



SACRED HEART UNIVERSITY

Fairfield, Connecticut

Full Time Faculty Handbook

Revised, Approved by the Board of Trustees on May 12, 2017

PREFACE

This issue of the Faculty Handbook serves to give both more accurate orientation to newcomers and operational guidance to everyone. This handbook serves, along with the letter of appointment given a faculty member, as a statement of rights, privileges, and obligations.

It is recognized that any matter in this handbook is subject to the By-laws of the University.

Nothing in this handbook should be construed to imply that policies of other organizations (e.g., AAUP, CUPA, etc.) bind the University except insofar as a specific statement on policy is quoted and incorporated in the handbook itself. The Board of Trustees has not adopted and is not bound by any policy rule unless enacted by the Board or affirmatively set forth in this handbook.

Among the many directives and procedures currently in effect at the University, it has been necessary to select materials that have more general, frequent, and major relevance. No single booklet could answer all questions that might be asked concerning University matters that affect faculty. Statements of the functions and responsibilities of all University officials, along with detailed job descriptions, may be obtained from the Office of Human Resources. Complete information on retirement, insurance, and medical programs is available in the Office of Human Resources. Questions concerning these and other fringe benefits may be referred to the personnel officer.

This handbook was formally approved by the Board of Trustees on May 14, 1991 and became effective on July 1, 1991. Revised, approved by the Board of Trustees, May 12, 2017

FACULTY HANDBOOK

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I. THE UNIVERSITY

1.1 MISSION STATEMENT

Sacred Heart University is a co-educational, independent, comprehensive institution of higher learning in the Catholic intellectual tradition whose primary objective is to prepare men and women to live in and make their contributions to the human community.

The University aims to assist in the development of people knowledge-able of self, rooted in faith, educated in mind, compassionate in heart, responsive to social and civic obligations, and able to respond to an ever changing world. It does this by calling forth the intellectual potential of its students, nurturing each one's spiritual and moral growth, and deepening in them a sense of social responsibility. The University is committed to combining education for life with preparation for professional excellence.

Sacred Heart University is Catholic in tradition and spirit. As a Catholic University, it seeks to play its appropriate role in the modern world. It exemplifies in its life the Judeo-Christian values of the God-given freedom and dignity of every human person. Inspired by the ecumenical spirit of the Second Vatican Council, Sacred Heart University welcomes men and women of all religious traditions and beliefs who share its concerns for truth, scholarship, the dignity of the human person, freedom, and the betterment of human society. It values religious diversity as enhancing the University community and creating opportunities for dialogue in the common search for truth. Through its curricular and co-curricular activities and campus ministry programs, the University provides the context in which students have the opportunity to appropriate in a critical fashion their own religious traditions.

Sacred Heart University challenges its students to think critically, analyze carefully, evaluate with a sense of justice and proportion, and convey conclusions in intelligible and articulate fashion. The University provides the environment in which its students can develop the aesthetic dimension of life by nurturing their abilities to imagine, create and appreciate. It assists students to acquire a rich understanding of their own cultural and family heritages so as to assume their responsibilities as conveyers and creators of culture and family.

As a community of teachers and scholars, Sacred Heart University exists for the pursuit of truth. It joins with other Colleges and Universities in the task of expanding human knowledge and deepening human understanding. It encourages and supports the scholarly and artistic work of its faculty and students. Further, it has a responsibility to share its resources and its special gifts and talents for the betterment of the human community. All members of the University community are encouraged strongly to participate in the wider community through service to others, especially the poor.

From its founding, the University has been recognized for its caring approach to students. This expresses the University's belief that each student is born with a unique set of qualities and skills. It respects the personal and academic freedom of each of its members while, at the same time, fostering a genuine experience of community. By so doing, it creates the environment in which each person in the University shares in common goals and a common commitment to truth, justice, and concern for others.

1.2 UNIVERSITY ORGANIZATION

Sacred Heart University is an independent corporate entity.

1.3 THE BOARD OF TRUSTEES

The Board of Trustees of Sacred Heart University is the legally chartered governing body of the University and has ultimate authority in matters of governance. The Board is composed of corporate, civic, academic and religious leaders from throughout the State of Connecticut and other regions of the United States. The role of the Board is stated in the By-laws of the University. The Board includes several sub-committees, which address specific University and Board functions. The Executive Committee of the Board consists of the Officers of the Board and the Chairpersons of the various Board sub-committees as well as rotating at-large members appointed to provide a broad participation in the membership.

II. GOVERNANCE

2.1 PRINCIPLES OF GOVERNANCE

There are five underlying principles of this governance system. The first of these is that faculty and senior academic administrators should be involved in decisions central to the University's academic role that foster institutional viability.

Second is the belief that deliberations on academic governance issues are most effectively conducted in an environment inclusive of primary stake-holders in academic decision-making, with "multiple arenas for meaningful engagement".¹ Giving voice in University-wide governance to full-time faculty, adjunct faculty, and senior academic administrators should improve communication, better inform recommendations, and make more transparent the decision-making process.

The third key principle is that decision-making should take place at the lowest feasible level. Where issues are determined to affect a single department or College, decision-making authority (or compelling influence) is assigned at the department or College level. The recommended structures are intended to provide faculty with additional opportunities to directly influence decision-making and to improve communication at all levels.

The fourth principle is that the elements of an effective governance structure require operating procedures that: are clearly written, are approved by the constituents who are governed by them, are readily available to all, and are subject to periodic review and revision. This assumes that the principles of University academic governance as set forth in this document, as well as the policies approved through the University structure, apply at both the University and College level.

Lastly, the final principle is that the success of any academic governance structure is dependent both upon a culture of mutual respect and upon effective communication. Faculty and administrators share the responsibility for developing and fostering an environment where there are opportunities for sustained and meaningful engagement by all those involved in the processes of academic governance - from its narrowest to its broadest of definitions.

¹ *Challenges for Governance: A National Report*. Center for Higher Education Policy Analysis, University of Southern California, Los Angeles, CA 90089-0031 (<http://www.usc.edu/dept/chepa>)

Major areas of faculty participation include, but are not necessarily limited to, making recommendations regarding the following:

- A. Curricular matters and methods of instruction;
- B. Requirements for matriculation and degrees;
- C. Appointment, reappointment, non-reappointment, promotion, and dismissal of faculty;
- D. Granting of tenure;
- E. Selection of Department Chairpersons, Program Directors, and Academic Administrators;
- F. Disciplining members of the faculty;
- G. Formulation of rules and procedures for the disciplining of students;
- H. Aspects of student life related to the educational process;
- I. Establishment of norms for teaching responsibilities and for the evaluation of faculty achievement;
- J. Establishment of expectations concerning faculty research and scholarship;
- K. Structure and procedure for faculty participation in academic governance;
- L. Establishment of priorities regarding the University budget;
- M. Deliberations concerning the revision of the Faculty Handbook.

2.2 UNIVERSITY ACADEMIC GOVERNANCE STRUCTURE

The structure of academic governance at Sacred Heart University will be in accordance with the Constitution and By-Laws of the University Academic Assembly, as amended. A current copy of the Constitution and By-Laws is available in several places, including from the current UAA officers, from the Vice President for Academic Affairs, and electronically through the University Academic Assembly site on Blackboard.

III. FACULTY: DEFINITION AND APPOINTMENT

3.1 DEFINITION OF FACULTY, FACULTY RANK, AND FACULTY TITLES

The faculty comprises all persons having appointment for the instruction of students.

3.1.1 Ordinary Full-Time Faculty

A member of the ordinary full time faculty has full-time (24 credit hours per year) teaching duties or has teaching and other duties mutually agreed upon by the faculty member and the Dean equivalent to a full-time teaching load.

- A. Tenured Faculty - Tenure shall be granted in accordance with the rank and tenure process, University policy, and upon vote of the Board of Trustees.
- B. Tenure Track Faculty - Non-Tenured Faculty whose time in rank accrues to tenure while they maintain a probationary status.
- C. Non-Tenure Track Continuing Faculty - those whose time in rank does not accrue to tenure.
 - 1. Clinical Faculty

2. Instructors
3. Lecturers

D. Visiting Faculty – those whose time in rank does not accrue to tenure.

3.1.2 Non-Ordinary Faculty

Non-ordinary faculty consist of adjunct and special appointment faculty. They are appointed part-time on a per course basis, at one-quarter, one-half, and/or three-quarter time, or by special arrangements according to terms of a letter of appointment. All appointments are for a specified time period. They are not eligible for tenure or promotion. Other duties in addition to instruction ordinarily requiring academic or administrative responsibilities may be required.

A. Adjunct Faculty

Adjunct Faculty are appointed on a part-time basis by course(s). Adjunct faculty may teach a maximum of 21 University credits per year (Fall through Summer), with no more than 9 credits in any one semester unless approved by the respective Dean. Remuneration is in accordance with the Adjunct faculty rank salary schedule.

B. Professor Emeritus/Emerita

This title may be assigned to Assistant Professors, Associate Professors, or Professors who have limited or terminated their responsibilities as ordinary faculty for valid reasons (e.g. retirement, illness) after ten or more years of distinguished service to the University. A Professor Emeritus is so designated and appointed by the Board of Trustees after recommendation by the President, the Provost and Vice President for Academic Affairs, the appropriate College Dean, and the appropriate Department Chairperson.

C. Artist/Writer/Scholar or Executive-In-Residence

The University may appoint to the faculty a distinguished artist, writer, poet, or scholar to the faculty status of Artist/Writer/Scholar Executive-In-Residence. The appointment will be approved by the Academic Vice President for Academic Affairs, the appropriate College Dean, and the appropriate Department Chairperson.

3.1.3 Administrators With Faculty Rank

Persons who hold administrative positions in the University may be granted faculty rank at the discretion of the President in consultation with the Provost and Vice President for Academic Affairs, the appropriate College Dean, appropriate Department Chairperson, and the faculty in the department in which the person is seeking rank.

3.2 APPOINTMENT OF FACULTY

3.2.1 Appointment Of Ordinary Full-Time Faculty

All appointments of ordinary full-time faculty are made by the President after recommendation by the Provost and Vice President for Academic Affairs, the appropriate College Dean, the appropriate Department Chairperson and the full-time faculty of the respective discipline. All initial appointments are probationary and are for a maximum of one academic year unless explicitly stated to the contrary in the letter of appointment. The rank offered new faculty members must be in accord with the requirements of that rank.

3.2.2 Appointment Of Non-Ordinary Faculty

Such appointments are made by the President after recommendation by the Provost and Vice President for Academic Affairs and the appropriate College Dean, and after consultation with the appropriate Department Chairperson (in consultation with the faculty of the appropriate discipline). Such appointments may be dependent on adequate enrollment in the faculty member's course.

3.2.3 Process For Appointment To Specific Faculty Rank

At the time of initial appointment of a full-time or part-time faculty member, the Provost and Vice President for Academic Affairs in consultation with the appropriate College Dean and Department Chairperson (in consultation with the faculty of the appropriate discipline), makes a recommendation regarding academic rank to the President. Written report of the decision will be provided to the appropriate College Dean and Department Chairperson involved, and the individual involved.

3.2.4 Summer Session Faculty

Summer session faculty may be ordinary full-time or non-ordinary faculty. They are selected by the Department Chairperson in consultation with the faculty of the appropriate discipline and appointed by the Provost and Vice President for Academic Affairs in accordance with the needs of the University. Summer session faculty are offered term contracts for the teaching of specific courses. Summer session faculty are expected to be available for a reasonable amount of time, determined in consultation with the appropriate Department Chairperson, to advise students regarding their course work in addition to the scheduled course hours. Ordinarily, time spent teaching in summer session(s) does not count toward tenure, promotion, or eligibility for sabbatical leave unless the faculty member's contract specifies otherwise.

3.3 ACADEMIC RANK

Initial rank shall be determined according to the Faculty Handbook. A person who held rank at another institution may be awarded rank corresponding to that held at the previous institution at the discretion of the President upon consultation with the Provost and Vice President for Academic Affairs, the appropriate College Dean and appropriate Department Chairperson who will consult with the faculty of the appropriate discipline.

3.3.1 Norms For Appointment

The criteria for appointment fall into three general areas: teaching, scholarship, and University and community service. In the instance of Clinical faculty appointments, consideration is also given to relevant clinical experiences and activities. Final determination of the rank received on first appointment to the faculty will be determined by criteria outlined in Sections 3.3.2 through 3.3.13 and with consideration of the following:

- A. Each year of full time teaching experience at a College/University may be applied toward time on tenure track up to a maximum of three years.
- B. Equivalent: The preparation ordinarily required for teaching in certain technical and professional fields and/or the possibility that a faculty member may be uniquely equipped by virtue of established reputation, publication, or defined experience.

The application of these criteria to an individual is a matter of collective judgment of his or her peers. No one person need excel equally in each criterion; rather the relative weights accorded the criteria may vary depending upon the qualities of the person, the needs of the academic area, and the goals of the University.

3.3.2 Instructor

Ordinarily, appointment to the rank of Instructor ordinarily presupposes the following qualifications:

- A. Possession of adequate training and preparation as evidenced by a master's degree or the appropriate professional degree earned and by educational and/or professional experience;
- B. Evidence of teaching ability;
- C. The willingness to promote the mission and goals of Sacred Heart University;
- D. The potential to contribute to the academic life of the faculty and University.

3.3.3 Visiting Faculty

This title is assigned to an individual who holds or has held academic rank (Assistant Professor, Associate Professor, or Professor) at another institution of higher education or has accomplishments that are considered equivalent (e.g., outstanding performance in the creative arts, or in the business or professional community). The appointment is for instruction and other University responsibilities and all Visiting Professor appointments are for a one-year period, renewable for up to one additional year.

3.3.4 Assistant Lecturer

Ordinarily, appointment to the rank of Assistant Lecturer presupposes the following qualifications:

- A. Possession of a terminal degree appropriate to the discipline and by educational and/or professional experience;
- B. Evidence of teaching ability;
- C. The willingness to promote the mission and goals of Sacred Heart University;
- D. The potential to contribute to the academic life of the discipline, College, and University.

3.3.5 Associate Lecturer

Ordinarily, appointment to the rank of Associate Lecturer requires a minimum of six years teaching experience with at least three years at the rank of Assistant Lecturer at Sacred Heart University and that the faculty member hold the terminal degree, normally the doctorate or the appropriate professional degree. In lieu of this requirement, considerable experience in an appropriate technical, artistic, or professional field may be substituted. Appointment to this rank presupposes the following qualifications:

- A. A minimum of six years of demonstrated effectiveness in full time College level teaching;
- B. Evidence for sustained scholarly achievement through publication, research, participation in professional organizations, and ongoing participation in professional growth and development activities;
- C. Evidence for sustained contribution to the academic life of the discipline, College, and University.

3.3.6 Lecturer

Ordinarily, appointment to the rank of Lecturer is a recognition of distinction for faculty who have excelled in teaching, scholarship, and service to the University. Appointment to this rank presupposes the following qualifications:

- A. Completed a minimum of five years in the rank of Associate Lecturer at this University or another academic institution of equal standing;
- B. Evidence for excellence in full time College level teaching;
- C. Evidence for ongoing and significant scholarly achievement through publication, research, participation in professional organizations, and ongoing participation in professional growth and development activities;
- D. Continued contributions to the academic life of the discipline, College, and University.

3.3.7 Clinical Instructor

Ordinarily, appointment to the rank of Clinical Instructor presupposes the following qualifications:

- A. Possession of an entry-level professional degree;
- B. Current experience in clinical setting in teaching content area;
- C. Demonstrated interest in either professional or clinical specialization activities;
- D. Documented teaching effectiveness;
- E. The potential to contribute to the academic life of the discipline, College, and University.

3.3.8 Clinical Assistant Professor

Ordinarily, promotion or appointment to the rank of Clinical Assistant Professor presupposes the following:

- A. Master's degree or above and certification or licensure in area of clinical specialization;
- B. Clinical supervision experience;
- C. Current experience in clinical setting in teaching content area;
- D. Demonstrated activity in professional or clinical specialization activities;
- E. Documented teaching effectiveness;
- F. The potential to contribute to the academic life of the discipline, College, and University.

3.3.9 Clinical Associate Professor

Ordinarily, promotion or appointment to the rank of Clinical Associate Professor requires a minimum of six years of teaching experience with at least three years at the rank of Clinical Assistant Professor at Sacred Heart University, and presupposes that the applicant has demonstrated all of the qualifications for appointment to Clinical Assistant Professor, and should excel in the following;

- A. Clinical Specialty Certification;
- B. A minimum of six years demonstrated effectiveness in full time College level teaching;
- C. Maintains experience in clinical settings related to teaching content area;

- D. Evidence for sustained participation in scholarly activities as recognized by the applicant's professional discipline;
- E. Evidence for sustained contribution to the academic life of the discipline, College, and University.

3.3.10 Clinical Professor

Ordinarily, promotion or appointment to the rank of Clinical Professor presupposes that the applicant has demonstrated all of the qualifications for appointment to Clinical Associate Professor, as well as the following additional qualifications:

- A. Possession of a doctoral degree or fellowship in one's professional organization;
- B. A minimum of five years in the rank of Clinical Associate Professor at this University or another academic institution of equal standing;
- C. Maintains experience in clinical settings related to teaching content area;
- D. Demonstrated excellence in full time College level teaching;
- E. Evidence for ongoing and significant participation in scholarly activities as recognized by the applicant's professional discipline;
- F. Continued contribution to the academic life of the discipline, College, and University.

3.3.11 Assistant Professor

Ordinarily, Assistant Professor is the beginning rank for those faculty members who have the terminal degree, normally the doctorate or the appropriate professional degree. Appointment to this rank presupposes the following qualifications:

- A. Demonstration of competence as a teacher and advisor of students;
- B. Evidence of ability for scholarship and research;
- C. Evidence of ability to satisfactorily perform University responsibilities;
- D. Willingness to promote the mission and goals of Sacred Heart University;
- E. The potential to contribute to the academic life of the discipline, College, and University.

3.3.12 Associate Professor

Ordinarily, appointment to the rank of Associate Professor requires a minimum of six years teaching experience at the rank of Assistant Professor at Sacred Heart University and that the faculty member holds the terminal degree, normally the doctorate or the appropriate professional degree. In lieu of this requirement, considerable experience in an appropriate technical, artistic, or professional field may be substituted. Appointment to this rank presupposes the following qualifications:

- A. A minimum of six years of demonstrated effectiveness in full time College level teaching;
- B. Evidence for sustained scholarly achievement through publication, research, participation in professional organizations, and ongoing participation in professional growth and development activities;
- C. Evidence for sustained contribution to the academic life of the discipline, College, and University.

3.3.13 Professor

Ordinarily, appointment to the rank of Full Professor is a recognition of distinction for faculty who have excelled in teaching, scholarship, and service to the University. Appointment to this rank presupposes the following qualifications:

- A. Completed a minimum of five years in the rank of Associate Professor at this University or another academic institution of equal standing;
- B. Evidence for excellence in full time College level teaching;
- C. Evidence for ongoing and significant scholarly achievement through publication, research, participation in professional organizations, and ongoing participation in professional growth and development activities;
- D. Continued contributions to the academic life of the discipline, College, and University.

3.4 POLICIES REGARDING LETTERS OF APPOINTMENT

3.4.1 Probationary Letters of Appointment

Initial probationary letters of appointment at Sacred Heart University are given to all ordinary full-time faculty members upon hire. Probationary letters of appointment are subject to non-renewal by Sacred Heart University with notice as provided in this Handbook (see Section 7.1.3).

- A. Non-tenured tenure track faculty will receive non-tenured appointment letters on an annual basis during the probationary period upon successful annual evaluations by the Department Chairperson or Program Director and by the Dean. Upon award of tenure, faculty will receive a tenured faculty appointment letter for the next academic year and thereafter.
- B. Clinical faculty will receive non-tenured annual appointments for the initial three years of their appointment. They will be evaluated each year through the annual evaluation process. Thereafter, based on favorable annual evaluations, clinical faculty will be eligible for up to a three (3) year rolling letter of appointment (see Section 3.4.3).
- C. Instructor and Lecturer faculty will receive non-tenured annual appointments for the initial three years of their appointment. They will be evaluated each year through the annual evaluation process. Thereafter, based on favorable annual evaluations, Instructors and Lecturers will be eligible for up to a three (3) year renewable letter of appointment (see Section 3.4.4).
- D. The combined number of full time faculty with Clinical, Instructor, and Lecturer appointments shall not exceed more than fifty percent (50%) of the total faculty in any College, unless otherwise required by an outside accrediting body.

3.4.2 Continuous Letters of Appointment for Ordinary Faculty

Continuous letters of appointment at Sacred Heart University are given to ordinary faculty members who have attained tenured status.

3.4.3 Rolling Letters of Appointment for Clinical Faculty

After three years of full-time employment by the University on successive one-year contracts, clinical faculty shall receive a rolling three-year letter of appointment. "Rolling three-year letter of appointment" means that the faculty member shall have a three-year term of employment, which is renewable annually.

- A. If a rolling three-year letter of appointment is granted, annual renewal will be based on satisfactory performance as determined by the Chair of the Department and Dean of the College. If the Dean decides to grant renewal, he/she shall send the recommendation for renewal to the Academic Vice President. Acceptance of a rolling term contract constitutes acceptance of a non-tenure track appointment. Renewal shall be by March 1st each year.
- B. In the event of non-renewal of the rolling letter of appointment by March 1st of the academic year, the duration of employment of the clinical faculty member shall automatically terminate at the end of the then current three-year term. No further action by the University shall be necessary to effect the termination.
- C. Notwithstanding the foregoing, the employment of, the employment of any clinical faculty member is subject to Section 7.1 (Separation) of the Faculty Handbook.
- D. No clinical faculty member to whom this Section 3.4.3 (A) is applicable shall have any expectation of employment beyond the term of the current letter of appointment, in the absence of specific formal action by the University granting an additional term of employment.

3.4.4 Renewable Letters of Appointment for Instructor and Lecturer Faculty

After three years of full-time employment by the University on successive one-year contracts, Instructors and Lecturers will be eligible for up to a three (3) year renewable letter of appointment.

- A. For full time faculty at the rank of Instructor or Lecturer holding renewable letters of appointment in accordance with section 3.4.4, said appointment will be for a specified period of time not to exceed three (3) years. Renewal will be based on satisfactory performance as determined by the Chair of the Department and Dean of the College.
- B. Acceptance of a renewable letter of appointment constitutes acceptance of a non-tenure track appointment. Faculty on renewable appointments shall not be eligible for tenure, but may apply for a tenure track position should such a position become available in their area of expertise. Renewable term letters of appointment do not confer upon a faculty member any entitlement to continued employment after the term specified in the letter of appointment expires.
- C. Notwithstanding the foregoing, the employment of, the employment of any Instructor or Lecturer faculty member is subject to Section 7.1 (Separation) of the Faculty Handbook.
- D. No faculty with a renewable letter of appointment to whom this Section 3.4.4 (A) is applicable shall have any expectation of employment beyond the term of the current appointment, in the absence of specific formal action by the University granting an additional term of employment.

3.4.5 Term Letters of Appointment for Non-Ordinary Faculty

- A. Term letters of appointment at Sacred Heart University are given to members of the non-ordinary faculty (adjunct faculty, Professor Emeritus, artist/writer/scholar-in-residence, visiting professor) and are limited to the term of employment outlined in the letter of appointment. Term letters of appointment are not tenure track and do not confer upon a faculty member any entitlement to continued employment after the term specified in the letter of appointment expires.

Should there be an appointment to the ordinary full-time faculty, and after approval of the Provost and Vice President for Academic Affairs in consultation with the appropriate College Dean, and Department Chairperson, determination will be made in writing at that time whether or not time served under a term letter of appointment counts toward tenure.

- B. Ordinary full-time faculty may be offered term letters of appointment in special circumstances such as summer session contracts.

3.4.6 Issuance and Receipt of Letters of Appointment

Letters of appointment for any academic year for ordinary full-time faculty will be issued by May 31 after the Board of Trustees approves the budget. Faculty shall have fifteen (15) business days from the date of the letter in which to accept the terms and conditions of the letter; otherwise the said offer shall expire. If faculty need additional time in which to respond, they shall make a request within said fifteen (15) day time period to the Provost and Vice President for Academic Affairs. The Provost and Vice President for Academic Affairs shall consult with the appropriate College Dean on such an extension.

The individual faculty letter of appointment is made annually after consultation between the faculty member and his/her Chairperson and reviewed by the appropriate College Dean and the Provost and Vice President for Academic Affairs.

By his/her signature on this document, the individual is to note acceptance of this written agreement. The purpose of the individual faculty letter of appointment is to insure that responsibilities are apportioned in a balanced way that reflects the individual member's capabilities and the University's needs. As far as possible, the individual faculty letter of appointment should take into account the faculty member's particular qualifications and his/her program of professional development. Faculty are obligated to carry out satisfactorily the duties they have agreed to by the terms of their individual faculty letter of appointment.

3.5 SEARCH AND APPOINTMENT, POLICIES AND PROCEDURES

The quality of initial appointments is vital to the quality of teaching and scholarship to which the University is committed. The following statements of policy for recruitment to the faculty are intended to aid College Deans, Department Chairpersons and others who are involved in making initial appointments.

The University gives notice of employment opportunities by appropriate publication and follows regular procedures in the evaluation of applicants.

3.5.1 Authority to Hire

Sole authority to hire and retain faculty members is vested in the President.

3.5.2 Procedures for Recruitment and Hiring of Faculty Members

Academic planning with special attention to the recruitment of faculty members is the responsibility of the Provost and Vice President for Academic Affairs in consultation with the appropriate College Deans and Department Chairpersons. Normal procedures for recruitment and hiring are listed below:

- A. A formal request to fill academic vacancy shall be submitted to the College Dean by the Department Chairperson for approval.
- B. The following information shall normally be included with this request:
 1. Academic qualifications and area of expertise
 2. Professorial level
 3. Recommended salary
 4. Documentation to support the need for the addition of the full-time faculty member

5. Courses to be taught; specialized assignments
 6. Professional journals and/or newspapers for advertisements
- C. Upon approval of the position by the appropriate College Dean and the Provost and Vice President for Academic Affairs, the Department Chairperson shall:
1. Present the desired advertisement to the College Dean.
 2. Establish, in consultation with the faculty in the discipline, a representative search committee that will select its own chair.
 3. Ensure that the search committee is familiar with the guidelines on Affirmative Action, identify and interview a minimum of three applicants when three or more qualified applicants apply for the position.
 4. Discuss with the Provost and Vice President for Academic-Affairs the funding available for interview expenses.
 5. Provide search committee members and relevant administrators with copies of the credentials of the applicants who were selected for interviews prior to their arrival on campus.
 6. Present each applicant to the President, the Provost and Vice President for Academic Affairs and the College Dean on the day of his/her interview.
 7. Shall recommend, in consultation with the search committee, to the College Dean and to the Provost and Vice President for Academic Affairs the selected applicant(s) for the position.
- D. The recommendation is then sent to the President for final approval if the appointment has been endorsed by the College Dean and the Provost and Vice President of Academic Affairs.

3.5.3 Credit for Academic Service at Other Institutions

Newly hired faculty members with previous teaching experience but without tenure at another institution may be granted credit toward tenure up to a maximum of three years at the discretion of the President in consultation with the Provost and Vice President for Academic Affairs and after recommendation of the appropriate College Dean and Department Chairperson. In extraordinary circumstances, tenure may be granted on appointment to a faculty member who has held equivalent faculty status elsewhere. The agreement on credit toward tenure shall be in writing.

3.6 PERSONNEL RECORDS

Because appointment as a faculty member may lead to a continuing relationship with the University, it is essential that there be adequate and detailed documentation to support every action involving each individual, especially those actions pertaining to appointment, promotion, tenure, layoff and dismissal.

3.6.1 Official Personnel File

The basic documents which should ordinarily be included in a faculty member's file include the following:

- A. Signed letter(s) of application;
- B. Confidential letters of recommendation or evaluation;
- C. Personal data information;
- D. Appointment and acceptance letters;

- E. Hiring transaction documents (payroll notices);
- F. Performance reviews and evaluations;
- G. Payroll change documents;
- H. Other documents as determined by appropriate authorities;
- I. Affirmative Action compliance forms;
- J. Salary and fringe benefits data;
- K. Official undergraduate and graduate transcripts;
- L. Information regarding professional background and/or accomplishments.

Firm documentation in support of degrees and experience claims of a faculty member shall be included in the file. A faculty member's official personnel file is housed in the office of Human Resources and will be kept in strictest confidence. The faculty personnel file will be available for confidential use only to the Board of Trustees, University Counsel, the President, the Provost and Vice President for Academic Affairs, the respective College Dean, the Committee on Rank and Tenure, the Human Resources Office, the individual faculty member, a person authorized in writing by the faculty member, or others specifically designated by the signature of the President.

The faculty member may, for the cost of duplication, obtain copies of any non-confidential materials in the official personnel file.

Further, the University may permit access to and copying from such files pursuant to lawful requests and identification of federal or state agencies relevant to investigations, hearings, or other proceedings pending before such agencies or the courts.

IV. FACULTY: RIGHTS AND RESPONSIBILITIES

Membership in the academic profession carries with it responsibilities for the advancement of knowledge and pedagogy, the intellectual growth of students, and the betterment of society. Faculty must order and evaluate their activities in terms of their commitment to these goals, as well as in terms of their own personal and professional development.

Faculty members of Sacred Heart University have a special obligation to understand the nature of this institution of higher learning and to appreciate its unique characteristics and its philosophy and objectives. They should strive to improve the intellectual and practical effectiveness of the University. The University has an obligation to provide resources and time to enable the faculty member to implement these goals.

A faculty member's overall responsibilities generally include: teaching, which is paramount; scholarship which sustains and enriches teaching such as research and publication or, in the arts, creativity evidenced by exhibits, performances or publication; academic advising; and participation in University governance and service, student recruitment and community service. A faculty member shall be responsible for carrying out satisfactorily the duties agreed to in the individual faculty letters of appointment. The responsibility to give continued application of time and talents to improve one's education and teaching, to seek professional achievement in one's academic discipline, and to continue to support a liberal arts education shall also be obligations of a faculty member.

4.1 FACULTY RIGHTS

As an educational institution, Sacred Heart University does not wish to impose a rigid body of codified rules upon the members of its faculty. The University does, however, have legitimate expectations concerning the conduct of professional academics.

- A. Individual Rights of the Faculty: Each faculty member has the right of free inquiry and exchange of ideas in teaching and scholarly pursuits. Each faculty member has the right to present subject matter in the manner he or she deems most suitable, as well as the right to present controversial material relevant to a course of instruction. Each faculty member has the right to the enjoyment of constitutionally protected freedoms of action and expression, including the right to dissent without jeopardizing his/her livelihood. Each faculty member has the right to be judged by his/her colleagues, as well as by the administration, in accordance with clear criteria and fair procedures in matters of promotion, tenure, and discipline.
- B. Rights of the Faculty: The faculty as a whole has a primary role in such fundamental areas as research, curriculum, subject matter, course content, the academic qualifications regarding faculty status and procedures for the evaluation of faculty and students.

4.1.1 Academic Freedom

It is fundamental to the health of an academic institution and ultimately to the health of a society at large that individual persons and groups of persons exercise their responsibility and freedom to search for the truth and to speak the truth as it is discovered. In a collegial community, the corporate person of the University institution, and the persons of the faculty, administration, and the student body, bear mutual responsibility to exercise trust and respect which foster an environment for the exercise of academic freedom.

Sacred Heart University endorses the principles of academic freedom in conformity with the following accepted professional formulation:

Academic freedom in its teaching aspect is fundamental for the protection of the rights of the faculty member in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

- A. The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his/her other academic duties; but research for pecuniary return should be based upon a written understanding with the appropriate College Dean, and with the Vice President for Academic Affairs.
- B. The faculty member is entitled to freedom in the classroom in discussing his/her subject, but he/she should be careful not to introduce into his/her teaching controversial matter that has no relation to his subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.
- C. The College or University faculty member is a citizen, member of a learned profession, and an officer of an educational institution. When he/she speaks or writes as a citizen, he/she should be free from institutional censorship or discipline, but his/her special position in the community imposes special obligations. As a person of learning and an educational officer, he/she should remember that the public may judge his/her profession and his/her institution by his/her utterances. Hence he/she should at all times strive to be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that he/she is not an institutional spokesperson". (From: Academic Freedom and Tenure: 1940 Statement of Principles and Interpretive Comments". American Association of University Professors and Association of American Colleges. Edited to reflect gender-neutral language.)

As a learned person and as a teacher at a Catholic University, each faculty member must recognize that people will judge both the profession and the institution by what is said in the classroom and in public.

4.1.2 Intellectual Property

Respect for intellectual labor and creativity is vital to academic discourse and enterprise. This principle applies to works of all authors and publishers in all media. It encompasses respect for the right to acknowledgment, the right to privacy, and the right to determine the form, manner, and terms of publication and distribution.

The tradition is that institutions of higher education are established for the common good and not to further the interest of either the individual faculty member or the institution as a whole. The common good depends upon the free search for truth and its free exposition. Within the spirit of this tradition, except in limited situations, or as expressly agreed by the University, the creator of copyrightable or patentable intellectual property shall retain their rights, and the University shall not assert ownership rights. However, creators do grant nonexclusive, royalty-free, perpetual licenses to the University for copyrightable or patentable material that is developed for University courses or curriculum, so that the University's continued use of such material for educational purposes or the advancement of the University mission is maintained. The University will have ownership rights to copyrightable or patentable intellectual property developed under the following circumstances:

1. Development was funded by an externally sponsored research program, which allocates rights to the University, or by any other agreement, which allocates rights to the University.
2. The University has negotiated an understanding or formal contract with the creator.
3. Material was developed by administrators not holding faculty rank or other non-faculty employees in the course of employment duties and constitutes work for hire under US law.
4. The material was developed with extraordinary or substantially more use of University resources than would normally be provided for the creator's employment duties. Substantial use includes projects undertaken by the faculty member with the benefit of extraordinary funds, facilities, or opportunities, which the faculty member would not ordinarily be entitled to have for any chosen project. Ordinarily available resources include office space, studio space, laboratory space and personal office equipment, office computer workstations, library and other information resources, and the means of network access to such resources, including information available on University servers and the Internet, funding, available audio and video resources, and support staff including Administrative Assistants, departmental secretaries, work study students, undergraduate and graduate research students.

Except as provided above, the following classes of intellectual property are excluded with regard to disclosure, ownership, transfer, and licensing and title shall remain with or be assigned to the creator. These materials include the following: academic or scholarly activity, including books, articles, works of fiction and nonfiction, poems and dramatic works, musical and choreographic works, pictorial, graphic, or sculptural work, computer software, whether in print, video, or electronic format.

4.1.3 Code Of Professional Ethics

Although no set of rules or professional code can either guarantee or take the place of the faculty's personal integrity, Sacred Heart University believes that the "Statement on Professional Ethics" promulgated by the American Association of University Professors in April of 1966 may serve as a reminder of the variety of obligations assumed by all members of the academic profession. Sacred Heart University endorses the Association's statement.

Since all faculty members should strive to make these recognized standards of the profession an integral part of their professional and personal lives, the guiding principles of AAUP's "Statement on Professional Ethics" (edited to reflect gender neutral language) are quoted below in abbreviated form.

- A. "The [faculty member], guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognizes the special responsibilities placed upon him/her. His/her primary responsibility to his/her subject is to seek and to state the truth as he/she sees it. To this end, he/she devotes his/her energies to developing and improving his/her scholarly competence. He/she accepts the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. He/she practices intellectual honesty. Although he/she may follow subsidiary interests, these interests must never seriously hamper or compromise his/her freedom of inquiry.
- B. As a teacher, the [faculty member] encourages the free pursuit of learning in his/her students. He/she holds before them the best scholarly standards of his/her discipline. He/she demonstrates respect for the student as an individual, and adheres to his/her proper role as intellectual guide and advisor. He/she makes every reasonable effort to foster honest academic conduct and to assure that his evaluation of students reflects their true merit. He/she respects the confidential nature of the relationship between [faculty member] and student. He/she avoids any exploitation of students for his/her private advantage and acknowledges significant assistance from them. He/she protects their academic freedom.
- C. As a colleague, the [faculty member] has obligations that derive from common membership in the community of scholars. He/she respects and defends the free inquiry of his/her associates. In the exchange of criticism and ideas, he/she shows due respect for the opinions of others. He/she acknowledges his/her academic debts and strives to be objective in his/her professional judgment of colleagues. He/she accepts his/her share of faculty responsibilities for the governance of their institution.
- D. As a member of his/her institution, the [faculty member] seeks above all to be an effective teacher and scholar. Although he/she observes the stated regulations of the institution, provided they do not contravene academic freedom, he/she maintains his/her right to criticize and seek revision. He/she determines the amount and character of the work he/she does outside his/her institution with due regard to his/her paramount responsibilities within it. When considering the interruption or termination of his/her service, he/she recognizes the effect of his/her decision upon the program of the institution and gives due notice of his/her intentions.
- E. As a member of his/her community, the [faculty member] has the rights and obligations of any citizen. He/she measures the urgency of these obligations in the light of his/her responsibilities to his/her subject, to his/her students, to his/her profession, and to his/her institution. When he/she speaks or acts as a private person, he/she avoids creating the impression that he/she speaks or acts for his/her College or University. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the [faculty member] has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom."
- F. In pursuit of scholarly activities, faculty members agree to adhere to principles outlined in Sacred Heart University's Academic Integrity policy as articulated in the University catalog.

4.1.4 Violations of Faculty Procedural Rights, Academic Freedom and Professional Ethics

Disputes involving a charge that a faculty member's procedural rights or academic freedom have been abrogated or that professional ethics have not been maintained shall be settled through the established grievance procedures. While affirming academic freedom as a right, Sacred Heart University recognizes that, in some circumstances, the questions of academic freedom become enmeshed in questions of professional incompetence or irresponsibility. In such cases, the guiding principle is that charges of

professional incompetence or irresponsibility shall not be used to limit academic freedom, nor shall appeals to academic freedom be acceptable as a shield for professional incompetence or irresponsibility.

4.1.5 Political Activity

Faculty members, as citizens, are free to engage in political activities. Any member of the faculty who wishes to engage in direct political activity which will involve a substantial amount of time away from the performance of his/her University responsibilities is expected to work out a mutual agreement for a leave of absence with the faculty member's College Dean and the Provost and Vice President for Academic Affairs before undertaking such activity.

4.1.6 Use of University Facilities and Services

University facilities may be used by faculty members in connection with the academic or scholarly activities without being subject to the requirements of prior approval or reimbursement.

While faculty members may utilize the services of the secretarial staff of their respective area to assist in the preparation of professional articles, papers, reviews, etc., such clerical assistance should not interfere with official work.

The use of office space assigned to a faculty member, available library services, University facilities (including computers and other equipment), may be used by faculty members in connection with "outside activities" as described below in Section 4.2.7. In all cases, the faculty member or his/her outside employer or sponsor will pay the rate established by the University for the use of additional facilities, equipment, materials, or services.

4.1.7 Use of the University Name and Seal

The University's name and seal are the exclusive property of the University and, consequently, may not be used in connection with goods or services offered by any outside organization without the prior permission of the appropriate College Dean. Faculty members publish a considerable number of reports in the form of bulletins, circulars, scientific articles, monographs, and books, some of which are copyrighted and others which are not. Material from such recognized publications is, of course, quotable, and proper recognition should be given both to the individual author and to the University in connection with such quotations.

Official stationery may not be used in connection with "outside activities" except with respect to those academic and scholarly activities described above. No report or statement relating to outside activities may use the name of Sacred Heart University or be attributed to it. The use of official University titles for personal gain or publicity is prohibited without the written approval of the appropriate College Dean.

4.2 FACULTY RESPONSIBILITIES:

4.2.1 Principal Occupation

The primary responsibility of a faculty member is to render to the University the most effective service possible and to devote his/her full working time to the University. A faculty member is appointed with the expectation that he/she will be principally occupied with the academic growth and development of students during all terms of the academic year. Teaching, scholarship, and service at the University shall normally be the primary concern and occupation. At the same time, consulting and other outside activities of a professional nature are encouraged by the University where such activities give the faculty member experience and knowledge valuable to professional growth and development (see Section 4.2.7). These

activities may help the member of faculty make worthy contributions to knowledge, or contribute to instructional programs, or otherwise make a positive contribution to the University of the community.

4.2.2 Definition of “Year”

Most members of the faculty are engaged and paid on the basis of a nine-month contract. If any teaching member of the faculty is asked to be on duty for a longer period than is customary with the nine-month contract, he/she will receive additional compensation.

The academic work year for full-time members of the teaching faculty begins with the first day of the Fall Opening Faculty Convocation and ends nine months later following Spring Commencement and the submission of final grades.

Faculty members are required to attend the Fall Opening Faculty Convocation and Spring Commencement exercises. If faculty are unable to attend, they should notify their Department Chairperson who in turn will inform the College Dean and the Provost and Vice President for Academic Affairs in advance. Faculty members are also expected to attend other major academic events and all University or College Convocations. If extraordinary circumstances make it necessary to leave before commencement, written permission should be obtained from the appropriate College Dean. All grades must be submitted to the Registrar's Office before a faculty member leaves the University.

Faculty may be required to teach courses at branch sites during evenings, on Saturdays, or in accelerated sessions if there is a specific University need. Scheduling of faculty teaching assignments is a primary responsibility of a Department Chairperson.

4.2.3 Teaching

Ordinarily, the number of teaching hours assigned to a member of the faculty is twelve credit hours per semester. It shall be the responsibility of the appropriate College Dean and Department Chairperson to see that assignments within the discipline are apportioned fairly.

4.2.3.1 Course Offerings and Content

All course offerings should be in accord with both the general requirements of Sacred Heart University and the needs of the disciplines and the needs of students.

Faculty members are expected to conduct their classes at a level appropriate to the level of the assigned course. Each instructor is responsible for planning and presenting the assigned course material, including but not limited to: establishing course objectives and requirements and providing a written syllabus to students; selecting and ordering texts and supplemental materials; preparing, administering, and grading papers and examinations; tracking appropriate attendance of students; and assigning grades. A copy of each course syllabus is to be provided to the appropriate Department Chairperson and to the Dean of the faculty member's College.

4.2.3.2 Absence and Class-Related Duties

Faculty are expected to meet their classes punctually. If for some very significant and valid reason a faculty member is unable to meet a class, arrangements must be made to offer alternate instruction to satisfy students' expectations and the individual's own contractual obligations. This can be accomplished in various ways, and the method to be adopted shall be approved by the Department Chairperson.

A faculty member shall not enroll or refuse to enroll students in courses on the basis of their beliefs, or otherwise discriminate among them. The faculty member has the right to maintain and enforce classroom behavior conducive to the learning process for all students involved. When grades or other evaluations of academic performance are required, a faculty member shall provide the University with such grades or evaluations of each student in terms of academic performance. A faculty member shall return tests and required papers to students within a reasonable time with appropriate comment and/or grade.

4.2.3.3 Availability and Office Hours

All faculty members shall be regularly available when their courses are offered. Each faculty member should establish, post, and make students aware of regular and adequate office hours so distributed throughout the week as to be of maximum convenience to the students. Additional office hours will normally be needed during registration and examination periods. A copy of the approved office hours schedule is to be submitted to the appropriate Department Chairperson and College Dean at the beginning of each semester.

4.2.3.4 Additional Graduate Faculty Teaching Duties

Faculty who are engaged in graduate teaching may also have as part of their teaching load the direction of theses, independent studies, comprehensive examinations, internships and capstone experiences for graduate students.

4.2.4 Student Advising

Since the fundamental objective of private institutions of higher education like Sacred Heart University is to assist students to develop their interests in order to reach their full personal and professional potential, the University emphasizes the role of its faculty in the academic advising of students.

The central element in advising is a genuine and sustained concern for students as persons and for their academic and personal growth. It is the duty of the appropriate Department Chairpersons to allocate such responsibilities, and to inform the individual faculty member of what is expected in the discharge of such responsibilities.

The faculty member has a special and unique mentorship and advising role which may take three forms:

- A. Advising of the student with regard to the student's work in classes taught by the faculty member;
- B. Serving as adviser in the student's major area to assist the student in setting academic goals, and to insure that University and program requirements are met and understood by the student, and that electives are planned to coincide with the student's personal and career objectives;
- C. Directing students to appropriate offices or persons within the University when a faculty member recognizes that a student needs professional assistance with problems of a personal nature or resulting from academic skill deficiencies.

The faculty member is not authorized to make representations or commitments on behalf of the University, which are contrary to or not supported, by authorized University policies, regulations, or procedures.

4.2.5 Scholarship and Professional Development

Although the primary emphasis at Sacred Heart University is on teaching and advising, faculty members are ordinarily expected to pursue research, scholarship or creative work, and professional development, especially as these are related to teaching effectiveness.

University resources are available to assist in fulfilling this expectation. Such scholarship, creative, and professional development are included as part of faculty evaluation for promotion and tenure (see Section 6.3).

4.2.5.1 Research Involving Animal or Human Subjects

Faculty conducting or supervising research with human participants or animal subjects will adhere to the applicable federal and state regulations and to the ethical standards established by the major professional organization in one's discipline for such work. The University's Institutional Review Board (IRB) or Institutional Animal Care and Use Committee (IACUC) shall review and approve all proposals for research involving human participants or animal subjects.

4.2.6 Service

During the term of a faculty member's contract, a faculty member is expected to participate in service to the academic community. Faculty are required to take part in major academic events such as Commencement and all- University and College Convocations. While members of the faculty have a primary responsibility to their own Department or College, they are also members of the larger collegial community and are expected to work cooperatively with members of other Colleges in matters affecting the overall welfare of the University. Faculty are also encouraged to be involved in off campus service activities such as participation in civic programs, professional organizations, governmental structures, volunteer agencies, and social endeavors.

4.2.7 Conflicts with Primary University Responsibility and Outside Activities

No outside service or enterprise, professional or otherwise should be undertaken that might interfere with the faculty member's primary responsibility to the University. While the member of faculty is encouraged to engage in outside professional activities, these must be clearly subordinate to his or her teaching, advising, research, and University service responsibilities.

4.2.7.1 Applicable Procedures

All outside activities are subject to University policy that conflict between such activities and a member of faculty's primary responsibility or the appearance thereof are to be avoided. However, in recognition that outside activities may make a valuable contribution to the University and to an individual's professional growth (as long as the activities are undertaken in a manner consistent with the full performance of the faculty member's primary obligations to the University) the following procedures are adopted.

4.2.7.2 Prior Authorization Required

A member of faculty is required to inform the appropriate Department Chairperson and College Dean before engaging in Outside Activities that substantially interfere with his/her primary responsibilities at the University. Such planning is in the best interests of the faculty member, the discipline and the University. Examples of outside activities that require prior approval may include:

1. Practicing a profession on a part-time basis;
2. Providing professional, managerial, or technical consulting services to an outside entity;
3. Teaching at an institution other than the University.

4.2.7.3 Time Restriction Outside Activities

Unless otherwise approved in writing by the appropriate Department Chairperson and College Dean, time spent by full time faculty members on Outside Activities must be in addition to, rather than a part of, the normal full time effort expected of faculty members for University work. The general guideline for time spent on such activities will be limited to the equivalent of one work day (eight hours) per five-day week.

4.2.7.4 University Assumes No Responsibility

The University assumes no responsibility for the competence or performance of Outside Activities engaged in by a faculty member nor may any responsibility be implied in any advertising with respect to such activities. Faculty members may not represent themselves as acting on behalf of the University.

4.2.8 Deadlines

Each faculty member is responsible for meeting reasonable deadlines established by the Department Chairperson, College Dean, the Provost and Vice President for Academic Affairs, the Office of the Registrar, and the University Bookstore.

V. FACULTY GROWTH & DEVELOPMENT

Sacred Heart University is primarily a teaching institution and all faculty are, therefore, required to continue to develop their teaching excellence.

The University further recognizes that in higher education teaching, further scholarship, and creative activity are essential to a vigorous institution and a strong curriculum.

Faculty members are responsible for keeping abreast with both the scholarship and the pedagogy of their field(s) and related areas. The faculty member's continuous growth and development should sustain and enhance quality of teaching and scholarship. Moreover, faculty members who are aware of new developments in their area are better able to assist their colleagues in curriculum development and improvement. Faculty development programs affect reviews for mid-tenure review, tenure, promotion, and evaluation of faculty performance.

The principal obligation to recommend and guide faculty development plans and programs belongs to the Provost and Vice President for Academic Affairs in consultation with the College Deans, Department Chairpersons and the appropriate committees established for this purpose.

5.1 ANNUAL EVALUATION CRITERIA OF FACULTY PERFORMANCE AND DEVELOPMENT

The evaluation process at Sacred Heart University is a means by which members of the teaching faculty can obtain constructive and balanced information, which will enable them to fulfill their academic responsibilities and enhance their professional development. It is also an important means by which decisions are made regarding appointment, reappointment, promotion, tenure, compensation, discipline, and dismissal. The criteria for evaluation are indicated in the following sections of this handbook: Section V: Faculty Growth and Development and Section VI: Faculty: Tenure and Promotion.

Members of the faculty receive regular evaluation of their performance. The processes of evaluation may involve the following elements:

- A. An annual written self-assessment related to the normal evaluation criteria and to the individual's program of professional development;
- B. Regular peer assessment;
- C. Regular student assessment of teaching;
- D. Annual assessment by the appropriate Department Chairperson, the College Dean and the Provost and Vice President for Academic Affairs.

The results of all assessments in the evaluation process will be provided in a timely manner to the faculty member involved, the appropriate Department Chairperson and College Dean, the Provost and Vice President for Academic Affairs, and when appropriate, to the Committee on Academic Rank and Tenure.

It is the responsibility of the Provost and Vice President for Academic Affairs in consultation with the Council of the University Academic Assembly to develop, review, and implement the appropriate specific processes of evaluation. Annual evaluation forms and processes shall be made available to the faculty at the start of the academic year and may not be changed during the course of the academic year.

5.1.1 Teaching

Sacred Heart University recognizes that excellence in teaching is the most important attribute of a faculty member. Since many characteristics contribute to teaching effectiveness, documentation should demonstrate, but not necessarily be limited to, some of the following:

- A. Command of one's subject;
- B. Knowledge of the relationship of one's discipline to the liberal arts tradition;
- C. Knowledge of current developments in one's discipline and pedagogy;
- D. Ability to relate one's subject to other areas of knowledge;
- E. Skill in communicating with students;
- F. Ability to plan and execute a substantive, well-organized course;
- G. Ability to stimulate and broaden student interest in the subject matter and the world around them;
- H. Capacity to challenge students - for example, motivate independent work;
- I. Ability to utilize effective teaching methods and strategies;
- J. Possession of the attributes of integrity, open-mindedness and objectivity in teaching;
- K. Ability to stimulate students to pursue continued learning.

Teaching effectiveness should be assessed by evidence including, but not limited to, some of the following procedures or activities:

- A. Self-evaluation;
- B. Evaluation by the Department Chairperson;
- C. Peer evaluations;
- D. Student evaluations;
- E. Evaluation by the faculty member's College Dean;

- F. Evaluation by the Provost and Vice President for Academic Affairs;
- G. Further course work or other continuing education in one's field;
- H. Participation in seminars and/or workshops on teaching skills.

5.1.2 Advising

Faculty members have an obligation to advise students in their classes about class work and to serve as program advisers for students majoring in their discipline. Characteristics that contribute to good advising include, but are not limited to, some of the following:

- A. Ability to communicate with students;
- B. Ability to help students select a course of study appropriate to their interests and abilities and to the aims of a liberal education;
- C. Ability to assist students in academic planning (fulfilling all requirements for their degrees or certification of outside agencies).

Effectiveness in advising should be assessed by evidence including, but not limited to, some of the following procedures or activities:

- A. Self-evaluation, including documentation of attendance at workshops or seminars designed to improve advising skills;
- B. Evaluation by the Department Chairperson.

5.1.3 Scholarship and Creative Work

Effective teaching necessitates active involvement in the intellectual and scholarly developments in a discipline or across disciplines. Because what is considered appropriate research may vary from discipline to discipline, research, performance, or creative work should be evaluated in terms of its quality; for example, its level of recognition among peers, and its significance to the particular discipline. Scholarly activity may include but is not necessarily limited to the following:

- A. Sustained inquiry in an area of one's discipline;
- B. Scholarly productivity demonstrated by presentations, publications, or where appropriate, artistic works and performances;
- C. Application or nomination for research grants and projects;
- D. Sharing expertise with the University and external community.

Scholarship or creative work should be assessed by evidence generated by, but not necessarily limited to, some of the following types of procedures and activities:

- A. Publications (e.g. journal article, scholarly book, monograph, book chapter, creative writing);
- B. Award of external funding;
- C. Presentation at an academic conference or juried show;
- D. Reviewer/editor for academic or creative works;
- E. Citation of research in other works or evaluations/statements by professional peers;

- F. Award of prizes or commendations related to ones discipline;
- G. Other activities that demonstrate one's competence and engagement within their field.

5.1.4 Service to the University

A university like Sacred Heart must necessarily depend upon its faculty for services rendered outside the classroom. Therefore, a faculty member may reasonably be expected to participate in the operational concerns of the institution such as participation in the following:

- A. Service on faculty committees, attendance at faculty meetings, and participation in the decision-making and curriculum development processes;
- B. Effective participation on Department, College and University committees;
- C. Leadership or constructive involvement in some area of Department, College or University life - governance, promotion and tenure review, faculty development, curriculum design, strategic planning, budget, etc.;
- D. Service as a Chairperson of an academic Department or a committee, or a Director of a program;
- E. Acting as representative of the College or University to the larger regional, national, or international community;
- F. Service to the student body which may include, but not necessarily be limited to, the following: advisor to student organization, moderator of student activities, participation in or planning of curricular-related enrichment activities outside normal course offerings and/or extracurricular student activities.

Demonstration of service activities should include, but not necessarily be limited to, some of the following types of evidence:

- A. Self-report of activities;
- B. A report from Program Director, Department Chairperson, College Dean, or Provost and Vice President for Academic Affairs;
- C. Committee or Committee Chairperson evaluation, or evaluation by the supervisor of an activity.

5.1.5 Service to the Profession

All faculty members have an obligation to maintain a high level of professional competence and to keep abreast of developments in their field. Faculty members are encouraged to support and be active in appropriate professional organizations. Service activities in support of the profession include, but not necessarily limited to, some of the following:

- A. Appointment in a scholarly capacity to a state or national post;
- B. Participation in professional organizations (e.g., attendance at annual meetings, Ding sessions and panels);
- C. Leadership position in other professional organizations;
- D. Reading papers (other than research) before learned societies;
- E. Service in the individual's professional area as a consultant or resource person;
- F. Review of creative work.

Demonstrations of service to the profession should include, but not necessarily be limited to, some of the following types of evidence:

- A. Documented self-report of activities;
- B. Evaluation or statements of professional peers.

5.1.6 Professional Qualities

All faculty should demonstrate a commitment to the pursuit of truth and the free interchange of ideas; personal integrity; personal and social maturity; respect for colleagues, students, and other members of the University community.

Demonstration of appropriate professional qualities may include, but not necessarily be limited to, the following types of evidence:

- A. Self-evaluation;
- B. Evaluative statements by students, colleagues, the Department Chairperson, the College Dean or other members of the College or University community.

5.2 PROFESSIONAL GROWTH PLANNING

Each faculty member will develop an individual plan of professional growth that is reviewed annually in consultation with the appropriate Department Chairperson or College Dean. The plan of growth shall address the primary areas of faculty responsibility: teaching, scholarship, and service for the academic year as well as integrate personal, professional plans with the College's and University's short and long-term needs and goals.

5.2.1 University Support of Faculty Development

Sacred Heart University recognizes its obligation to faculty members to provide time and resources for faculty development to the best of its economic ability. The University seeks to provide, as part of the annual educational and instructional budget, funding for improving teaching effectiveness, faculty research, study, creative activity, and publication.

Faculty development programs at Sacred Heart University include the following: teaching improvement activities, research, formal or informal study, publications, consulting, travel, leaves of absence, sabbaticals, flex time, grants for faculty research, participation in conferences and institutes, and such other activities as may be reasonably expected to assist faculty growth and development. Faculty development programs affect reviews for tenure, promotion, and evaluation of faculty performance.

5.2.2 Encouragement of Scholarly Activities

Sacred Heart University recognizes that every research investigation does not necessarily result in publishable material. The results of scholarly research can be shared with the academic community not only in writing and publication, but also by oral presentation to professional groups both on or off campus. Nevertheless, publication, whenever appropriate and possible, is encouraged and recognized. Faculty engaged in research and writing should protect their work.

5.2.3 Conference Travel Funds

Faculty members are encouraged to attend scholarly and professional conferences, workshops, and consultations as a means of keeping abreast of recent developments in their areas of professional work and in contributing to scholarly exchanges with other scholars through presentation of papers, performing or showing of works, etc. Faculty apply for funding in writing through the Department Chairperson to the College Dean, outlining the purpose of the professional activity and itemizing expenses. Additional funding may be requested from the Provost and Vice President for Academic Affairs.

5.2.4 Reduced Teaching Load

Any full-time faculty member engaged in a significant faculty development project may request a reduction in teaching load. Such a request should be submitted in writing to the Department Chairperson. This should ordinarily be done prior to the third week of the semester proceeding the semester in which the reduction would begin if granted. The Department Chairperson will submit the proposal with his/her recommendation to the College Dean no later than one month following the receipt of the proposal.

Approval for such requests will depend on such factors as budget, number, and distribution among faculty areas, and curricular needs.

5.2.5 Outside Grants

Faculty members are encouraged to seek research and study grants from agencies and foundations outside the University. The Administration will endeavor to assist applicants through the appropriate grants support person in securing partial or full support in the form of private or public grants. The University may choose to provide funding and fringe benefits from University sources with the approval of the President in consultation with the Provost and Vice President of Academic Affairs.

5.2.6 Consulting Work Outside the University

The University recognizes that consulting work in some fields may be a valuable professional experience for faculty members. Consulting work must not interfere with the faculty member's contractual arrangements with the University (See Section 4.2.7).

5.2.7 Leaves

Leaves with or without pay are a necessary and integral part of faculty development. A leave is a negotiated agreement whereby a member of the faculty or a member of the administration who holds faculty rank is absent from his/her regular duties of appointment for more than ten working days. A leave with pay means that the University pays all or a part of the faculty member's regular salary and fringe benefits.

The faculty member through this agreement is allowed to return to a position to which he/she has been previously appointed or for which he/she is qualified.

Previously earned benefits and seniority are not lost. A leave with pay of one academic year or less will usually count toward promotion and tenure; a leave without pay may or may not count toward promotion and tenure.

5.2.7.1 Time-Limit, Procedures, and Policies on Leaves

Leaves with or without pay are for a definite period, normally for a single term or an academic year, but under unusual circumstances and with written authorization for as much as two years.

Short-term leaves with pay for legitimate cause for less than ten working days may be arranged at the appropriate time with the Provost and Vice President for Academic Affairs in consultation with the Department Chairperson and College Dean.

Longer-term leaves for more than ten working days are to be requested according to the policies and procedures of this section and Section 5.2.8 Sabbatical Leave.

The request for a longer-term leave of absence with or without pay must be made in a timely fashion to allow for adequate administrative planning. The written request must specify the purpose, plans, and length of the leave. It will be submitted to the Department Chairperson and College Dean, who forward it to the Provost and Vice President for Academic Affairs.

Leave of absence without pay is not considered a sabbatical and may be granted at any time in accordance with established University policy and special exigencies. Application for a leave of absence is acted upon by the President after consultation with the Provost and Vice President for Academic Affairs.

Application for a leave should be made, when possible, twelve months in advance. However, it is recognized that the faculty member applying for a leave may depend on outside support from a grant. Because the timing of notification of grants will vary, the faculty member may make a tentative application pending receipt of such financial support. The University continues to pay its usual share toward the faculty member's health insurance.

In the event the member of the faculty wishes to extend the time of an approved leave, he/she will again follow the above procedure.

5.2.7.2 Number of Leaves Granted by the University

Ordinarily, Sacred Heart University will grant leaves of all kinds in any given academic year to no more than ten percent of the total full-time teaching faculty in each term.

The Provost and Vice President for Academic Affairs in consultation with the College Deans and Department Chairpersons will recommend to the President the number and distribution of such leaves.

5.2.7.3 Support During Leaves

Whenever possible, the University will provide the services to faculty on sabbatical or leave normally available to full time faculty. Requests for such assistance should be directed to the appropriate College Dean.

5.2.7.4 Leave Without Pay

Any full-time member of the faculty may request a full-time or part-time leave of absence without pay for one of the following reasons:

- A. Fellowship award;
- B. Completion of research;
- C. Formal study;
- D. Maternity, paternity, or adoption related;

- E. Extended service in the armed services;
- F. Other specified reasons in the interests of the University.

Time on such leave will not count toward tenure or promotion in rank and is not credited toward time in service for sabbatical leave unless the individual and the University so agree in writing prior to the beginning of the leave. However, the faculty member will neither forfeit rank nor the annual raises in salary and benefits he/she could have received as a result of not being on leave without pay.

While faculty are on leave without pay, the University ordinarily does not provide fringe benefits unless a contrary arrangement has been mutually agreed to in writing by the faculty member and the University. Faculty members may continue their fringe benefits, however, by paying for them through the University Office of Human Resources.

5.2.8 Sabbatical Leave

Sacred Heart University recognizes, by supporting sabbatical leaves, the necessity for faculty members to acquire new experiences to enrich their teaching or to secure uninterrupted time for research and writing. The University desires to encourage professional growth and increased competence and productivity among faculty members by subsidizing research, creative work, or a program, which is judged to be of equivalent value.

5.2.8.1 Eligibility for Sabbatical Leaves

Tenured faculty members are eligible for their first sabbatical leave following the completion of seven years of active, full-time service at Sacred Heart University. Subsequent sabbaticals may be taken after completing six-years of active, full-time service. The service year count begins with the start of the undergraduate academic year following the year in which a sabbatical is taken. For example, if a faculty member takes a sabbatical leave during the 8th year, he/she would be eligible again to take a sabbatical during the 15th year and then again during the 22nd year.

In the event a sabbatical application is denied for the year requested, he or she is eligible to reapply for a sabbatical leave during any subsequent academic year. A faculty member may request, in writing, a postponement of his or her application for sabbatical from the Dean of the College. The Dean of the College may also request, in writing, that a faculty member postpone an application for a sabbatical. If the Dean and the faculty member agree to a postponement, that postponement will shorten the next waiting period preceding the next sabbatical by a corresponding amount of time. If for any reason a sabbatical leave is not taken, when eligible, it is not cumulative.

5.2.8.2 Salaries for Sabbatical Leave

Salaries for sabbatical leaves are one semester at full salary or one academic year at one-half of full salary provided in the contract in the sabbatical year. Annual raises and benefits will not be withheld by reason of the sabbatical leave and both the faculty member and the University will continue to pay their normal full share toward retirement contribution proportionate to salary, group life, health, and disability insurance, tuition remission benefits according to eligibility, and federal programs to the extent permitted by law.

A faculty member receiving a sabbatical leave also may apply for an additional fellowship or grant from an appropriate source for this period.

5.2.8.3 Application Policies and Procedures for Sabbatical Leaves

Sabbatical leaves are not granted automatically upon the completion of the necessary period of service. Faculty members must demonstrate in writing, as part of their applications, evidence of sound research, creative activity, or other academic achievement to support the program of work that they plan for the sabbatical period. They must also show that their proposed programs will accomplish one or more of the general purposes set forth in the opening paragraph of this section.

A faculty member must make a formal application for sabbatical leave, using the forms and guidelines provided by the Provost and Vice President for Academic Affairs. Copies of the forms are available in the office of the Provost and Vice President for Academic Affairs. The sabbatical application is submitted to the Department Chairperson and College Dean in sufficient time to permit the general deadlines to be met. All requests for sabbatical leave will be accepted in the Office of the Provost and Vice President for Academic Affairs by January 31 for the following academic year.

In as much as the regular full-time staff of the discipline may be expected to absorb the teaching load of the individual on leave, the Department Chairperson in consultation with the members of the program area will prepare a statement of area plans in this regard which will be attached to the sabbatical application. A request for replacement of faculty, if necessary, should be made by the appropriate Department Chairperson in consultation with the College Dean and Provost and Vice President for Academic Affairs.

5.2.8.4 Criteria for Selection of Sabbaticals

In general, the first order of selection will be determined by the professional quality of the proposal; second, service to Sacred Heart University; third, seniority and reasons of a more personal nature.

Sabbatical leave will not be granted to subsidize any form of work on advanced degrees in a faculty member's primary field or for work which is not directly related to the faculty member's teaching function at the University.

5.2.8.5 Action on Sabbatical Applications

The Provost and Vice President for Academic Affairs, in consultation with a Committee on Sabbaticals, will make the final recommendation to the President in light of the total needs and fiscal capabilities of the University. The Provost and Vice President for Academic Affairs will give written notice to the applicant, the Department Chairperson, the College Dean and the Committee on Sabbaticals of the approval or disapproval of the application.

5.2.8.6 Obligations of Sabbatical Recipients

The recipient of a sabbatical leave incurs these obligations:

- A. To make every reasonable effort to fulfill the terms of the sabbatical;
- B. To return to the University for a period of time equal in duration to that of the sabbatical leave; and
- C. If the faculty member does not return to the University for a period of time equal in duration to the sabbatical leave, he/she thereby assumes the obligation of repaying the amount advanced by the University during the time of leave.
- D. To file a report on the results of his/her project with the Department Chairperson, the College Dean and the Provost and Vice President for Academic Affairs within thirty days after the beginning of the semester following the sabbatical leave.

5.2.8.7 Additional Information

Time spent on sabbatical leaves will count toward promotion in rank, unless the faculty member and Sacred Heart University agree in writing to waive this provision at the time the sabbatical is granted.

During the sabbatical, a faculty member may not accept a full-time teaching assignment elsewhere except under unusual circumstances and with prior approval of the Provost and Vice President for Academic Affairs.

A faculty member on sabbatical leave may continue to vote in University faculty meetings, to serve on University faculty committees, and to use University facilities and services.

VI. FACULTY: TENURE & PROMOTION

6.1 COMMITTEE ON RANK AND TENURE

The Committee on Rank and Tenure is a standing committee of the University, reporting directly to the Provost and Academic Vice President of the University. The Committee on Rank and Tenure serves as a peer-review body for all persons considered for promotion in faculty rank or for tenure at Sacred Heart University and to make recommendations on such applicants to the Vice President for Academic Affairs. The Committee members represent in their deliberations the Faculty at Sacred Heart University and shall not represent or serve as advocates for a particular applicant, Program, Department, or College. The University entrusts to this Committee the difficult task of making recommendations that affect the quality of the faculty and the very nature of the University. It does so under the presumption that these decisions are rendered objectively after fair and thorough deliberation.

6.1.1 Committee on Rank and Tenure Function

The Committee on Rank and Tenure shall review all applicants for tenure and promotion in faculty rank from Sacred Heart's faculty, staff, and administration.

The Committee on Rank and Tenure shall conduct an expedited review for external applicants being considered for faculty ranks of Professor or Clinical Professor and all external applicants being considered for tenure appointments regardless of rank.

6.1.2 Committee on Rank and Tenure Composition and Eligibility

The Committee on Rank and Tenure shall be composed of faculty representative of the various colleges comprising the University. The exact number of members on the Committee on Rank and Tenure shall be a function of the number and size of Colleges within the University. See Committee on Rank and Tenure Standard Operating Procedures on Blackboard for representation by College.

- A. All members of the Committee on Rank and Tenure must be tenured.
- B. College representatives may be either associate or full professors, and each committee member must have a total of at least eight years of full-time faculty experience, with at least five years at Sacred Heart University. In times when an individual College does not have adequate eligible faculty willing to serve, that College Dean may petition the Committee on Rank and Tenure directly to substitute an additional at-large faculty member (see C).

- C. At-large faculty members must all be full professors, and no more than one may be elected from the same College except in cases of a petition (see B).
- D. Deans and Department Chairs may not serve on the Committee on Rank and Tenure.
- E. If a member of the committee wishes to apply for promotion from associate to full professor, he or she may not serve on the committee during the year that he or she applies for promotion.

6.1.3 Terms of Office

- A. Committee members elected to represent a College shall serve a two-year term. Committee members who are at-large members shall serve a three-year term.
- B. Members who represent a College may serve for one additional two-year term, and at-large members may serve for one additional three-year term. Both College and at-large representatives who have served two terms can be re-elected after a two-year hiatus from the committee.
- C. One person of the Committee shall serve as Chairperson for a one-year term of office.
- D. The normal work period of the Committee is October 15 of one academic year through October 14 of the next, with the new Committee assuming responsibilities as of October 15. As a standing committee of the University, the Committee remains on call through the summer, during which extraordinary meetings might be called.

6.1.4 Elections

- A. To ensure the independence of the Rank and Tenure Committee from both governance and administrative structures, the Committee will be self-perpetuating, meaning that the last act of the Committee each year will be to conduct elections for the following year.
- B. The written Call for Nominations shall be sent out via University email to all full-time faculty eligible to vote for Committee members no later than the Friday of the first week of classes of the fall semester. Nominations shall remain open a minimum of ten (10) working days. The election of at-large members shall be completed before College representatives are elected.
- C. College representatives shall be elected by full-time College faculty. At-large representatives shall be elected by all full-time faculty of the University. Elections shall be conducted using the College academic governance Blackboard site for College positions and the University Academic Assembly Blackboard site for at-large positions. Paper ballots shall also be available. Voting shall remain open a minimum of five (5) working days. Voting should be conducted in late September and early October in order to compose the new Committee by October 15.
- D. If a member of the Committee resigns his or her position between April 1 and August 31, the Committee (since it rarely has extraordinary business) shall wait until September and put the member's position up for vote in the regular elections, as long as there are eight active members of the Committee remaining.
- E. If a Committee member resigns his or her position between the end of deliberations (approximately December 24) and March 31, the Committee may choose to conduct a special election in the spring or wait for the regular fall elections.
- F. If a Committee member resigns or is unable to carry out his or her responsibilities during the time period in which the Committee is conducting portfolio reviews and deliberations (generally in the period of October 21 to December 24), the Committee shall continue the deliberations with one less member. If the number of Committee members decreases by two, the Committee shall promptly hold

a special election to fill the vacancies for the remainder of the committee's service year (till October 14).

- G. If a Committee member stops serving for a period of time because of extraordinary circumstances such as problems with health or family, the member may return to the Committee to serve out the remainder of the term. The member may have to wait until a seat replaced by special election is served out. The Committee reserves the right to decide by majority vote whether to accept the member back.
- H. In all the procedures in this section, four principles will be followed: (1) Special elections are for the remainder of the service year, to October 14; (2) the staggered terms as described in 4.0 will be preserved; (3) any time that special elections are held, enough races will be open in order to repopulate the full Committee of nine members; and (4) the Committee reserves the right to conduct elections and make related procedural decisions in the interests of the smooth and fair operation of the rank and tenure process.

6.1.5 Committee on Clinical Rank

The Committee on Clinical Rank shall review all applicants for promotion in clinical faculty rank from Sacred Heart's clinical faculty. The Committee on Clinical Rank shall report their recommendations for promotion in rank directly to the Committee on Rank and Tenure. Only under extraordinary circumstances, including but not limited to bias, current conflicts of interest, or failure to follow committee procedures, will the Committee on Rank and Tenure not follow the recommendation of the Committee on Clinical Rank.

6.1.5.1 Committee on Clinical Rank Composition and Eligibility

- A. The Committee on Clinical Rank shall consist of clinical teaching faculty, one of whom shall serve as Committee on Clinical Rank Chairperson.
- B. The Committee shall include: one clinical faculty member elected by and from the College of Arts and Sciences, the Farrington College of Education, the College of Health Professions, the Welch College of Business, and the College of Nursing. In the event that a College does not have a clinical faculty representative, there will be an election for an at-large member from the remaining Colleges.
- C. The five members of the Committee on Clinical Rank shall elect one of the members to serve as Chairperson of the Committee at the first meeting of the service year.
- D. The College representatives must be either clinical associate or clinical full professors, and each committee member must have a total of at least six years of full-time faculty experience at Sacred Heart University.
- E. Deans and Department Chairs may not serve on the Committee on Clinical Rank .
- F. If a member of the committee wishes to apply for promotion from Clinical Associate to Clinical Full Professor, he or she may not serve on the committee during the year that he or she applies for promotion.

6.1.5.2 Terms of Office for Committee on Clinical Rank Composition

- A. Committee on Clinical Rank members elected to represent a College shall serve a two-year term.
- B. Members who represent a College may serve for no more than two consecutive terms. College representatives who have served two terms can be re-elected after a two-year hiatus from the Committee on Clinical Rank .

- C. The Chairperson of the Committee on Clinical Rank shall serve as Chairperson for a one-year term of office.
- D. The normal work period of the Committee is October 15 of one academic year through October 14 of the next, with the new Committee assuming responsibilities as of October 15. As a standing subcommittee of the Committee on Rank and Tenure, the Subcommittee remains on call through the summer, during which extraordinary meetings might be called.

6.1.5.3 Election of Members for Committee on Clinical Rank Composition

Elections for positions on the Committee on Clinical Rank will follow the guidelines established for the Committee on Rank and Tenure.

6.1.5.4 Operating Procedures for Committee on Clinical Rank Composition

The Committee on Clinical Rank will follow the operating procedures established for the Committee on Rank and Tenure.

6.1.6 Committee on Rank and Tenure Operating Procedures

- A. Expectations of Committee Members:
 - a. All materials reviewed by and deliberations of the Committee are strictly confidential and shall not be shared with anyone outside the Committee either during or subsequent to Committee service. Demonstrable violation of confidentiality is considered grounds for dismissal from the Committee and/or may render a faculty member ineligible for future Committee service.
 - b. Members of the Committee shall not discuss an applicant's application with the applicant or anyone contributing to the applicant's review after the applicant submits his or her portfolio in September. All such communication shall occur through the Committee Chairperson.
 - c. If a member is suspected of a breach of professional responsibility, the Chairperson should conduct a discussion with the Committee in full session. The member in question should be allowed to explain. The Committee should attempt to resolve and heal the issue by consensus. In the concern is seen to be serious and verified, the Committee may vote to dismiss the member by vote of four or more members of the Committee.
- B. Materials to be Reviewed as Part of the Application of all Applicants Seeking Tenure and/or Promotion in Rank:
 - a. Materials compiled and submitted by the applicant: see Section 6.2.4.1
 - b. Materials solicited by the applicant for submission directly to the Committee on Rank and Tenure: see Section 6.2.4.2
 - c. Materials solicited by the Committee on Rank and Tenure: see section 6.2.4.3
- C. Meetings and Deliberations:
 - a. Committee meetings shall be closed to all except those invited by the Committee.
 - b. The Committee reviews each applicant based on the criteria for Promotion and Tenure in the current Faculty Handbook (Section 6.3). Every Committee member reviews the materials of every applicant, and additionally, each applicant is assigned a primary and secondary

reader. In cases where a member of the applicant's Department is on the Committee, they participate in the applicant's review, but may not serve as the applicant's primary reader.

- c. When questions arise pertaining to the applicant's portfolio or other submitted materials, it is incumbent upon the Committee to seek clarification from experts within and/or outside the University. All such clarifications shall be solicited in writing by the Chairperson, with written responses submitted through the Chairperson. This correspondence shall become part of the applicant's review file (Section 6.2.4).
- d. Votes on each applicant's application shall be conducted by secret ballot, with the number of votes for or against on the applicant's application recorded by the Chairperson of the Committee. The tallies are reported in the recommendation of the Committee, but no records are kept of the individual Committee member's votes. No Committee member should be compelled to reveal his or her vote outside of legal proceedings.
- e. Committee members may only vote on applicants for whom they have participated in committee deliberations.
- f. Good-faith efforts will be made to conduct business with the full membership. Owing to resignations or other contingencies, the Committee may operate for a time with a quorum (See Committee on Rank and Tenure Standard Operating Procedures on Blackboard for definition of a quorum).
- g. Because the Committee on Rank and Tenure is a standing committee of the University, extraordinary meetings may be required outside of the traditional academic year. In such instances, a good faith effort shall be made to gather the full Committee membership, but a quorum may conduct business.

6.1.7 The Recommendations of the Committee on Rank and Tenure

The Chairperson of the Committee shall submit to the Provost and Academic Vice President the recommendation of the Committee for each applicant in writing, including the tally of votes and a brief synopsis of the rationale of the Committee for each applicant. The University's decision-making procedure continues as described in the Faculty Handbook (See Sections 6.2.3 and 6.2.5). In consideration of its major role in the process and as a professional courtesy, the Committee requests that the Academic Vice President notify the Committee, through the Chairperson, of the final decisions of the Board of Trustees on all applicants simultaneously with these decisions being communicated to the applicants, and before the results are communicated to the University community.

6.1.8 Expedited Review of External Applicants for Full Professor and/or for Tenure

- A. The Committee shall conduct an expedited review only for those external applicants who have been approved by the relevant College Dean and by the Provost and Academic Vice President for appointment as Professor or for a tenured position.
- B. Expedited review and a written recommendation to the Provost and Academic Vice President by the Committee shall take place before a written offer is made to an external applicant.
- C. Materials for expedited reviews shall consist of the materials solicited by the relevant Search Committee, including: a full Curriculum Vita, a minimum of three letters of reference (at least one of which shall address teaching effectiveness and one of which shall address research and/or clinical accomplishments), a statement of scholarly accomplishments, representative publications, evidence of teaching excellence, and the applicant's philosophy of education. The College Dean shall also submit a rationale for granting professorial rank or tenure for the applicant.

- D. At the beginning of the academic year, the Committee on Rank and Tenure shall make available to Search Committees (through the Office of the Provost and Academic Vice President) designated dates for submission of materials for applicants eligible for expedited review. These dates shall include one date in each month of the Spring semester and shall result in a written recommendation within one week of the expedited review date. All required materials must be submitted to the Committee by the deadline for consideration and recommendation within one week. Requests for expedited reviews can be made at other times under extraordinary circumstances, but such recommendations may be delayed by scheduled deliberations on internal applicants or by the necessity of convening an extraordinary session of the Committee.

6.1.9 Adjustment of Standard Operating Procedures

The Committee on Rank and Tenure shall from time to time may adopt standard operating procedures, which shall not contradict any provisions of the faculty handbook and shall be made available to applicants for promotion in rank and or tenure as well as posted online in the SOP section of the UAA blackboard site.

6.2 TENURE AND PROMOTION POLICIES AND PROCEDURES

Sacred Heart University seeks to sustain and improve its academic stature. Maintaining and improving the quality of the faculty is a primary means of achieving these ends. Tenure and promotion in academic rank are means by which the University encourages, recognizes, and rewards faculty members for excellence in the performance of their duties.

6.2.1 Tenure

Institutions of higher education are conducted for the common good, which depends upon the free search for truth and its free exposition, by teachers and scholars. The University recognizes the value of tenure as promoting not only academic freedom but also the stability of the University as a community of teachers dedicated to these ideals.

Ordinarily tenure is granted after a probationary period of teaching at Sacred Heart University. It is understood that the process of review for the granting of tenure must be a rigorous process in the best interest of the faculty and the University.

Tenure is granted by the Board of Trustees on the recommendation of the President who is guided by the judgment of the Committee on Rank and Tenure and the advice of the Provost and Vice President for Academic Affairs. In addition to the qualifications of the applicant for tenure other considerations, which enter into an individual decision to confer tenure, include particular needs within a Department or College and the financial resources of the University. A decision not to grant tenure does not, therefore, necessarily reflect an unfavorable judgment of the applicant for tenure.

6.2.1.1 Definition of Tenure track and Tenured Status

Tenure track status gives individuals time to demonstrate their ability and also gives the University time to observe and evaluate them on the basis of their performance in faculty positions. During this period, a faculty member has the same academic freedom as a tenured faculty member, and non-reappointment cannot be based on reasons that involve a violation of academic freedom. Non-reappointment, termination, dismissal, or suspension of a probationary faculty member can occur only in accordance with the provisions of this Handbook. Faculty members holding Tenure track appointments are evaluated for reappointment or non-reappointment on a yearly basis by the Provost and Vice President for Academic Affairs in consultation with the appropriate College Dean and Department Chairperson.

Conferral of tenure means that a faculty member is entitled to annual contract renewal by Sacred Heart University until retirement or resignation unless there is dismissal for cause (see Section 7.1.6), prolonged mental or physical illness (see Section 7.1.4), enrollment or financial exigency (see Sections 7.1.5.2 and 7.1.5.3), or changes in the educational program (see Section 7.1.5.1).

6.2.1.2 Mid-Tenure Review Process

The tenure and promotion process begins with the hiring of a tenure track faculty member and continues with each annual review. Departments have the responsibility to advise and mentor their junior faculty to achieve excellence in teaching, scholarship and service as stated in the Faculty Handbook section on tenure and promotion (Section 6.3).

A Mid-Tenure Review will contribute to the goal of mentoring and advising junior faculty. Information regarding this process will be included in the applicant's appointment letter upon starting on the tenure track. The junior faculty member is responsible for initiating the mid-tenure review process. The following comprises the Mid-Tenure Review Process:

Each junior faculty member on the tenure track will be required to submit a mid-tenure review packet as early as the first day of the applicant's sixth semester and no later than the first day of the seventh semester at SHU (with exception to 5.2.7 regarding leave).

If a junior faculty member has been granted years of service towards tenure when hired, the packet should be submitted the first day of class of the fall semester two years prior to when their tenure packet is due. If a junior faculty member has been granted two or more years of service towards tenure the time frame or necessity for submitting a mid-tenure review should be decided upon by the Chair/Director and Dean on a case-by-case basis.

The junior faculty member will submit to the Chair his/her annual reviews, a current curriculum vitae, teaching observations made by senior faculty members, student evaluations and a plan for growth (described below) which the Chair will then submit to a review committee composed of three (3) faculty members.

The plan for growth (no more than 5 single-spaced pages), outlines the faculty member's plans for future development in the categories listed below during the next two years before he/she applies for tenure.

- I. Teaching/Student Advising/Curricular Development
- II. Juried Scholarship/Creative Work/Research
- III. Service
- IV. Professional Development (if applicable)

The junior faculty member, senior faculty members in the Department or College and the Chair/Director should discuss possible committee members before the committee is assembled. The final decision will be made by the Chair/Director of the Department or College. Two of these tenured faculty members should be from within the applicant's Department or College and the third member must be from within his/her College but outside of his/her Department or College. If there are fewer than two tenured faculty members in the applicant's Department or College, then the Chair may assign tenured faculty members from outside of the Department/College to be on the evaluation committee. The Chair/Director of the Department or College is not eligible to sit on the committee.

After reviewing the relevant information, the committee will draft a mid-tenure review evaluation report. The report should provide constructive feedback on the junior faculty member's teaching, scholarship and service. The committee should summarize the strengths and weaknesses of the junior faculty member in each category and make recommendations for improving the junior faculty member's performance in the future and on whether the plan for growth is appropriate. The report should clearly state the Department's expectations for the junior faculty member during the remaining time before submitting their tenure packet. The report should then be submitted to the Chair/Director of the applicant's Department. The Chair/Director

will then convene a meeting with the junior faculty member to discuss the evaluation no later than sixty days after the submission of the packet and no later than November 1st.

The junior faculty member may revise his/her plan for growth after receiving feedback from the mid-tenure committee and the Department/school Chair/Director. The junior faculty member has 14 days after meeting with the Chair to submit the revised plan for growth to the Chair/Director to be included in the junior faculty member's file.

Junior faculty member are required to include the original, and if applicable, the revised mid-tenure review, including the committee's evaluation report, in his/her future tenure packet.

The result of the mid-tenure review is not a guarantee of tenure. The content and recommendations of the mid-tenure review and plans for growth are for general guidance purposes only. The junior faculty member must continue to excel in the categories described in the Faculty Handbook and must be approved by the President and Board of Trustees after their tenure application has been submitted.

6.2.1.3 Eligibility for Tenure

Beginning with a fulltime tenure track faculty appointment, the probationary period shall not exceed six fulltime academic years of service at Sacred Heart University. Newly hired faculty members with previous teaching experience, but without tenure at another institution, may be granted up to three years (see Section 3.3.1.A) credit towards tenure. The precise terms of any credit given for previous teaching experience and the length of the probationary period to be fulfilled at Sacred Heart University shall be stated in writing at the time of the initial appointment and in the contract.

Eligibility for tenure assumes that a faculty member possesses the academic credentials appropriate to the Department in which he/she is appointed. Appropriate academic credentials for a given position are agreed upon at the time a Department seeks approval either for the continuation of a position or the creation of a new position.

Ordinarily a leave of absence without pay will not count toward promotion or tenure unless the faculty member and Sacred Heart University agree in writing to the contrary at the time the leave is granted.

Because the actual conferral of tenure is an affirmative act by the Board of Trustees, the individual must formally request tenure during the sixth year of probationary status or its equivalent as defined in the Faculty Handbook. This request for tenure review is ordinarily made upon notification by the Office of the Provost and Academic Vice President of the faculty member's eligibility for tenure review. If the Office of the Provost and Vice President fails to give timely notice, it is the faculty member's duty to bring such failure to the attention of the Vice President for Academic Affairs.

It is the responsibility of the Committee on Rank and Tenure to conduct a formal review of all faculty members in their sixth year of tenure track appointment at Sacred Heart University.

The Provost and Vice President for Academic Affairs, at the end of the second semester, will prepare a list of all faculty members who will be in their sixth year of fulltime teaching during the next academic year. This list is to be sent to the Deans. Any faculty member who believes that he/she has been improperly omitted from the list of faculty scheduled for review should make this known to the Provost and Vice President for Academic Affairs. In the event that the appropriate College Dean and the faculty member cannot reach a mutually satisfactory agreement, the Provost and Vice President for Academic Affairs, in consultation with the Committee on Rank and Tenure, will decide whether or not the faculty member in question is eligible for review.

In the May preceding the review year, the Office of the Provost and Academic Vice President will notify all applicants who are scheduled for sixth-year reviews of their responsibility for compiling a review file and of the appropriate deadlines for the completion of their portion of the review file.

6.2.2 Eligibility for Promotion

Promotion in academic rank requires evidence of outstanding teaching effectiveness; evidence of noteworthy research, creative or professional activities; and evidence of outstanding service to the University community. Such evidence will be provided in part by periodic/annual performance reviews.

The initial responsibility for applying for advancement in rank and the burden of proof for the advancement rests with the individual faculty member. Faculty members who wish to apply for promotion in rank must inform the Office of the and Academic Vice President of their intentions.

The Committee on Rank and Tenure shall conduct a formal review of all faculty members who wish to apply for promotion in rank. The Office of the Provost and Vice President for Academic Affairs will notify all applicants who are scheduled for promotion review of their responsibility for compiling a portfolio and of the appropriate deadlines.

Sabbatical leave and leave with pay will count in the satisfaction of years in rank toward promotion. Leave without pay may or may not count toward promotion.

6.2.3 Timeline for Tenure and Promotion Review

1. First week of May: Letter of intent for promotions accepted. Tenure and/or promotion application packages and instructions will be distributed electronically by the Office of the Provost via e-mail.
2. Second week of August: Committee on Rank and Tenure solicits evaluations from students selected at random from the Registrar. Selected students must have received a B or higher in the applicant's courses over the past two years.
3. End of August: Committee on Rank and Tenure solicits evaluations from appropriate faculty of the Department and discipline. Evaluations are due by October 1st.
4. September 15th: Applicant's portfolio must be submitted to the Office of the Provost by midnight to Committee on Rank and Tenure. If there is a change in the status of previously submitted materials (such as publications, grants, creative works, etc.), the applicant may submit an update to the Committee on Rank and Tenure via the Provost's Office until October 15th. After the Committee on Rank and Tenure receives materials on October 15th, the file is closed for review.
5. September 16th: Electronic portfolio is available for review by Department faculty, Department Chair, and College Dean.
6. October 15th: Department faculty, Department Chair, College Dean, Non-Department Colleague, and all student evaluations are due to Committee on Rank and Tenure.
7. By December 31st: Committee on Rank and Tenure submits Committee's recommendations to the Provost and Academic Vice President.
8. January 24th: Provost and Academic Vice President forwards his or her recommendations to President.
9. February 1st: President forwards his recommendations on tenure to the Academic Affairs Committee of the Board of Trustees. Final decisions on promotion rest with the President.
10. March Board of Trustee Meeting: Academic Affairs Committee formulates its final recommendations on tenure decisions and submits them to the full Board for vote. Final decisions on tenure rest with the Board of Trustees.
11. Written Notification of Tenure and Promotion Decisions: Within 7 days of the Board of Trustees Meeting in March.

Due to exigencies of the University, timelines may not always be met. In such cases, the decision and notification will be made as expeditiously as possible. Notice of a delay will be provided to each applicant in writing and will include the anticipated date of action.

6.2.4 Tenure and Promotion Review Files

Faculty are reviewed and recommended for tenure and/or promotion on the basis of fulfillment of the eligibility requirements. The evaluation of faculty members by the Committee on Rank and Tenure will be based on the evidence contained in the tenure and/or promotion review file of the faculty member. This file will consist of three parts: the faculty portfolio (prepared and submitted by the faculty member), evaluation letters solicited by the faculty member for direct submission to the Committee on Rank and Tenure, and the tenure and/or promotion review file containing material solicited by the Committee on Rank and Tenure.

6.2.4.1 Materials Compiled and Submitted by the Applicant (Faculty Portfolio)

1. Full and current curriculum vitae
2. Narrative that demonstrates in a systematic, yet concise, way the applicant's accomplishments in the areas of teaching, scholarly and creative activity, and service. **This narrative is one of the most important parts of the application.** It may be one continuous document or may be divided to introduce and present various sections of the portfolio. The narrative is limited to 30 pages (single spaced, 1-inch margins, 12 point font). The narrative should clearly explain the nature and significance of the applicant's work to an interdisciplinary peer audience, that is, the members of the Committee on Rank and Tenure. The applicant's narrative must address their arc of professional development in the three areas that form the basis of review for tenure and/or promotion: Teaching Effectiveness, Scholarship/Creative Activities, and Service. For Teaching Effectiveness, applicants must demonstrate how their work reflects both content expertise and delivery. For Scholarship/Creative Activities, applicants must demonstrate that they have actively been engaged in a sustained contribution of scholarly/creative activities to their profession. For Service, applicants are expected to demonstrate their continuous service to the University, profession, and community. Applicants are encouraged to ask the advice of their Chair, Dean, and peers who have been through the tenure and promotion process *before* officially submitting their packet to the Department for review.
3. Evidence and samples to substantiate your accomplishments in Teaching Effectiveness, Scholarship/Creative Activities, and Service.
4. For those faculty seeking tenure and promotion to Associate Professor, the mid tenure review folder must be included in the submitted materials.

6.2.4.2 Materials Solicited by the Applicant for Submission Directly to the Committee on Rank and Tenure

1. A minimum of five evaluations completed by current or past students.
2. A minimum of two evaluations completed by peers from outside the applicant's Department. One of these evaluations must include a teaching observation as part of the letter.
3. A minimum of one evaluation from outside the University. This external letter must address the scholarship and/or research accomplishments of the applicant with respect to the norms for their particular academic field.
4. The Committee on Rank and Tenure requires a minimum of five evaluations from Departmental colleagues (see Section 6.2.4.3 below). In cases of small Departments with fewer than five tenured faculty members; the applicant, in consultation with their tenured Departmental colleagues, must

solicit additional non-Department evaluations from tenured faculty to meet the minimum requirements. The evaluations completed by peers outside the applicant's Department (see #2 above) may count towards this requirement as long as they are from tenured faculty.

5. It is the applicant's responsibility to identify these student and peer evaluators, to provide the appropriate link to the online evaluation submission page to the evaluators, and to notify the evaluators that completed evaluations must be submitted to the Committee on Rank and Tenure (through the Office of Academic Affairs) by the October 15th deadline in order to be considered part of the applicant's application.

No materials may be placed in the faculty portfolio without the faculty member's knowledge. It is the right and responsibility of the faculty member to make sure that his/her portfolio is complete.

6.2.4.3 Materials Solicited by the Committee on Rank and Tenure for the Tenure and/or Promotion Review File

It is the responsibility of the Committee on Rank and Tenure to solicit confidential evaluations from the appropriate Department Chairperson, College Dean and faculty of the Department and discipline when a member of that Department or discipline is being considered for tenure and/or promotion. It is also the duty of the Committee to solicit confidential evaluations of a faculty member's performance from appropriate students.

The Committee on Rank and Tenure may also interview the appropriate Department Chairperson for the faculty member being reviewed. The Committee has the right to consult additional experts, either from within or outside of the University, for clarification of material or information in the applicant's tenure and/or promotion review file.

1. Evaluation by Students. It is the duty of the Committee on Rank and Tenure to solicit written evaluations of a faculty member's performance from at least five students solicited at random by the University Registrar from those who received a grade of B or better in courses taught by the applicant over the past two years.
2. Evaluation by the Faculty of the Applicant's Department. The Committee on Rank and Tenure will solicit individual evaluations from all tenured faculty members of the appropriate faculty Department as follows:
 - a. Tenured faculty are required to provide their evaluation of each applicant scheduled for tenure and/or promotion review. It is the responsibility of every tenured member of the faculty Department to conscientiously complete, sign, and return the full evaluation to the Committee on Rank and Tenure.
 - b. Other full-time continuing Department faculty members with more than three full years of service to the University are eligible to participate in the evaluation process. Any non-tenured member who wishes not to participate in the process may abstain.
 - c. No faculty member who has an administrative role in the evaluation process should participate in this evaluation.
 - d. In cases where there are fewer than five tenured faculty within the Department, it is incumbent upon the applicant in consultation with their tenured Departmental colleagues to identify additional outside tenured faculty to provide evaluations.
 - e. Tenured members of the Departments may deliberate on an applicant's portfolio, but must not conduct any official vote. The Committee on Rank and Tenure will directly receive the individual recommendations of each qualifying Departmental colleague via the evaluation form. No incomplete or unsigned evaluations will be considered.

3. Evaluation by the Department Chair. It is the responsibility of the appropriate Department Chair to review the faculty portfolio and submit to the Committee on Rank and Tenure an evaluation of each applicant who is up for formal review from his or her Department. The evaluation shall specifically address the degree to which the applicant meets the appropriate criteria: Teaching Effectiveness, Scholarly/Creative Activities, and Service to the University, profession, and community. The Chair (or delegate) must observe and address the applicant's teaching effectiveness. As part of the letter, the Chair must also address the scholarly/creative accomplishments with regard to the norms of the discipline and quality of contributions. The Chair should address contributions towards service to the University and beyond. The Chair may solicit feedback from the Department faculty as part of the overall letter. Finally, the Chair shall also assess the ability of the applicant to serve the educational needs of the Department in both the near and long-term future.
4. Evaluation by the College Dean. It is the responsibility of the appropriate College Dean to review the faculty portfolio and submit to the Committee on Rank and Tenure an evaluation of each applicant who is up for formal review from his or her College. The evaluation should specifically address the degree to which the applicant meets the appropriate criteria for: Teaching Effectiveness, Scholarly/Creative Activities, and Service to the University, profession, and community. The Dean shall also assess the ability of the applicant to serve the educational needs of the College in both the near and long-term future. It is also the responsibility of the appropriate College Dean to submit to the Provost and Academic Vice President a written assessment of how the addition of a tenured faculty member to the College would fit the needs and financial resources of the College. This should include assessment of the fit of the applicant's expertise to short and long-term College needs and should be independent of the degree to which the applicant meets the tenure criteria.

The Committee may not consider in its deliberations submissions or evaluations that have not been solicited by the applicant or the Committee.

6.2.5 Action on Tenure and Promotion Review

The Committee's review of each applicant shall be based on the criteria for Promotion and Tenure in the current Faculty Handbook (Section 6.3). After the tenure review files have been completed, the Committee on Rank and Tenure will examine them and determine the degree to which each applicant has successfully or unsuccessfully met the various criteria.

When questions arise pertaining to the applicant's portfolio or other submitted materials, it is incumbent upon the Committee to seek clarification from experts within and/or outside the University. All such clarifications shall be solicited in writing by the Chairperson, with written responses submitted through the Chairperson. This correspondence shall become part of the applicant's review file (Section 6.2.4).

Votes on each applicant's application shall be conducted by secret ballot, with the number of votes for or against the applicant's application recorded by the Chairperson of the Committee. The tallies are reported in the recommendation of the Committee, but no records are kept of the individual Committee member's votes. No Committee member should be compelled to reveal his or her vote outside of legal proceedings.

The Chairperson of the Committee shall submit to the Provost and Academic Vice President the recommendation of the Committee for each applicant in writing, including the tally of votes and a brief synopsis of the rationale of the Committee for each applicant. The Provost and Vice President for Academic Affairs then transmits the recommendations of the Committee to the President along with his/her own recommendation for tenure and/or promotion.

- A. With respect to tenure, the letters of recommendation for an applicant from the Committee on Rank and Tenure and from the Provost and Academic Vice President for Academic Affairs are forwarded

by the President, along with his own recommendation, to the Board of Trustees for their decision. The President will notify the applicant, in writing, as soon as possible of the Board's decision.

- B. With respect to promotion, the President receives the recommendations of the Committee and Provost and Vice President for Academic Affairs and makes a decision.
- C. The decision of the Board of Trustees to grant tenure or the decision of the President to grant promotion shall be final. The only right of appeal to the faculty grievance committee shall be based on the four limited circumstances delineated in section 7.2.1 of this Faculty Handbook.

In consideration of its major role in the process and as a professional courtesy, the Committee on Rank and Tenure requests that the Academic Vice President notify the Committee, through the Chairperson, of the final decisions of the President on all applicants simultaneously with these decisions being communicated to the applicants, and before the results are communicated to the University community. Promotion in rank and tenure takes effect with the beginning of the next contract period.

6.2.6 Completion of the Tenure and Promotion Review Process

Upon completion of the review process, the tenure and/or promotion review file will be closed. Any personal materials from the faculty portfolio (e.g. hard copies of books, papers, creative pieces) will be returned to the applicant. Electronic materials from the faculty portfolio and all of the material solicited by the Committee for the promotion review file will remain in a closed file in the Office of Human Resources. The file will remain closed except in cases where the University or applicant is compelled to produce access by a court of competent jurisdiction.

6.3 TENURE AND/OR PROMOTION CRITERIA (For Tenured Faculty, Tenure Track Faculty, and Non-Tenure Track Continuing Faculty)

Tenure and/or promotion review requires that a faculty member, through past activities, demonstrate the potential to make a continuing contribution to the University. It is important to note that the criteria used the Committee on Rank and Tenure is separate and apart from any scholarly expectations set forth by outside accrediting agencies. Consequently, performance in the following three areas will be the basis for review of applicants for tenure and/or promotion:

- A. Teaching Effectiveness - An applicant must demonstrate and be able to document development of excellence in Teaching Effectiveness.
- B. Scholarly/Creative Activities - Faculty members shall demonstrate and be able to document appropriate contributions to his or her discipline(s). Such contributions should enhance the faculty member's professional development, make a contribution to the faculty member's discipline(s), increase recognition of the University as a center of knowledge or culture in the community of interest or the community at large, and/or contribute to the treasury of human knowledge.
- C. University Service - Service to the University is expected of all faculty members. It shall be clearly understood that a faculty member must be able to identify and document service that contributes directly or indirectly to the University, profession, and community to qualify for tenure and/or promotion.

The University expects a faculty member to demonstrate cumulative accomplishments in each of the above three performance areas. A faculty member is not necessarily expected to perform in each area during each year of service under review.

For faculty seeking tenure and promotion through the rank of Associate Professor, Associate Clinical Professor, and Associate Lecturer, Sacred Heart University places the primary emphases on Teaching Effectiveness and development of Scholarly/Creative Activities; followed by University Service. For faculty

seeking promotion to the rank of Professor, Clinical Professor, and Lecturer greatest weight is given to the area of Scholarly/Creative Activities, although performance and documentation of continued Teaching Effectiveness and University Service is expected.

6.3.1 Suggested Documentation for Tenure and/or Promotion Application

Suggested documentation identified for each area is not meant to be either definitive or exhaustive. Unless otherwise stipulated, no order or priority is intended. It is the faculty member's responsibility to document within the promotion or tenure application his or her accomplishments in the areas of teaching excellence, scholarly/creative activity, and University service. In instances where a faculty member has shared responsibility with one or more other individuals, the documentation shall identify the contribution made by the faculty member to that activity or accomplishment.

6.3.1.1 Documentation of Teaching Effectiveness

To be an effective teacher, a faculty member must demonstrate and be able to document that they are competent with respect to not only course content but also the delivery of that content to students.

Documentation for these two areas may include the following:

1. Content Expertise

- a. Body of skills, competencies, and knowledge in one or more subject areas in which the faculty member has advanced training, clinical practice, or education;
- b. Evaluation by Chairperson, Peers (internal and external), and/or students. Requires access to and review of appropriate documentation. Because students are not in the best position to judge content expertise, students' perception of expertise shall not be the sole form of documentation;
- c. Evaluation by graduates who may be able to speak to a faculty member's expertise in the context of the graduate's job experience or further education;
- d. Evidence of advanced training or education, including such activities as attending conferences and continuing education;
- e. Evidence of publications and presentations in one's content area;
- f. Evidence of experiential learning. This may include participating in activities related to one's discipline that requires current knowledge and/or results in updating of content area;
- g. Other evidence of utilizing and updating content expertise (e.g. mentoring student research in the faculty's discipline, amending course content and/or materials to reflect current discipline-specific theory/information, or serving on discipline-related committees that are addressing current issues).

2. Content Delivery

Competency in content delivery includes the skills required to design effective instructional experiences which contribute to clear communication of information, to sequence and present those experiences in a way that facilitates student learning by creating a positive learning environment, and to design and implement valid means to assess student learning.

Documentation provided by the faculty member beyond self-assessment may include but is not limited to:

- a. Evaluation by Chairperson, appropriate peers, or students. Because students are not in the best position to judge instructional design skills, students' perceptions of expertise should not be the sole form of documentation;
- b. Documentation through such supporting materials as: course outlines and objectives, course materials, planned learning experiences, evaluative strategies, and amendments to courses;
- c. Pedagogical research (e.g. research involving teaching methodology or effectiveness) that enhances a teacher's instructional design skills;
- d. Unique teaching/learning experiences, including service-learning components, digital learning faculty certificates, or other certificates of pedagogical expertise.

6.3.1.2 Documentation of Scholarly and Creative Activity

Scholarly and Creative Activity includes: (1) Scholarship/Research and (2) Creative endeavor. The University's expectations for such activities shall be consistent with reasonable University support and with documented annual goals and expectations agreed upon by the faculty member and the appropriate Department Chairperson. Documentation of performance in either Scholarship/Research or Creative Activity is required for consideration for tenure and/or promotion.

1. Scholarship/Research

Scholarship and Research includes activities that update and/or extend the frontiers of knowledge in a particular academic or professional discipline or of solving a specific problem. These activities allow the faculty member to remain active in his or her particular area of specialty or practice, including: the development and sharing of ideas; participation in conferences, conventions, workshops, professional meetings; and the publication of articles and monographs.

Documentation provided by the faculty member beyond self-assessment may include but is not limited to the following areas that are listed in order of importance:

- a. **Primary Publications.** Publications may take the form of print or electronic journals, scholarly books, or monographs. Acceptable publications are considered to be peer reviewed with legitimate editorial boards and standardized publication processes. The Rank and Tenure Committee will not consider publications in journals that do not meet these criteria (i.e., publications in predatory journals). Applicants should provide evidence (acceptance rates, impact factors, H-Index, etc.) pertaining to the quality of their publications. Applicants should take care to report all their specific contributions to publications accurately: please explain your field's convention on the listing of multiple authors on publications and accurately represent your own role in all multi-author publications. Throughout the portfolio, applicants should hold him/herself to the standards of proper attribution that prevail in the applicant's field. The types of refereed publications listed below are in order of importance:
 - i. Publications (e.g., journal articles, scholarly books and/or book chapters, and monographs) appropriate to one's professional community on topics in one's area(s) of research, scholarship, and/or teaching;
 - ii. Invited publications appropriate to one's professional community or community at large on topics in one's area(s) of specialty, teaching, and/or research;
- b. **Extramural Funding.** Substantial and peer-reviewed extramural grants from federal/state agencies or private foundations.
- c. **Secondary Publications.** Secondary publications include publications that are related to one's primary area of expertise but are not considered primary publications (e.g., textbooks, scholarly reviews);

- d. Professional Presentations. The items below are listed in order of importance within the category:
 - i. Refereed presentations to one's professional community on topics in one's area(s) of specialty, teaching, and/or research;
 - ii. Invited presentations to one's professional community or community at large on topics in one's area(s) of specialty, teaching, and/or research;
- e. Additional Sources of Documentation for Scholarship and Research (listed in alphabetic order - not in order of importance):
 - i. Collaboration with or participation in the on-going scholarship or research of colleagues;
 - ii. Development of new and creative instructional materials, tools, and/or programs in the faculty member's area of expertise that are disseminated for use outside one's own classroom;
 - iii. Documented participation in academic or professional forums (annual meetings, chairing sessions, panel membership, or participation);
 - iv. Extramural grant proposals that are pending or have not been funded;
 - v. Formal or informal work with community partners and/or students on research, including theses and dissertations;
 - vi. Intramural Grants (including role, status of grant, amount, and funding source);
 - vii. Non-refereed presentations to one's professional community or community at large on topics in one's area(s) of specialty, teaching, and/or research;
 - viii. Non-refereed publications appropriate to one's professional community or community at large on topics in one's area(s) of specialty, teaching, and/or research;
 - ix. Published citations of work;
 - x. Scholarship or research in progress.

2. Creative Activity

Production of creative work by faculty to include not only the creation of a tangible product, but the subjection of that creative piece to judgment by public and peers through the vehicle of performance, show publication, display, or exhibit.

Documentation provided by the faculty member beyond self-assessment may include, but is not limited to, the following rank-ordered two areas:

- a. Shows, exhibits or productions, publication of creative work
 - i. Refereed;
 - ii. Invited;
 - iii. Non-refereed.
- b. Additional Sources of Documentation for Creative Endeavor (listed in alphabetic order - not in order of importance):
 - i. Creativity grants (including role, status of grant, amount, and agency);
 - ii. Works-in-progress.

6.3.1.3 Documentation of University, Professional, and Community Service

There shall be evidence of a faculty member's contribution to the mission and effective functioning of the University through service to and support of a faculty member's colleagues, Program, Department, College, and University community.

Documentation provided by the faculty member beyond self-assessment may include but is not limited to the following areas that are listed in alphabetical order and not necessarily in order of importance:

1. University Service
 - a. Contributions to one's Program, Department, College, or University through committee work, administrative functions, leadership roles, or faculty governance;
 - b. Participation in and support of student extra-curricular activities;
 - c. Planning and/or participating in enrichment activities outside of normal course offerings and program development;
 - d. Student advising, recruitment, and retention activities;
 - e. Service to the faculty member's community through participation in civic programs, government structures, volunteer agencies, and social endeavors if such service contributes to the University's mission;
 - f. Acting as a representative of the University to a regional, national or international community.
2. Service to the Profession
 - a. Leadership within or service to professional organization(s);
 - b. Manuscript reviewer or Editorial Board member;
 - c. Professional consultation to a group or groups that can be documented;
 - d. Appointment to state and/or national posts in a scholarly capacity.
3. Service to the Community

VII. PROCESS: SEPARATION & GRIEVANCE

7.1 SEPARATION

At times, Sacred Heart University or individual faculty members may find it necessary to sever their contractual relationship. To protect the interests of both parties, categories of separation are here defined, and the policies and procedures related to each are set forth.

Types of Separation:

- A. Resignation
- B. Retirement
- C. Non-reappointment
- D. Prolonged mental and physical illness
- E. Layoff/termination
- F. Suspension or dismissal for cause

7.1.1 Resignation

Resignation is a severance action by which a faculty member voluntarily seeks to be released from a contract with the University. Because of the extreme hardship, which is often caused by untimely resignation, it is requested that all faculty members provide the earliest possible written notice of a request to resign. All resignations are subject to approval by the University. Ordinarily, the faculty are expected to give notice to their Department Chairperson, their College Dean and to the Provost and Vice President for Academic Affairs not later than thirty days after the date that contracts for the next year are issued. It is expected that, except in unusual circumstances, resignation will be effective at the end of the academic year.

7.1.2 Retirement

Any ordinary faculty member at Sacred Heart University who is eligible to retire, and who will be retired or pensioned, is deemed to have been separated from the University's services in good standing.

7.1.2.1 Status and Privileges of Retired Faculty Members

Sacred Heart University is committed to promoting close ties between itself and its faculty members who have reduced their teaching load or retired. To this end, the following assistance and privileges are available to these faculty:

- A. The University will provide meeting facilities for such former faculty members who may wish to meet as a group.
- B. After retirement, a faculty member may retain his/her Sacred Heart University identification card. This card provides access to Sacred Heart University's library, bookstore, campus parking permits, and its cultural, athletic, and educational events.
- C. Such a faculty member may take any course(s) at Sacred Heart University tuition free. Further, if a spouse and/or dependent is pursuing a degree program under the tuition remission plan specified in the Faculty Benefits Handbook in force at the time an ordinary faculty member fully retires, such benefits will continue until the spouse and/or dependent(s) has (have) completed his/her degree program.
- D. The office in charge of public information, at the request of such a faculty member and provided that this person keeps his/her current address on file, will assure that notices of major campus activities are sent to the retired faculty member.
- E. Retired faculty members may attend the meetings and other activities of their former Departments. However, only those who have active faculty status by current appointment may vote in these meetings and only in accordance with the voting rights attendant to the status they hold.
- F. All such faculty members may participate in the University's Commencement exercises with appropriate academic dress if they so wish.

7.1.3 Non-Reappointment

Legitimate reasons for non-reappointment of a Tenure track faculty member or Non-tenure Track Continuing faculty may include, but are not limited to, the following:

- A. cancellation of or change in a program;
- B. declining enrollment;
- C. need for reduction in staff;

- D. unfavorable reviews of the faculty member's major appointment responsibilities of teaching and/or advising;
- E. inadequate performance of the faculty member's other appointment responsibilities.

In order to facilitate relocation, the University will give faculty members serving under Tenure track or Non-tenure Track Continuing faculty contracts advance notice of the University's intent not to reappoint them for a subsequent academic year (See Section 3.14.3.1 – Notice of Non-reappointment). The decision not to reappoint a Tenure track or Non-tenure track Continuing faculty member is made at the sole discretion of the President except that any such decision may not be unlawfully discriminatory or unreasonable. The President shall act following completion of the evaluation process and in consultation with the appropriate faculty of the discipline and after consulting and receiving the recommendation of the Department Chairperson, appropriate College Dean and the Provost and Vice President for Academic Affairs.

If the faculty member is the Department Chairperson, the recommendation of the Provost and Vice President for Academic Affairs in consultation with the College Dean and appropriate faculty of the Department shall suffice. In cases where faculty believe that their non-reappointment has been discriminatory or in violation of customary procedures, they may commence a grievance. The burden of proof shall be on the faculty member. The review of the grievance shall be limited to determining whether the non-reappointment was motivated solely by unlawful discrimination or whether there was a violation of customary procedures.

7.1.3.1 Notice of Non-Reappointment

Notice of non-reappointment must be given in writing by the following dates:

- A. on or before March 1 of the first full academic year of service if the initial appointment is not to be renewed, or at least 90 calendar days prior to the expiration of an initial, one academic year appointment, if it expires during an academic year;
- B. on or before December 15 of the second full academic year of service if the appointment is not to be renewed, or at least 180 calendar days prior to the expiration of the appointment if it expires during an academic year; or
- C. at least one year before non-reappointment if the faculty member is in at least the third year of an Tenure track or a Non-tenure track Continuing appointment.

Since non-reappointment is not a dismissal for cause, it is not necessary for the University to set forth its reasons. The faculty member, however, is entitled to know the reasons for non-reappointment and, upon written request, to have the reasons given in writing. If the faculty member wishes to know the reasons for non-reappointment, the request should be made to the Provost and Vice President for Academic Affairs.

7.1.4 Prolonged Mental or Physical Illness

If a tenured faculty member is unable to perform all or a substantial part of his/her duties for a period of more than six months because of ill health or similar causes, he/she does not lose tenure but may request an indefinite leave of absence without pay until such time as he or she shall be able to resume teaching duties. A faculty member shall present medical evidence of his/her state of health to the Provost and Vice President for Academic Affairs.

The decision to terminate will be reached only after there has been appropriate consultation and the faculty member or his/her representative has been informed of the basis for the proposed action and has been afforded an opportunity to present his/her position and to respond to the evidence. If the faculty member so requests, the evidence will be reviewed by the Committee on Rank and Tenure before a final decision is made by the Board of Trustees upon the recommendation of the President.

In the event that a non-tenured faculty member is unable to perform all or a substantial part of his/her duties for a period in excess of six months because of ill health despite reasonable accommodation, the University may terminate the appointment at the end of a contract period.

Termination of a Non-tenured faculty member or a Non-ordinary faculty member for medical reasons before the end of the period of appointment will be based upon medical evidence that a faculty member is or will be unable to perform the terms, conditions, and normal duties of the appointment because of ill health despite reasonable accommodation. A faculty member shall present medical evidence of his/her state of health to the Provost and Vice President for Academic Affairs. The decision to terminate will be reached only after there has been appropriate consultation and after the faculty member or his/her representative has been informed in writing of the basis of the proposed action and the reasons for it.

The University will in each case work within the disability program to ease the burden of any such medical termination as far as is contractually possible.

7.1.5 Layoff Before Expiration of Current Contract

Layoff is a severance action by which the University terminates the services of an ordinary faculty member before the expiration of his/her current contract, without prejudice as to his/her performance. Faculty so laid off will have preference in rehiring.

Reasons for layoff are:

- A. Major changes in curricular requirements, academic programs, Departments, or Colleges;
- B. Enrollment emergency;
- C. Financial emergency.

7.1.5.1 Major Changes in Curricular Requirements, Academic Programs, Departments, or Colleges

Termination of a faculty member may occur as a result of discontinuing a Department, a curricular requirement, an academic program, or a College in whole or in part. (A "program" is an organized sequence of courses such as the requirements for a major or special educational projects such as the Honors Program.)

Decisions about such major changes are made by the Board of Trustees after receiving recommendations from the President in accordance with procedures described below.

Individual layoff decisions resulting from curricular changes will follow the "general procedures" and "order of layoff" described below.

Faculty laid off under a curricular change will receive notice according to the schedule above or at least one year's notice if on a continuous contract. The University will normally end such programs and the faculty member's relationship with the University at the end of an academic term.

Faculty terminated under this section have the same rights as those under Enrollment emergency or Financial emergency as delineated below.

7.1.5.2 Enrollment Exigency

Enrollment exigency shall be defined as either a sudden or unplanned progressive decline in student enrollment, the detrimental financial effects of which are too great or too rapid to be offset by those procedures outlined in The Handbook. (See Sections 7.1.5.4 – 7.1.5.7). The number of FTE students is calculated by the Registrar's Office and is used in determining an enrollment emergency.

The President, after consultation with the Council of the University Academic Assembly and the Board of Trustees, will make the declaration of a state of enrollment emergency to the University.

7.1.5.3 Financial Exigency

Financial exigency is a rare and serious institutional crisis, which is defined as the critical, urgent need of the University to reorder its current fund monetary expenditures in such a way as to remedy and relieve its inability to meet projected annual monetary expenditures with sufficient revenue.

The Finance Committee of the Board of Trustees establishes and annually reviews the criteria for determining a financial emergency and proposes modifications to the Board. The Board determines the degree of hardship that will constitute financial emergency in the subsequent fiscal year.

The Board of Trustees, upon recommendation of the President, who will have consulted with the Council of the University Academic Assembly, decides (a) if a financial crisis meets the criteria, and (b) whether a financial emergency should be declared.

Subsequently, the faculty, through the Committee on Rank and Tenure and the Council of the University Academic Assembly, shall be represented in administrative processes relating to program reorganization or the curtailment or termination of instructional programs because of financial emergency.

7.1.5.4 Specified Procedures Regarding Layoff

1. Once a state of enrollment or financial emergency has been declared, the Provost and Vice President for Academic Affairs in consultation with the Council of the University Academic Assembly shall recommend a plan of action addressing the emergency to the President. The President shall then recommend action to the Board of Trustees for their approval.

Deliberation of such actions shall consider the educational mission of the University, curriculum and program integrity, discipline and program evaluation data.

2. If an ordinary faculty member is to be laid off, no replacement for his/her position will be hired within a period of three years unless the terminated faculty member has been offered reappointment under conditions comparable to those held at the time of layoff and has been given 90 days after written notice of the offer of reappointment within which to accept in writing the reappointment.

7.1.5.5 Specific Procedures in the Event of Layoff

Once the discipline or academic program to be affected has been determined, the decision to lay off a particular faculty member shall be according to the following guidelines:

- A. Layoff of specific faculty shall be recommended to the President, who makes the final decision, by the Provost and Vice President for Academic Affairs in consultation with the College Dean and the Council of the University Academic Assembly.
- B. All tenured faculty will receive one year's notice from the date of officially receiving the decision of the Board of Trustees. Tenure track, Non-tenure track Continuing or Non-ordinary faculty will complete the current academic term in progress on the date of the decision by the Board of Trustees.
- C. Tenured faculty who have been laid off should be offered non-teaching positions in the University if there are openings for which they are qualified.
- D. The University should attempt to assist displaced tenured faculty to find employment in industry, government, or in other educational institutions.

7.1.5.6 Order of Layoff Within a Department or Program

The decision of layoff of a faculty member in a particular Department shall be according to the following procedures:

- A. Prior to involuntary dismissals, the possibility of voluntary early or phased retirements should be investigated.
- B. Involuntary Programs
 - 1. All administrators with faculty rank and current teaching appointments within a discipline should first be laid off from their teaching assignments except as necessary to avoid serious distortion of program integrity.
 - 2. All Non-ordinary faculty should next be laid off within the program or discipline involved except as necessary to avoid serious distortion of program integrity.
 - 3. Letter of Appointment faculty should next be terminated within the program or discipline involved except as necessary to avoid serious distortion of program integrity.
 - 4. In making a recommendation about the termination of the appointment of an untenured faculty member, the following criteria will be considered: program integrity, seniority, and academic qualifications.
 - 5. In making a recommendation about the termination of the appointment of a tenured faculty member, the following criteria will be considered: program integrity, rank, seniority, and academic qualifications.
 - 6. The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure except in extraordinary circumstances where a serious distortion of the academic program would otherwise result.
 - 7. When recommendations for layoffs are being considered, the Provost and Vice President for Academic Affairs shall provide the appropriate committees and interested parties with documentation supporting program integrity as well as rank, academic qualifications and seniority of pertinent faculty.

7.1.5.7 Appeals on Layoff

If the University issues notice to a particular faculty member of an intention to terminate the appointment because of reasons discussed above, the faculty member will have the right to a full hearing before a Grievance Committee. The layoff will not be delayed in the case that the grievance is not settled by the effective date; nor will the grievance procedure be interrupted or denied because of the layoff.

7.1.6 Dismissal for Cause

Dismissal for cause is a severance action by which Sacred Heart University terminates its contract with the faculty member for just cause.

Any teaching contract (tenured or untenured) is subject to action under this section. Dismissal for cause must be directly and substantially related to the fitness of a faculty member to continue his or her professional capacity as a teacher.

Dismissal will not be used to restrain a faculty member's academic freedom.

Dismissal proceedings may be instituted on the following grounds:

- A. professional incompetence;
- B. continued neglect of academic duties in spite of oral and written warnings;
- C. serious personal misconduct;
- D. deliberate and serious violation of the rights and freedom of fellow faculty members, administrators, or students;
- E. conviction of a crime directly related to the faculty member's fitness to practice his/her profession;
- F. serious failure to follow the canons and professional ethics of one's discipline;
- G. falsification of credentials and experience;
- H. failure to follow standards of the institution regarding faculty responsibilities as seen in the criteria stated in this Handbook after oral and written warnings;
- I. evidence of frequent faculty performance evaluations that are less than those which meet acceptable professional standards.

7.1.6.1 Dismissal Procedures

The Faculty Affairs Committee of the Council of the University Academic Assembly shall serve in an advisory capacity to the President who makes the decision on dismissal for cause. In every instance dismissal procedures shall include the following steps:

- A. Written notice to the faculty member from the Provost and Vice President for Academic Affairs that a recommendation for dismissal for cause will be made to the President. This notice shall contain a written statement of the grounds upon which the recommendation is to be made, and a brief summary of information supporting such grounds.
- B. A reasonable opportunity for the faculty member to meet with the Provost and Vice President for Academic Affairs and the College Dean to present his/her defense to the dismissal recommendation before the recommendation is made.
- C. A reasonable opportunity for the faculty member to meet with the President to present his/her defense to the dismissal recommendation if it is accepted by the President.

In any case involving dismissal for cause, the burden of proof that just cause exists shall be on the University.

The decision of the President may be the basis of a grievance before a Grievance Committee which shall review the case and make a recommendation to the President in accordance with procedures established in this Handbook.

7.1.6.2 Action Short of Dismissal

Depending on the circumstances, the President may elect to impose a disciplinary action short of dismissal for causes listed above. Disciplinary actions may include suspension for a period of time without pay and/or withdrawal of faculty privilege. In unusual circumstances, the President may take disciplinary action without previous citation or warning.

Suspension may also be the temporary separation of a faculty member from the University when it is determined by the President that there is a strong likelihood that the faculty member's continued presence at the University poses an immediate threat of harm to the University, to himself/herself, or to individual members of the University community. Such suspension shall be with pay and shall last only so long as the threat of harm continues or until dismissal for cause occurs.

In view of the past merits of the faculty member, final action by the President may take a milder form of temporary suspension rather than outright dismissal. Such suspension may not last beyond a full year but may entail the total or partial discontinuance of all salaries and benefits, the suspension of all promotion and salary increments and the temporary suspension or withdrawal of all faculty privileges.

The Faculty Affairs Committee of the Council of the University Academic Assembly shall serve in an advisory capacity to the President on such matters and shall be called upon to review cases where the faculty member questions the decision. The President's decision, after such a review, shall be final.

7.1.6.3 Progressive Discipline of Faculty Members

Discharge for cause should, in normal circumstances, be preceded by a written admonition by the appropriate administrative officer describing the alleged problem and warning that the faculty member's contract status is in jeopardy. The warning must also stipulate a period of time within which correction of the alleged problem is expected. If the faculty member does not contest the allegation and fulfills his/her duties, the matter is settled. If the faculty member fails to correct the negligence, dismissal procedures or a lesser sanction may be applied.

7.2 GRIEVANCE PROCEDURE

The University recognizes and endorses the importance of fair process and of adjusting grievances properly without fear of prejudice or reprisal. Accordingly, the University encourages the internal and prompt settlement of grievances by use of this process.

When a grievance has been filed with any outside agency, the Faculty Grievance Committee shall not hear the matter. Any grievance that has been filed and resolved by an outside agency cannot then be presented as a grievance within the University.

7.2.1 Definition

A grievance is defined as an allegation by a faculty member, or group of faculty members, that there has been:

- A. A violation of University policy or procedure as set forth in the Faculty Handbook;
- B. An infringement of the procedural rights of an employee or employees of the University as set forth in the Faculty Handbook;
- C. An infringement of professional conduct or academic freedom; or
- D. Discrimination based on race, color, sex, national origin, age, religion, marital status, sexual orientation, or disability, as provided for in Federal and State statutes as amended.

7.2.2 Informal Procedure for a Grievance

The necessary first step toward an informal solution is for the grievant to attempt personally to resolve the grievance with the other person or persons. This informal procedure normally shall not extend longer than a thirty-day period. It begins on the day on which the grievant calls upon the aid of the Department Chairperson or supervisor to attempt mediation.

This form of resolution can be best accomplished by a conference between the grievant and the Department Chair or most direct supervisor. If the grievant's distress arises from a decision of the Chair or supervisor and together they cannot work out a solution, or if the Chair or supervisor does not have the authority to

resolve a grievance, third party mediation on the part of the Deans and/or the Vice President for Academic Affairs can be helpful.

Nothing is publicly committed to writing at any stage of the informal procedure.

7.2.3 Formal Procedure for a Grievance

If, after the informal resolution and mediation process, there is no mutual agreement, then the faculty member may petition the Faculty Grievance Committee for a hearing. The petition shall be in writing, set forth in detail the nature of the grievance, state against whom the grievance is directed, and be transmitted to the Chairperson of the Committee.

A faculty member who believes that he/she has a grievance shall file a notice of grievance with the Faculty Grievance Committee Chair within 30 days of the conclusion of the informal process. It is the responsibility of the grievant to properly record the grievance within the specified time frame. The Faculty Grievance Committee, within its discretion, can dismiss a grievance if the applicant is not a person covered by the grievance process. In all events, the Faculty Grievance Committee shall conclude its consideration of the grievance petition within 120 days of its having been filed.

7.2.4 Investigation Process

The Faculty Grievance Committee shall have discretion to decide whether to hold a hearing, whether to conduct its own investigation of the facts, and whether to request additional facts from any person. Submission of a petition will not automatically entail investigation or a detailed consideration of the matter. If the Committee decides to hold a hearing, it shall hold the hearing within 30 days after receiving a petition, unless the Committee and the petitioner and the person complained against agree to a delay. The Committee shall deliver a copy of the petition to the person complained against not less than 10 days before any hearing. The Committee shall have the discretion to postpone a hearing during the months of June, July, and August. The Committee shall notify the petitioner and the person complained against of the time and place of the hearing a reasonable time before the hearing date. The petitioner and the person complained against may attend the hearing, may be accompanied by a representative who may not be an attorney at law, may present evidence in writing or by witnesses, and shall have the right to cross-examine witnesses and otherwise rebut evidence. The Committee shall seek to bring about a settlement of the grievance satisfactory to the parties.

A grievance hearing is not a formal judicial proceeding. Its ultimate purpose is to evaluate the fairness of the administrative action that gave rise to the grievance. To achieve that end, the hearing panel may exclude irrelevant issues or evidence, and can place reasonable limits on argument, on the presentation of evidence, and on the questioning of witnesses. The panel may decide when it has enough information to evaluate the merits.

Parties named in a grievance shall have a reasonable opportunity to respond to all charges brought against them.

To protect confidentiality and to promote free and open discussion, hearings shall be closed unless the parties agree in writing to some other arrangement, subject to approval by the Chair.

The Committee is authorized to request the appearance and testimony of any member of the University community.

Except as disclosures are reasonably necessary in the investigation, hearing, and final disposition of a grievance, the grievant, members of the Faculty Grievance Committee, and others having knowledge of a grievance are expected to preserve the confidentiality of the grievance, provided that any individuals accused in a grievance of misconduct shall be informed of the grievance and given the opportunity to respond to the charges.

A grievance may be withdrawn by the faculty member or group of faculty members at any time prior to a decision of the Faculty Grievance Committee. The withdrawal of a grievance shall not preclude the Faculty Grievance Committee from investigating the charges contained in the grievance or related matters.

7.2.5 Decision-Making

At the conclusion of a case, the Faculty Grievance Committee shall prepare a written summary of what it judges to be the central issues involved and a statement of its recommendations. This document shall be sent to the President of the University and to all of the principal parties to the case, modified as necessary to protect confidentiality or to reflect the varying ways in which parties may have been involved in the case.

The President shall receive a complete statement of the Faculty Grievance Committee's summary and recommendations.

The President shall respond to the report within thirty days, affirming, modifying, or referring back to the Committee. If the report is resubmitted, the Committee will reconsider the President's objections. It then resubmits the report, with any modifications, to the President to accept, modify, or reject the final recommendations. The President's decisions are then final.

If the President is the party against whom the grievance is filed, the Committee's recommendation shall be filed with the Secretary of the Board of Trustees and they shall consider the recommendation.

7.2.6 Faculty Grievance Committee

The Faculty Grievance Committee shall consist of seven tenured faculty members who shall be elected by the full-time members of the faculty who teach at least six (6) credit hours per semester. Said faculty members shall be elected as follows: three from the College of Arts and Sciences; one from the College of Business; one from the College of Education; one from the College of Nursing; and one from the College of Health Professions. Faculty members with a conflict of interest, bias towards, or involvement in any case brought before the Grievance Committee must recuse themselves from the case at hand. Said election shall take place during the same time when the elections for the Council of the University Academic Assembly are conducted in accordance with the same rules and procedures. The Committee shall elect a Chair from amongst its members.

VIII. REVISION OF THE FACULTY HANDBOOK

8.1 PROCEDURE FOR REVISION OF THE FACULTY HANDBOOK

The following procedure is adopted as an orderly process for the initiation and consideration of amendments to Parts of II – VII of The Faculty Handbook. The rest of The Faculty Handbook is not covered by this procedure, but is updated by the Board of Trustees and/or administrative action.

The University and the Council of the University Academic Assembly commit their good faith efforts to the process and to the end of achieving agreement on policy issues affecting faculty employment. That commitment shall not prejudice the responsibility and authority of the Board of Trustees to exercise their prerogatives to govern and administer the University.

The procedure outlined below is based on three interconnected principles:

- A. First, it tries to satisfy the need for an orderly manner of allowing all segments of the institution to contribute, each in a proper capacity, to the formulation or alteration of policy statements;
- B. Second, it attempts to make the process of revision effective by introducing into it the principle of self limitation, which prevents endless debate and allows particular issues to be brought to decisive action;
- C. Finally, it recognizes the fact that the adoption of policy, however formulated or proposed, is among the powers reserved to the Board of Trustees.

8.1.1 Proposed Amendments

Proposals for revising The Faculty Handbook can be made by the Board of Trustees, the President, the Provost and Vice President for Academic Affairs, a College Dean, the Faculty Affairs Committee of the Council of the University Academic Assembly or any person or quasi-person (e.g., committee, council) connected with the University. While the manner of making such proposals is a matter of individual style and custom, it is nevertheless recommended that:

- A. Proposals be made in the form of texts intended to replace, in whole or part, some current expressions of the Faculty Handbook;
- B. A brief explanation of the reason(s) for proposing the revision accompany the proposal; and
- C. Recognized governing bodies or committees pass upon such proposed amendments by their own procedures (e.g., the Board of Trustees) or by a simple majority vote of the voting membership of such a body or committee.

8.1.2 Processing of Proposals

- A. Wherever proposals originate, they will be considered by the Faculty Affairs Committee of the Council of the University Academic Assembly. Without prejudice to its procedures, this committee, upon receipt of a revision proposal, may choose one of the following courses of action:
 1. It may receive and transmit it to the President and Council of the University Academic Assembly without change or comment;
 2. It may endorse it and attach its endorsement to the original proposal;
 3. With the consent of the submitter, it may either alter or amend a proposal before transmitting it to the President and Council of the University Academic Assembly;
 4. If the submitter does not agree to such alterations or amendments, the Faculty Affairs Committee of the Council of the University Academic Assembly may object to the proposal and attach its objections or amendment before sending it to the President and Council of the University Academic Assembly.
- B. The Council of the University Academic Assembly shall accept or reject the amendment(s) by a simple majority vote of that body. Council of the University Academic Assembly may modify the proposal and accept the modification, or may return the proposal to the Faculty Affairs Committee of the Council of the University Academic Assembly for further work or modification.

8.1.3 Role of the President

- A. Action of the Council of the University Academic Assembly shall be conveyed to the Provost and Vice President for Academic Affairs for his/her comment and transmission to the President.
- B. The President may accept, reject, or remand the proposal in respect to the proposed amendment(s) and shall submit his action to the Board of Trustees for their approval.

- C. Should the President disagree with the Council of the University Academic Assembly's action, the President, the Faculty Affairs Committee of the Council of the University Academic Assembly, and the President of the Council of the University Academic Assembly shall meet to discuss the next steps, which may include further study, modification, and/or resubmission of the proposal to the two bodies within the time frame for modification of the The Faculty Handbook. Such a timetable shall be set each year by the President, the President of the Council of the University Academic Assembly, and the Chairperson of the Faculty Affairs Committee of the Council of the University Academic Assembly. Normally action by the Council of the University Academic Assembly and the President on amendments will take place by the end of the first semester so that the Board of Trustees may consider the revised amendments at their winter meeting.
- D. Any proposed amendment not approved by the President by the deadline shall be considered rejected for that year except as the proposed amendment has been approved by the Board of Trustees. It may be resubmitted for the next assigned period of review if a simple majority of the Faculty Affairs Committee of the Council of the University Academic Assembly vote to resubmit the proposal(s).

8.1.4 Board of Trustees Approval

- A. Proposals submitted by the President shall be acted on by the Board of Trustees.
- B. Before definitive action on revision proposals, the Board of Trustees may commission an authorized subcommittee of its members to meet with the President, the Faculty Affairs Committee of the Council of the University Academic Assembly, and the President of the Council of the University Academic Assembly to discuss final adjustments in the revised texts.
- C. The revision process is concluded in accordance with the action of the Board of Trustees. This action is either an approval and promulgation or a rejection of the proposed revision. In either case, proposals thus acted upon cannot be proposed for revision under this procedure until the next authorized period under the provision of resubmission as provided above.

8.1.5 Emergency Procedure

When the President, the Faculty Affairs Committee, and the President of the Council of the University Academic Assembly agree that in the best interests of Sacred Heart University a modification in Parts I-IV of The Faculty Handbook is necessary, they may petition through the President of the University and the Chairperson of the Executive Committee of the Board of Trustees for a special Board review of a specific change at the next Board regular or emergency meeting. It shall be fully at the discretion of the Board of Trustees to accept or reject such a petition.

8.2 GENERAL RULES OF IMPLEMENTATION

- A. Any amendments of the provisions of The Faculty Handbook contained in Parts I-VII, will take effect and be a part of the next offer of employment extended to any faculty member by the University. For faculty on contract periods other than the academic year, the amendment shall be effective for and incorporated into any offer of employment scheduled to commence after the beginning of the academic year next succeeding the academic year in which the amendment was adopted. Any grandfathering provision will be specific to a given policy and so noted in specific language. In other parts or sections not specifically addressed above, changes may be effected at once by the directive of the President and/or Board of Trustees as appropriate. Such changes, however, may not be in substance inconsistent with Parts I-VII.

- B. The Faculty Handbook will be available on-line to all faculty at Sacred Heart University. All members of the faculty are responsible for making themselves aware of the contents of the Faculty Handbook.
- C. The Faculty Affairs Committee of the Council of the University Academic Assembly is responsible for monitoring, maintaining documentation of, and implementing changes to the on-line Handbook as such changes complete the full approval process.
- D. A copy of The Faculty Handbook with current revisions will be available for inspection during regular hours at the Offices of the Provost and Vice President for Academic Affairs, College Deans and the President of the Council of the University Academic Assembly, as well as the Sacred Heart University Library.
- E. Proposals under discussion by the Board of Trustees have no status whatsoever, not even a promissory one, until final action by the Board has been taken and until the above effective dates have been followed.