establishes the University's policy prohibiting discriminatory human relations in the classroom and workplace for all qualified*

*persons, and provides guidance on the University's response to reported violations of this Policy.*

### **31. Sexual Misconduct and Gender Discrimination**

*This policy prohibits sex and/or gender-based discrimination; provides guidance on the University's response to reported violations of this Policy; and notifies Complainants and Respondents of their rights and responsibilities when a violation is reported. No faculty member may engage in a romantic and/or sexual relationship or in romantic and/or sexual conduct with any student currently enrolled at Duquesne University.*

### **32. Drug-free and Alcohol-free Working and Learning Environment**

*This policy summarizes the University's response to unlawful manufacture, distribution, possession, or unlawful use of a controlled substance or alcohol abuse while conducting University business, as well as, to maintain compliance with Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act Amendments of 1989.*

### **33. Conflict of Interest**

*This policy is intended to assure that the University will be fully informed with respect to any financial or other interests which any employee may have in any person, firm or entity which does business with the University. The primary principle underlying this Conflict of Interest Policy is that those persons employed by or who have a fiduciary duty to the University must never permit their personal interests to conflict, or appear to conflict, with the interests of the University.*

### **34. Appointment of Non-faculty Employees**

*The policy describes how non-faculty employees are appointed, reappointed and terminated.*

### **35. Fundraising/Marketing and Communications/Alumni Relations/University Events/Government Relations**

*This policy describes how the university engages stakeholders to raise funds for University initiatives.*

### **36. College and University Security Information Act**

*This policy establishes the University's compliance with The College and University Security Information Act (PA Act 73) and the Crime Awareness and Campus Security Act of 1990 (Pub L. 101-542 as amended by The Higher Education Technical Amendments Act of 1991).*

### **37. Soliciting, Petitioning, Distribution of Literature, Demonstrations and Picketing**

*This policy established that individuals or groups, who are not employees or students at Duquesne University, are prohibited from soliciting, petitioning, distributing literature, picketing, demonstrating, or engaging in similar or related activities on University property. University property includes but is not limited to campus streets and sidewalks owned or maintained by the University.*



**38. Employee and Student Use of University Motor Vehicles**

*This policy establishes that under certain circumstances, University employees and students are permitted to use a University motor vehicle for University related purposes.*

**39. Records Retention**

*This policy establishes that University Archives shall be the official repository for all non-current, inactive records of the University.*

**46. Commercial Entities - Faculty, Staff and Student Participation**

*This policy provides guidelines to facilitate and manage the process of company formation by University faculty, staff and students to ensure that the participation in start-up companies formed using University technology complies with existing administrative policies and the Faculty Handbook with respect to employment obligations and conflict of interest.*

**48. Weapons and Violence - Campus and Workplace**

*This policy identifies prohibited behaviors, reporting expectations and sanctions related to classroom and workplace violence. This policy defines what constitutes a weapon and expressly prohibits weapons on campus.*

**49. Immigration**

*This policy summarizes the request and approval process for obtaining H-1B (and similar) non-immigrant visas and employment-based permanent resident / green card authorization.*

**50. Protection of Minors**

*This policy places the highest emphasis on the safety and wellbeing of its campus visitors and particularly those visitors who are minors. The policy describes the duty to report incidences of suspected instances of abuse of minors. It also describes the consequences for employees who are credibly accused or convicted of abusing a minor.*

**51. Food and Beverages - Safe Sale or Serving**

*This policy establishes the University's support for the safe sale and serving of food and beverages. The Duquesne University community has a strong tradition of fellowship which often involves the sale or serving of food. We regularly focus on bringing our community members together through events ranging from philanthropic fundraisers (bake sales) to relationship building activities (potlucks). The University wishes to continue these positive traditions and asks that all students and employees adhere to the guidelines in this policy when planning such events.*

**52. International Travel/Travel to Warning List Countries**

*This policy defines the approval process for travel to a country/ area on the U.S. State Department Travel Warnings List and/or the Center for Disease Control Warning List.*

**53. Relocation Expense Reimbursement**

*This policy defines positions for which relocation expenses may be reimbursed for new hires to the University, identify amounts and types of reimbursable expenses, and provide procedures required for payment and administration of such expenses.*

**54. Telework**

*This policy provides guidance on telework to employees and managers in establishing alternate work arrangements for qualifying employees whose responsibilities can be performed outside the customary/traditional office setting during part or all of the week. Teleworking arrangements must be approved and managed on a consistent basis and may not adversely affect departmental operations or productivity.*

**55. Ethical, Respectful and Professional Conduct**

*This policy helps to ensure that University employees abide by fundamental principles of respectful behavior, ethics and professionalism, as is consistent with the University's mission and identity. Violations of this policy will be reviewed on a case-by-case basis and are subject to formal disciplinary action up to and including termination of employment.*

**56. Americans with Disabilities (ADA) and Requests for Reasonable Accommodation**

*This policy outlines the process for making an accommodation request(s) to the Office of Disability Services.*

**57. Social Media**

*This policy provides University employees with general guidelines on personal use of social media and to assist employees with making appropriate decisions when managing and/or developing social media initiatives on behalf of the University. All employees are expected to exercise good judgment and to observe high standards of business and personal ethics when engaging in social media sites, especially when interacting with those engaged with the Duquesne community on social media. Employees who disclaim on their personal social media sites that their opinions are their own are still expected to comply with this Policy.*

**58. Medical Marijuana**

*This policy summarizes the University's response to the permissible use of medical marijuana in the Commonwealth of Pennsylvania in the context of the University's other legal obligations.*

**59. Animals on Campus**

*This policy defines the categories of animals which are anticipated to be present from time to time on the University's campus and sets forth guidelines regarding their presence on campus and handler/owner responsibilities. This policy does not apply to research animals, wild animals, police K9 units, and/or animals used in pest management.*

**60. Employee Ruled Related to Working on Campus During COVID-19 Pandemic**

*This policy addresses operational adjustments related to the COVID-19 pandemic.*

**61. Interim Policy on Title IX Sexual Harassment**

*This Policy establishes the University's prohibition against Title IX Sexual Harassment and the University's response to allegations of Title IX Sexual Harassment over which the University has jurisdiction.*

**62. Pregnancy Discrimination and Accommodation**

*This policy addresses the City of Pittsburgh's Code on Pregnancy Discrimination and Accommodations, prohibits discrimination based on pregnancy, and creates a process for making reasonable accommodation requests.*

**63. University Advisory Boards**

*This Policy establishes the requirements related to University Advisory Boards and Mandated Advisory Boards.*

## Appendix B: Definitions and Interpretive Conventions

### B.1 Definitions

The following definitions of the terms in **boldface** type apply throughout this Handbook unless specifically modified where they are used.

**Acting** appointees serve in administrative positions for undefined periods, pending the appointment of their permanent successors (see **Interim**).

Unless specifically defined otherwise, **days** are weekdays other than official University holidays.

**Clinical activity** is a specialized form of instruction that includes the supervision and mentorship of students during experiences that prepare them for professional practice. The experiences may be referred to using terms such as “practicum,” “fieldwork,” “clinical rotation,” “externship,” or “internship.” Clinical activity may also include the provision of direct patient/client care or engagement in other aspects of professional practice (typically either for demonstration purposes and/or to serve practice populations at the clinical site). The development and assessment of clinical sites or settings may also fall within the definition of clinical activity.

**Community-engaged teaching and research** is a specialized form of instruction that involves collaboration between local and regional communities and our faculty members and/or students. Engagement can take many forms but consistently strives to develop authentic relationships between all those involved and to surface the social and environmental problems that the collaboration is fitted to address. It differs from volunteerism, community service, internships, and field education in its emphasis on the civic development of all participants, its reliance on ongoing, structured reflection, and its goal of constructing sustained, reciprocal partnerships between the University and community partners. (Work undertaken outside the region and even abroad may display the characteristics of community engagement as described here.)

**Dates** specified for deadlines indicate an action must be completed before the routine close of business (ordinarily 5 p.m. Eastern Time) on the day indicated. However, if that date falls on a Saturday, a Sunday, or an official University holiday, then the action need only be completed before the routine close of business on the next weekday that is not an official University holiday.

**Interdisciplinary** teaching, scholarship, and service involve the coordinated use of methods, tools, and evidence from multiple academic disciplines.

**Interim** appointees serve in administrative positions for periods defined in advance, pending the appointment of their permanent successors (see **Acting**).

**Interprofessional education** occurs when students from two or more professions learn about, from, and with each other to enable effective collaboration in academic, clinical and future work environments.

**Librarianship** is a range of activities encompassing the curation, acquisition, organization, accessibility, and preservation of information in its various forms, as well as those that foster information literacy learning outcomes.

**Scholarship** is any activity that materially and significantly advances (a) the theory or practice of the discipline, field or interdisciplinary area in which a faculty member possesses professional expertise; (b) the theory or practice of effective teaching in that discipline, field or interdisciplinary area; or (c) the effective application of theory to practice in that discipline, field or interdisciplinary area. It typically leads to presentation, publication, artistic creation, performance, or the development of patentable inventions. (This definition also governs use of the adjective “**scholarly**.”)

**Service** is any activity other than teaching or scholarship by which a faculty member contributes professionally to the advancement of the University; the academic discipline or interdisciplinary field in which they possess professional expertise; or the wider community. Service typically takes forms such as active participation on councils and committees and in administrative roles at any level of the University, as well as membership in the Faculty Senate; activities in support of academic journals and discipline-based professional organizations; and engagement with local, regional, national, and international communities that involves the application of the faculty member’s disciplinary expertise to projects that advance these communities and indirectly enhance the stature of the University.

**Teaching** is a multi-faceted activity that encompasses the instruction of students in face-to-face, online, and hybrid modalities (including associated activities such as preparing syllabi and other materials, conferencing with students, grading assignments and examinations, and administering experience-based projects); the supervision and mentorship of students in laboratories, in libraries, at clinical sites, and in community settings; and the formal and informal advisement of students. To the degree that activities within one’s discipline, interdisciplinary field or community (such as the delivery of continuing education to fellow professionals) resemble those described above in terms of the skills and knowledge they demand, they may also be regarded as falling within the definition of teaching.

**Tenure** is a contract for continuous employment with the University according to the terms and conditions of this Handbook.

**Term** is a period listed in one of the catalogs published online by the Office of the Registrar as a period within which courses are regularly scheduled. It subsumes words such as “semester” and “summer session.”

**Terminal degree** is the highest degree available in a particular discipline. It is not only discipline-specific but may also depend on an individual faculty member’s career focus. A master’s degree may serve as the appropriate terminal degree for a clinician in a discipline that expects research faculty to have earned a doctorate. The Office of the Provost maintains a master list of the degrees recognized as terminal by each college or school for each field of study within its scope.

**Academic Year** (not a calendar year or a fiscal year) refers to the academic calendar. The beginning and ending dates of the academic year are established by the academic calendar adopted by each college or school. **Years of service** and **years of employment** are similarly defined. Partial years worked are not counted as years of service or years of employment (see Section 5.7.1).

## B.2 Interpretive Conventions

For brevity and to reflect common usage on campus, the title **Provost** is employed throughout this Handbook to designate the position defined in the Bylaws of the University as that of Vice President for Academic Affairs (with or without the additional designation of Provost).

From time to time, this Handbook assigns certain functions to “**the department chair or dean.**” When this disjunction is used, it should not be interpreted to mean that a given function can be equally appropriately performed either by a given department chair or by the dean who supervises them. It means instead that, if the college or school in question is divided into academic departments, the function shall be performed by the department chair. Only if the college or school is not divided into departments shall the function be performed by the dean.

For the purposes of applying the provisions of this Handbook to **members of the library faculty who work in the Gumberg Library**, the Library itself serves as the functional equivalent of their college or school and the University Librarian as the functional equivalent of their dean. For **members of the library faculty who work in the Law Library or the Center for Legal Information**, the School of Law is their school and its dean is their dean.

The **Center for Global Healthcare Ethics** exists in the McAnulty College and Graduate School of Liberal Arts and reports to its dean. For the purposes of applying the provisions of this Handbook to faculty members who hold appointments in the Center for Healthcare Ethics, the Center generally serves as the functional equivalent of their department and the Center’s director generally serves as their department chair.

Unless specifically provided otherwise, University employees shall be formally notified of University business, either individually or as members of a specific group, utilizing any of the following means: (a) the United States Postal Service or a commercial delivery service such as Federal Express; (b) campus mail; or (c) delivery to the intended recipient's official (@duq.edu) email address (see TAP 26: Computing Ethics and Guidelines).



## Appendix C: Title IX Sexual Harassment & Sexual Misconduct

Any person may make a non-confidential report of sex discrimination, including sexual harassment (whether or not the person reporting is the person alleged to be the victim of conduct that could constitute sex discrimination or sexual harassment), in person, by mail, by telephone, or by electronic mail, using the contact information listed for the Title IX Coordinator, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report. Such a report may be made at any time (including during non-business hours) by using the telephone number or electronic mail address, or by mail to the office address, listed for the Title IX Coordinator below. Contact information for Title IX Deputies is also included below:

### **Title IX Coordinator and Director of Sexual Misconduct Prevention and Response**

Lee Robbins

**412.396.2560**

[robbinsl1@duq.edu](mailto:robbinsl1@duq.edu)

Office: Union #339

Address: Duquesne University

Union #339

600 Forbes Avenue

Pittsburgh, PA, 15282

### **Deputy Title IX and Sexual Misconduct Prevention and Response Coordinators**

Sherene Brantley (Athletics) **412.396.5243** – Business Hours

Ryan Dawson (Human Resources) **412.396.5881** - Business Hours

Annie Mullarkey Sawa (Student Conduct) **412.396.6642** - Business Hours

Kate DeLuca (Nursing) **412.396.6551** - Business Hours

Andrew Logan-Graf (Disability Services) **412.396.6658** – Business Hours

### **NON-DISCRIMINATION AND TITLE IX**

Duquesne University does not discriminate on the basis of sex in the education program or activity that it operates. Duquesne University is required by Title IX and its implementing regulations not to discriminate in such a manner. The requirement not to discriminate in the education program or activity extends to admission and employment. Inquiries about the application of Title IX to Duquesne University may be referred to the Title IX Coordinator, to the Assistant Secretary for Civil Rights at the United States Department of Education Office for Civil Rights, or both.

**Additional information, including relevant policy information is included on the Title IX website at [duq.edu/titleix](http://duq.edu/titleix)**



[duq.edu](http://duq.edu)