

Augustana University

Faculty Handbook

2021-2022

As of 10/2021

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## ***Section One: Administrative Structure of Augustana University***

### **I. History, Mission, Accreditation, and Ownership**

In the early days of this country, higher education was dominated by religious private colleges. Religious groups saw higher education as a means to provide leadership for their churches, schools, and communities. Scandinavian immigrants were no exception. Augustana University began with the foundation of Hillsboro Academy in Hillsboro, Illinois, in 1835. By 1846 a Scandinavian Lutheran group had changed the name to "The Literary and Theological Institute of the Lutheran Church of the Far West."

The institution moved with the tide of immigration into America's West. The school was moved to Springfield, Illinois, where it became Illinois State University. Among its students were John Hay, who later became the nation's Secretary of State, and Robert Todd Lincoln, son of Abraham Lincoln.

In 1860, because of differences over matters of doctrine, Professor Lars Paul Esbjorn and a group of followers moved to Chicago and established The Augustana College and Seminary. Professor Esbjorn was the first president. The University has chosen to mark this institution as its beginning. The name Augustana is drawn from the origin of the Lutheran Church in the Augsburg Confession. The Latin designation of this document is the *Confessio Augustana*. Following the Civil War, the fledgling college was caught up in the westward movement of pioneers. The school moved with its constituents to Paxton, Illinois in 1863; and then in succession to Marshall, Wisconsin, in 1869; to Beloit, Iowa, in 1881; and to Canton, South Dakota, in 1884.

In 1918, following the union of three Lutheran synods, the College was moved to Sioux Falls, where it merged with the Lutheran Normal School to form the present institution.

### **II. The Mission of Augustana University**

Inspired by Lutheran scholarly tradition and the liberal arts, Augustana provides an education of enduring worth that challenges the intellect, fosters integrity, and integrates faith with learning and service in a diverse world.

### **III. Accreditation**

Augustana is accredited as a four-year institution by the Higher Learning Commission (HLC) of the North Central Association of Colleges and Schools (NCA). The teacher education programs, are approved by the the South Dakota Department of Education (DOE). All graduate degree programs are also approved by the Veterans Administration under Title 38, U.S. Code in accordance with VAR 14253 and 14273.

The baccalaureate and graduate programs in nursing are accredited by the Commission on Collegiate Nursing Education (CCNE) and are fully approved by the South Dakota Board of Nursing.

The University also currently holds professional accreditation in the following organizations: Accreditation Council for Genetic Counseling, Commission Accreditation of Athletic Training Education, Committee on Professional Training of the American Chemical Society and National Association of Schools of Music.

Augustana is authorized under federal law to enroll non-immigrant students from other countries.

### Partnerships and Memberships

Augustana University is an active member of and participant in numerous other professional learned societies and groups. Participation and membership can ebb and flow based on alignment with strategic outcomes across the institution. Below is a list of organizations with which Augustana has recently been engaged, but is not meant to be exhaustive:

- American Association of University Women (AAUW)
- Association of American Colleges and Universities (AAC&U)
- Council for Independent Colleges (CIC)
- Lutheran Educational Conference of North America (LECNA)
- The Network of ELCA Colleges and Universities (NECU)
- South Dakota Foundation of Independent Colleges SDFIC)
- Collaboration for the Advancement of Teaching and Learning

## **IV. Statement of Ownership**

Augustana University is owned by a non-profit corporation called the Augustana University Association. The membership of this corporation consists of the membership of all congregations of the ELCA, or its successor, in the synods of South Dakota, Nebraska, Southwestern Minnesota, and Western Iowa. The Association is incorporated under the laws of South Dakota, and functions through a Board of Trustees.

## **V. Augustana University Core Values**

During the 1994-95 academic year, the Mission and Values Committee, in consultation with the various constituencies of the University, sought to make explicit what are believed to be the implicit core values of Augustana. This effort was preliminary to reviewing the University's mission statement. Each of the five identified value words is followed by a definition that sums up the essence of the value as it informs the University mission. Each of these definitions in turn is followed by a series of characteristics which indicate how the value is expressed or should be expressed in the daily life of the institution and its people.

The core values and mission statement were reviewed and reaffirmed by the President's Council and Board of Trustees during the 2018-19 strategic planning process.

## **A. CHRISTIAN**

By being a university of the Evangelical Lutheran Church in America.

Characteristics: Centering on worship, welcoming all faiths, nurturing the search for a mature religious faith, relating Christian faith and ethics to learning and service.

## **B. LIBERAL ARTS**

By providing an education of enduring worth.

Characteristics:

Affirming teaching and learning as central and lifelong, fostering a broad understanding of humans and their interactions, enriching lives by exposure to enduring forms of aesthetic and creative expressions, developing broad knowledge and skills crucial in a changing world, creating awareness of one's own religious and ethical beliefs and those of others, cultivating health and wellness.

## **C. EXCELLENCE**

By committing to high standards and integrity.

Characteristics:

Practicing faithfulness in teaching, learning, supporting and administering, nurturing potential, challenging the intellect, acting ethically, recognizing achievement.

## **D. COMMUNITY**

By caring for one another and our environments.

Characteristics:

Responding to needs, respecting human differences, empowering one another, tending to the ecology of place.

## **E. SERVICE**

By affirming that wholeness includes reaching out to others.

Characteristics:

Accepting the call to servant-hood, promoting justice, integrating career and service, serving church and society.

## **VI. Administrative Structure**

### **A. Board of Trustees**

1. The management of the business affairs of the corporation, supervision of the curriculum and instruction, and policies of the University are vested in the Board of Trustees. The Board of Trustees membership is limited to no fewer than fifteen members and no more than thirty members, including the President of the University,

who serves as an ex officio (non-voting) member of the Board. A simple majority of the Trustees are required to be members of the ELCA.

2. The term of office for members of the Board of Trustees is three years, and they may serve no more than four consecutive terms; however, a trustee's service as Board Chair does not count toward these years-of-service limitations. Normally, no more than one-third of the membership of the Board shall be elected at any meeting of the corporation, except that additional Trustees may be elected to fill vacancies.

The faculty elects three of its members to serve as voting advisors to the Board of Trustees, as described in Part VII of the Faculty Constitution. These voting advisors receive notice of all meetings of the Board; attend all such meetings; and receive minutes of all meetings of the Board. The non-voting advisor elected as the representative of the faculty has privileges of the floor to speak during general meetings of the Board.

3. The full Board meets at least three times per year to set general policy and to act upon major items of business. The Executive Committee consists of the Board chair, vice chair and secretary, and the chairs of the Board's standing committees.
4. Other Board committees may be designated by a majority of the Trustees. These committees will continue only for the period designated in the resolution creating such committees.

#### **B. President of Augustana University**

1. The President is elected by the Board of Trustees, with the term determined at the time of election. The President is the chief executive officer of the University and the official advisor to and executive agent of the Board of Trustees and its Executive Committee. As educational and administrative head of the University, the President exercises a general superintendence over the affairs of the institution and brings such matters to the attention of the Board as appropriate. The President has the power, on behalf of the Trustees, to perform all acts and execute all documents to make effective the actions of the Board and its Executive Committee, and has authority to hire, supervise, and discharge any person employed by the University.
2. It is the responsibility of the President to maintain an effective administrative structure and to appoint able people to administrative positions. The welfare of the University as a whole depends upon an effective administration, and the President shall seek counsel and advice from groups and individuals as the President deems appropriate. The following description of the administration of the University and the appended organizational charts were current when they were inserted into the Handbook. These are not to be considered binding upon the President of the University or successors in terms of structure or procedures. Circumstances may make it necessary and appropriate for the President to revise the administrative structure and procedures of appointment for the best welfare of Augustana.

### 3. The President's Cabinet

- a. Executive Vice Presidents and certain other positions as determined by the President comprise the President's Cabinet. The Cabinet advises the President on the business operations of the University, staffing and personnel matters, annual budgets and enterprise goals, and other priorities of campus constituencies. These individuals serve at the pleasure of the President.

#### Provost and Executive Vice President

In collaboration with the President and other executive vice presidents, the Provost oversees the internal affairs of the University, and:

- a. Serves as the chief academic officer of the university, its colleges, schools, academic and student support services and various centers.
- b. Directs and coordinates all academic programs, provides leadership in the formulation of academic policies and programs, and serves as the primary adviser to the President on the academic affairs of the University.
- c. Serves as the administrative head of the University when the President is absent from the campus for an extended period.
- d. Appoints Deans and Division Chairs with approval of the President and works closely with them to guide the development, delivery, ongoing assessment of all academic programs and learning experiences.
- e. Ensures that academic and student affairs departments and programs are integrated and effective, and works closely with Campus Ministry to help advance the university's mission to integrate faith with learning and service.
- f. Ensures effective management of the Registrar's Office, Institutional Research and Assessment, the Dean of Students Office, the Student Success Center, the Mikkelsen Library, the International Programs Office, CIVITAS (honors program), the Office of Diversity, Equity & Inclusion, and various centers, including but not limited to the Center for Excellence in Teaching and Scholarship, the Center for Interdisciplinary Studies, and the Center for Western Studies.
- g. Appoints deputy, associate and/or assistant provosts and directors to advise the Provost on matters regarding academic and student life policies, procedures and programs, and to help administer the operations of academic affairs and student affairs, including but not limited to, General Education, Graduate and Continuing Education, faculty professional development, First-Year Seminar, global education, academic and career advising, student services, disability accommodations, experiential learning, student and community engagement,

residence life, institutional assessment, interdisciplinary programs, teaching and scholarship, registration/scheduling, catalogue/academic records management, collaborative programming and community outreach, instructional design, library services, and management of centers for educational programming. These individuals serve at the pleasure of the Provost.

1. Chief Financial Officer & Executive Vice President.

In collaboration with the President and other executive vice presidents, the Chief Financial Officer (CFO) oversees the internal affairs of the University, and:

- a. Provides leadership in the areas of institutional planning, budgeting, and financial analysis; enrollment management, admissions and financial aid; human resource management; information technology; facility services, project management, and grounds management; contract management, risk management and logistics.
- b. Supervises university concerns related to investments, deferred giving management, and debt management.
- c. Responsible for the operation of the business office and for record keeping for general university finances, student organizations, employee payroll, the physical plant and financial aid.
- d. Appoints vice presidents, associate and assistant vice presidents, and directors to advise the CFO on multi-year operating plans and to supervise the various departments responsible for finance and administration functions.

2. Chief Strategy Officer & Executive Vice President:

In collaboration with the President and other executive vice presidents, the Chief Strategy Officer (CSO) oversees the internal affairs of the University, and

- a. Leads the strategic planning process and engages campus stakeholders while adhering to the direction set by the President and the Board of Trustees.
- b. Directs and coordinates strategy execution, measures performance and progress toward strategic goals, and, working collaboratively with the President and other executive vice presidents, reports progress to internal and external constituencies.
- c. Provides leadership in the areas of institutional advancement, including development, enterprise data analytics, alumni relations and engagement, community relations and strategic partnerships, communications and marketing, and events management in order to provide the financial and other resources necessary to support and facilitate the academic programs and mission of the University.
- d. Appoints vice presidents, associate and assistant vice president, and directors to advise the CSO on matters related to the implementation of the strategic plan, capital campaign, and other initiatives, and to supervise the various departments responsible for advancement activities.

Other members of the President's Cabinet may include a Chief of Staff, Vice President for Human Resources, Dean of Students, Administrative Campus

Pastor, Director of Athletics, and any other individual as determined by the President.

**C. The President's Council.**

The President's Council consists of the President, the President's Cabinet, the Division Chairs of the College of Arts and Sciences, the Dean of the Schools, the Executive Assistant to the President, and any other individuals as determined by the President. The Council advises the President regarding university policies, operational priorities, strategic initiatives, and other matters that need oversight and resolution, and coordinates the activities of the various departments and functions of the University.

## **VII. Academic Sector Organization**

The academic sector of the University follows the organizational form of the College of Arts & Sciences and Schools (Business, Education, Health Professions, and Music). Divisions (Humanities, Natural Science, and Social Science) and Departments exist within the College of Arts & Sciences, and Programs exist within the Schools. Each of the three divisions is chaired by an individual appointed to that position by the Provost with the approval of the President; academic departments are associated with the applicable division. Each of the Schools is led by a Dean appointed to that position by the Provost with the approval of the President; graduate and undergraduate programs are associated with the applicable School.

The College of Arts & Sciences is home to the Center for Interdisciplinary Studies; the Schools may also house academically appropriate Centers, as determined by the Provost in consultation with the appropriate Dean and the President.

### **Provost's Faculty Cabinet**

Provosts, College of Arts and Sciences Division Chairs, and certain other positions as determined by the Provost comprise the Provost Faculty Cabinet. The Cabinet advises the Provost on the operations of the College of Arts & Sciences, the Schools, and the Centers specific to their respective areas.

The Cabinet meets regularly throughout the academic year to consider issues pertaining to a range of topics, including budgets and budgeting, schedules and scheduling, strategic planning, professional development, continuous improvement, the landscape in higher education, curricular and co-curricular integration, and pressing issues pertinent to all academic programs. The individuals on the Cabinet serve at the pleasure of the Provost.

### **Provost's Administrative Council**

Administrative leaders from Academic Affairs, Student Affairs, and other positions determined by the Provost comprise the Provost's Administrative Council. With a focus on understanding and improving an integrative and supportive student experience, the Council meets regularly to advise the Provost on matters regarding policies, procedures, and programs.

The Council serves to evaluate and administer the operations of academic affairs and student affairs, including, but not limited to, First-Year Seminar, global education, academic and career advising, student services, disability accommodations, experiential learning, student and community engagement, resident life, institutional assessment, teaching and scholarship, registration/scheduling/catalog/academic records management, collaborative programming and community outreach, library services, and management of centers for educational programming and student health and wellbeing.

The organizational form of the academic sector is intended to serve the best interests of the University, its faculty and students, and to facilitate collaboration and integration between and across divisions and schools with broader community constituencies.

**A. Division Chairs (09/2021)**

1. Appointment: The Division Chairs shall be appointed by the Provost, who shall consult with each Department Chair and other faculty in the Division prior to making an appointment. Normally, Division Chairs shall be appointed for three (3) year terms with a maximum of two consecutive terms. Division Chairs may be removed for cause. Division Chairs are the chief administrative officers of their Divisions, through regular Divisional meetings and through personal consultation with their divisional colleagues, they shall involve members of their Division in the decision making. Division Chairs may choose to delegate certain administrative duties.
2. Compensation for Division Chairs: Division Chairs may receive a contract of ten or twelve months, depending upon the needs of the Division, Provost and President's Council. Division Chairs may have a teaching reduction of three courses (Humanities and Social Sciences) or 12 contact hours (Natural Science) per year plus an administrative stipend.
3. Division Chairs and Support Services: The Division Chair will have the support of Division Coordinators to facilitate the academic, professional, and administrative activities of the division. Division Chairs should exercise particular care to assure uniform access to Division Coordinators by all departments and faculty of the division. Priorities and the use of time and services of the Division Coordinators should be established by the Division Chair with appropriate sensitivity and consideration for the perspectives of the coordinators and the divisional faculty. The Division Chairs will evaluate the Division Coordinators. Division Chairs will verify the time cards of Division Coordinators.
4. Major Responsibilities of Division Chairs: Division Chairs will provide academic and administrative leadership for the Divisions to promote and ensure alignment with university-wide strategic plans and initiatives. Division Chairs will be supportive of the academic programs of their divisions. They will convene and preside at division meetings and at meetings with the Department Chairs of the division. Both short- and long-range planning will be among the concerns of such meetings. Service of the Division Chairs on the Faculty Personnel Council, the Provost's Faculty Cabinet, and the President's Council, and in Department Chair/Program Director meetings, and

Board of Trustees, committee meetings make concrete their responsibilities in the inter-related areas of planning and personnel. These assignments serve as opportunities to foster the strength of the division within the university and to serve as a bridge among the Divisions, the Schools, and the administrative body of the university. Outgoing Division Chairs will orient their successors to the responsibilities of the position.

- a. Budget: The Division Chairs will supervise the expenditure of the annual budget of their divisions. The Division Chairs will collaborate with the Provost and the CFO to identify priorities and to allocate funding of the annual budget of their divisions. Division Chairs may consult with Department Chairs regarding the department's annual budget requests and make recommendations concerning these requests to the Provost.
- b. Personnel Faculty: The Division Chairs will participate in the selection of all teaching personnel in their divisions in consultation with the Provost and the Department Chairs. They will help in the preparation of portfolios for faculty eligible for pre-tenure and promotion. Division Chairs will initiate formal records of aggrieved conduct per guidelines in the Faculty Handbook and house those records with Human Resources. Division Chairs may actively participate in a grievance process.
- c. Personnel Administrative: Division Chairs will be involved with the Provost in the selection and reappointment of Department Chairs and Division Coordinators. Division Chairs will consult with the Provost in evaluating the performance of each of their Department Chairs, paying particular attention to administrative responsibilities. Division Chairs will evaluate Department Chairs annually.
- d. Staff Size and Use: The Division Chairs will work with Department Chairs and the faculty of each department, the governance system, and the administration to promote adequate staffing, efficient and effective faculty use, and adequate support to aid the achievement of departmental responsibilities. They will work with the Personnel Council and the administration in an ongoing review and adjustment of staff size within and between divisions and departments. They will be concerned with proposals for staff additions as well as with faculty retention, redeployment, and reduction. They will work with the Provost's Office to evaluate divisional and institutional balance among programs, the needs of individual departments, and overall budget realities. They will help to foster and maintain good working relationships, they will actively support the creation of a culture of mutual valuing and respect within and among the departments and among divisions.
- e. Supervision of the Instructional Program: The Division Chairs will assist in the coordination of scheduling course offerings among the Departments. In resolving schedule conflicts, the Division Chairs will give student needs and divisional coordination precedence over departmental convenience. They will demonstrate particular concern for encouraging periodic review and evaluation in order to

strengthen departmental offerings. They will support adequate provision for classes and other activities-including space, equipment and staff, Division Chairs will serve with Deans as building managers for the facilities in which their divisions and schools are principally located. Division Chairs will make decisions about office allocation upon vacancies and/or departmental shifts in size/needs and will advocate for continued maintenance and upgrades for the building.

- f. Students: Division Chairs will be familiar with and encourage the many departmental student-centered activities, including advising, counseling, instruction, and research. They will serve as channels of communication and as agents for conflict resolution in divisional matters of concern to students.
  - g. Alumni: Division Chairs will encourage and support departmental and university efforts to maintain good communications and cordial relations with alumni.
  - h. Advancement: Division Chairs will collaborate with the Advancement Office on fundraising initiatives and other development activities and opportunities specific to the academic programs in their areas.
  - i. Program Accreditation: Division Chairs will provide support to Departments seeking to achieve or maintain program accreditation and membership in appropriate professional organizations.
  - j. Community Service: Division Chairs are expected to fulfill all their obligations as faculty members and to participate in committees, task forces, and other groups to which they are assigned by the Provost or President. They are expected to participate fully in the life of the campus, by attending all-university events and events sponsored by Departments in their division. Whatever their involvement, either on-campus or off-campus, Division Chairs should view themselves as representatives of the University as well as individual faculty members and should recognize that they will be perceived by many others in the same way. Division Chairs will always carry out their duties and responsibilities in the spirit of Augustana as a church-related university.
5. Evaluation of Division Chairs: Division Chairs will be evaluated as faculty by the chair of the department in which they have their teaching assignment, in the same manner as all other faculty members. The Provost will evaluate them annually as Division Chairs by soliciting input from the Department Chairs, divisional faculty, and Division Coordinators as well as President's Council members. It is the Provost's responsibility to orient Division Chairs to their duties and to counsel them regarding their performance. Division Chairs' teaching will be evaluated in the same manner as other tenured faculty members.
6. Incapacity of Division Chairs: The incapacity of a Division Chair will be dealt with in the same manner as the incapacity of a faculty member since Division Chairs are. Should

relief from their responsibilities be deemed necessary either in the short term, or on a permanent basis, the Provost will appoint a replacement Division Chair.

### **B. Department Chairs (09/2021)**

Department Chairs are the chief administrative officers of their departments; and through regular departmental meetings and personal consultation, they shall involve their faculty in decision making. Department Chairs may choose to delegate administrative duties.

- a. Appointment: In consultation with members of the Department and the appropriate Division Chair, the Provost shall appoint Department Chairs, Department Chairs may receive contracts of ten months' duration if departmental size and demand necessitate such an arrangement. If Department Chairs under a nine-month contract are not involved in the university's summer session, the Provost may delegate a departmental colleague to serve as acting Chair during their absence. Normally, Department Chairs shall be appointed for a term of (3) years and may serve a maximum of two successive terms.
- b. Compensation for Department Chairs: Compensation for Department Chairs will be based on their salary as faculty members, except that as Chairs they shall receive an additional stipend in recognition of their added administrative responsibilities. The teaching load will be determined by the Provost in consultation with the Division Chair. The teaching load for Department Chairs may be reduced based on the following:
  - (1) reduction of one course per year for departments having four or more full-time faculty.
  - (2) and reduction of more than one course per year for departments where accreditation standards and/or unusually large responsibilities make this appropriate.

Department Chairs may apply to the Provost for travel monies when it is necessary for them to represent the department at accreditation meetings and professional meetings crucial to their program(s).

1. Department Chairs and Support Services: Clerical and/or technical support appropriate to the size and complexity of the department may be available to Department Chairs so that they are free to fulfill their academic and administrative assignments.
2. Major Responsibilities of Department Chairs

- a. Planning: Department Chairs will be strong proponents for academic excellence and continuous improvement. They will be responsible for the academic and scholarly vitality of their departments through positive leadership and short -, and long-term planning. In consultation with department members and pertinent students, they will propose and implement progressive changes in curriculum and programs ensuring that standards are maintained for course content and for assessment objectives. Department Chairs will make best use of the available financial and human resources. They will work with Division Chairs to encourage and facilitate the professional growth of their faculty and staff members, paying special attention to the needs of new department members. They will counsel new faculty in a clear and supportive way regarding the criteria for achieving tenure and/or promotion. They will support and facilitate the creative and scholarly activities of their colleagues.
- b. Assessment: Department Chairs will complete annual assessment reports for internal review and for periodic review by the university and external accreditors. They will document the use of assessment data for continual improvement as part of the process. For accredited program, Department Chairs will ensure that accreditation standards and requirements of regulatory agencies are met, including facilitating interdepartmental committees to ensure program requirements (assessment, resources, curriculum, and other relevant requirements).
- c. Budget: Department Chairs are charged with the budget (except payroll) of their departments. As chief fiscal officers for their departments, they are responsible to the Provost for operating within their budgets, and they will authorize all expenditures from the departmental budget. In consultation with members of their department, they shall prepare budget requests for departmental needs.
- d. Personnel – Faculty: Department Chairs will evaluate the members of their department, and in consultation with them shall make personnel recommendations to the Division Chairs, to the Provost, and to the Faculty Personnel Council concerning leaves, retention, promotion, and tenure. They will arrange and negotiate with the Division Chairs and the Provost the teaching and other responsibilities of departmental faculty. Department Chairs may serve as arbiters in conflicts involving faculty versus faculty and faculty versus student.
- e. Faculty Evaluation: Department Chairs will provide input and/or complete annual evaluations of all departmental faculty and staff in collaboration with the Division Chair. It should be noted that only one evaluation will be completed per faculty member. Those who complete annual evaluations will make personnel recommendations to the Division Chair, to the Provost, and to

the Faculty Personnel Council concerning leaves, retention, promotion, and tenure.

- f. Personnel-Administrative Support. Department Chairs will request and supervise the clerical and technical personnel (including students) assigned to their departments. Department Chairs will collaborate with Division Chairs to promote adequate staffing, efficient and effective faculty use, and adequate support.
- g. Students: Department Chairs will supervise the academic advising system within their departments in coordination with the Registrar and the Student Success Center. They will ensure proper professional/vocational counseling of graduating majors. Chairs will serve as channels of communication to students relative to departmental standards and policies, and they will ensure that students meet said standards and fulfill all special requirements. At the same time, they will serve as advocates for students where necessary and appropriate. Finally, Department Chairs will recommend special recognition that may be due individual students.
- h. Faculty Recruitment: Department Chairs normally will serve as the chairs of search committees when faculty additions or replacements are approved. In this role, they are responsible for following the procedures established by the Provost regarding the faculty search process.
- i. Professional Relationships: When appropriate, Department Chairs will provide leadership in achieving and maintaining program accreditation and membership in professional organizations.
- j. Supervision of the Instructional Program: Department Chairs will prepare schedules of curricular offerings based on student needs and available resources, submitting the schedules to the Registrar in a timely manner. Department Chairs will prepare lists and descriptions of curricular offerings for inclusion in the university catalog. They will ensure adequate provision for classes and other activities – including space, equipment, faculty, etc. They are charged with equipment maintenance; office-area maintenance if appropriate; providing instructional materials, and office supplies. They will supervise all curricular procedures related to the maintenance of standards including outside consultants, class visitation, syllabus review, student performance evaluations, in-service seminars, and workshops.
- k. Student Recruitment: Department Chairs provide leadership in establishing and maintaining close communication with the Admission Office in order to provide support to the student recruitment process.
- l. Community Service: Department Chairs are expected to fulfill all of their obligations as faculty members and to attend and otherwise take part in

committees, task forces, and other groups to which they are assigned by the Division Chair or Provost. They are expected to participate fully in the life of the campus, by attending all-university events and events sponsored by their Department. Whatever their involvement, either on-campus or off-campus, Department Chairs should view themselves as representatives of the University as well as individual faculty members and should recognize that they will be perceived by many others in the same way. Department Chairs will always carry out their duties and responsibilities in the spirit of Augustana as a church-related university.

- m. Alumni: Department Chairs will cooperate with the Alumni Office in establishing a program which maintains direct contact with alumni.
- n. Communication with the Administration and Other Departments: Department Chairs will serve as channels of communication between the administration and faculty and as advocates for faculty to the administration. The Provost, in consultation with the Division Chairs and Deans, will convene the Department Chairs and Program Directors on a regular basis to discuss matters of common concern, including orientation and training of new Department Chairs. As a body, the assembled Department Chairs will serve only in an advisory capacity to the Provost.
- 3. Orientation and Evaluation of Department Chairs: It is the Division Chair's responsibility to orient Department Chairs to their duties, and to counsel them regarding their performance, and in consultation with the Provost, to conduct an evaluation annually.
- 4. Incapacity of Department Chairs: The incapacity of a Department Chair will be dealt with in the same manner as the incapacity of a faculty member because Department Chairs are essentially and fundamentally faculty members. In the role of Chair, however, relief from those responsibilities will be provided for, either in the short term or on a permanent basis, by a replacement appointed by the Provost in consultation with the appropriate Division Chair.

### **C. Deans (09/2021)**

- 1. Appointment: In consultation with the School faculty, as well as with the President and Executive Vice Presidents, the Provost will appoint the Dean. Deans are not subject to term appointments. Deans may be removed for cause. Deans are the chief administrative officers of their Schools, and through regular School meetings and through personal consultation with their faculty, they shall involve members of their School in the decision making. Deans may choose to delegate certain administrative duties.
- 2. Compensation for Deans. Deans receive a contract of twelve months. Deans are faculty members first, and as such are expected to teach in their area of

expertise. The teaching load is commensurate with administrative responsibilities and is determined in consultation with the Provost.

3. Deans and Support Services: Deans will have administrative support to facilitate the academic, professional, and administrative activities of the Schools. The Dean will evaluate administrative support staff.
4. Major Responsibilities of Deans: Deans will provide academic and administrative leadership for the Schools to promote and ensure alignment with university-wide strategic plans and initiatives. Deans will provide leadership for the Schools in 1) communicating a vision for professional education that embraces the liberal arts; 2) developing and defining professional and innovative programs in collaboration with Division Chairs, Program Directors and Faculty; and 3) facilitating the continual evaluation and improvement of existing programs. Deans will enhance the visibility, enrollment, and community/regional impact of the Schools and the University by forging relationships with local/regional constituencies and other stakeholders, such as alumni. Deans will work with the Provost, the President, and the Advancement Office to establish and oversee strategic partnerships.

Deans will take responsibility for the academic and scholarly vitality of their Schools. Strong proponents for academic excellence and continuous improvement in all existing and eventual degrees, pathways, and certificate programs, Deans will collaborate with Division Chairs to lead Division/School meetings. Deans will serve on the Provost's Faculty Cabinet, President's Council, and at Board of Trustees and Department Chair/Program Director meetings, a combination of obligations which makes concrete their responsibilities in the inter-related areas of planning and personnel. These assignments serve as opportunities and responsibility to foster the strength of the School within a strong university and to serve as a bridge among the Schools and the Divisions of the College of Arts and Sciences, and the administrative body of the university.

- a. Budget: Deans will supervise the expenditure of the annual budget of their Schools. Deans will collaborate with the Provost and the CFO to identify priorities and to advocate and allocate funding for the annual budget of their Schools and respective programs. Deans will collaborate with Program Directors who are charged with managing program-specific budgets by external accrediting agencies. Deans may also consult with Program Directors regarding the School's annual budget requests and make recommendations concerning these requests to the Provost.
- b. Personnel – Faculty: In consultation with the Provost and the Program Directors, Deans will participate in the selection of all teaching

personnel in their Schools. They will normally serve as the chairs of search committees when faculty additions are approved or vacancies occur, following the procedures established by the Provost regarding the faculty search process. They will support the Provost in the selection and reappointment of Program Directors and support staff. Deans will initiate formal records of aggrieved conduct per guidelines in the Faculty Handbook and house those records with Human Resources. Deans may actively participate in a grievance process.

- c. Personnel – Administrative: Deans will request and supervise administrative support staff. Deans will supervise and evaluate faculty and staff within the Schools and will consult with the Provost in evaluating the performance of each of their Program Directors, paying particular attention to administrative responsibilities.
- d. Faculty Evaluation: Deans will actively participate in the preparation of faculty eligible for promotion and/or pre-tenure or tenure. Deans shall make personnel recommendations to the Faculty Personnel Council and Provost concerning leaves, retention, promotions, and tenure.
- e. Communication: Deans will serve as channels of communication between the administration and faculty and as advocates for faculty to the administration.
- f. Staff Size and Use: Deans will work with the Program Directors and the faculty within the Schools, the governance system, and the administration to promote adequate staffing, efficient and effective faculty use, and adequate support to aid the achievement of school and program responsibilities. They will work with the Personnel Council and the administration in an ongoing review of staff size within and between programs and Schools, advocating for adjustments when appropriate. They will be concerned with proposals for staff additions as well as with faculty retention, redeployment, and reduction. They will work with the Provost's office to evaluate institutional balance among programs and to consider the needs of programs and overall budget realities. They will help to foster and maintain good working relationships, and they will actively support a culture of mutual valuing and respect within and among the departments and among divisions.
- g. Supervision of the Instructional Program: Deans will assist in the coordination of scheduling course offerings among the programs to assure excellence in programming. In resolving schedule conflicts, the Deans will give student needs and School coordination precedence over program convenience. They will demonstrate particular concern

for encouraging and, when appropriate, requiring periodic review and evaluation in order to strengthen program offerings. They will support adequate provision for classes and other activities, including space, equipment and staff, etc. Collaborating directly with other entities to help students and faculty (Mikkelsen Library, IT, Business Office, Financial Aid, Student Success, Dean of Students, Schools, Divisions, Departments), Deans will work with Division Chairs to make decisions about office allocation upon vacancies and/or shifts in program/department size/needs. They will advocate for continued maintenance and upgrades for the academic buildings as necessary and appropriate.

- h. Students: Deans will be familiar with and encourage the many program-related, student-centered activities, including advising, counseling, instruction, and research. They will serve as channels of communication and as agents for conflict resolution in School-related matters of concern to students.
- i. Alumni: Deans will encourage and support School and university efforts to maintain good communications and cordial relations with alumni.
- j. Advancement: Deans will collaborate with the Advancement Office on fundraising and other development activities, including actively seeking grants to support existing and new programming. Deans will assume accountability for the administration of grant monies received by the School.
- k. Program Accreditation: Deans will provide support in achieving and maintaining program accreditation and membership in appropriate professional organizations.
- l. Student Recruitment: Deans will provide leadership in establishing and maintaining close communications with the Admission Office in order to provide support to the student recruitment process.
- m. Community Service: Deans are expected to fulfill all their obligations as faculty members and to participate in committees, task forces, and other groups to which they are assigned by the Provost or President. They will participate fully in the life of the campus, in particular by attending university events and events sponsored by programs in their Schools. Whatever their involvement, either on campus or off campus, Deans should view themselves as representatives of the University as well as individual faculty members and should recognize that they will be perceived by many others in the same way. Deans will carry out

their duties and responsibilities in the spirit of Augustana as a church-related university.

5. Evaluation of Deans: It is the Provost's responsibility to orient Deans to their duties and to perform annual evaluations of the Deans by soliciting input from the School's Program Directors, faculty, administrators and staff in the process, and to counsel them regarding their performance. Deans' teaching will be evaluated in the same manner as all other faculty members.
6. Incapacity of Deans: The incapacity of a Dean will be dealt with in the same manner as the incapacity of a faculty member. Should relief from their responsibilities be deemed necessary, either in the short term or on a permanent basis, the Provost will appoint a replacement Dean.

#### **D. Program Directors (Graduate or Undergraduate) (09/2021)**

Program Directors oversee all aspects of program development, implementation, improvement and accreditation (when appropriate). Through regular meetings and personal consultation, they shall involve their faculty in decision making. Program Directors may choose to delegate administrative duties.

1. Appointment: With the approval of the Provost, and in consultation with School faculty, the Dean will appoint Program Directors for five (5) year terms, with reappointment possible. Program Directors receive contracts of nine to twelve months' duration if program size and/or complexity necessitates such an arrangement, as determined by the Dean in consultation with the Provost.
2. Compensation for Program Directors: Program Directors may have their teaching load reduced and/or may receive a stipend for administrative duties commensurate with program complexity. Program Directors may apply to the Provost for travel monies when it is necessary for them to represent the department at accreditation meetings and professional meetings crucial to their program(s).
3. Program Directors and Support Services: Clerical and/or technical support appropriate to the size and nature of the program and to meet requirements for accreditation shall be available to Program Directors.
4. Major Responsibilities of Program Directors: Program Directors will serve as channels of communication between the Dean and faculty and as advocates for faculty to the Dean and Provost. For accredited programs, Program Directors will ensure that accreditation standards and requirements of regulatory agencies are met, including facilitating interdepartmental committees to ensure program requirements (assessment, resources, curriculum, other).

- a. Planning: Program Directors will take the initiative for the academic vitality of their programs through positive leadership, long-term planning, and collaboration/ consultation with the Dean of the School. In consultation with faculty and students, they will propose and implement progressive changes in curriculum and programs, ensuring that standards are maintained for course content and evaluation and assessment of objectives so as to make the best use of the available financial and human resources. Program Directors will work with the Dean to encourage and facilitate the professional growth of their staff members, paying special attention to the needs of new members. They will counsel new faculty in a clear and supportive way regarding the criteria for achieving promotion and tenure. They will support and facilitate the creative and scholarly activities of their staffs. Program Directors will be strong proponents for academic excellence and continuous improvement.
- b. Assessment: Program Directors will complete annual assessment reports for internal review and for periodic review by the university and external accreditors. They will document the use of assessment data for continual improvement as part of the process.
- c. Budget: Program Directors may be responsible for the budget of their programs. If they oversee a program budget, they are responsible to the Dean and Provost for operating within their budgets. In consultation with the Dean, they may prepare budget requests for programmatic needs, and they can authorize expenditures.
- d. Personnel – Faculty: Program Directors will negotiate with the Dean and the Provost the teaching and other responsibilities of program faculty. Program Directors may collaborate with the Dean to serve as arbiters in conflicts involving faculty versus faculty and faculty versus student. Program Directors may be involved in the selection of teaching personnel in collaboration with the Dean, and may chair faculty searches. Program directors may consult with Deans on the collaborative management of faculty workloads to accomplish all program activities delineated.
- e. Personnel – Administrative Support: Program Directors may request and will supervise the administrative support assigned to their programs. Program Directors will collaborate with the Dean to promote adequate staffing, efficient and effective faculty use, and adequate support.
- f. Faculty Evaluation: In collaboration with the Dean, Program Directors will provide input and/or complete annual evaluations of all faculty and staff. It should be noted that only one evaluation will be completed per faculty member. Those who complete annual evaluations will make personnel recommendations to the Dean, to the Provost, and to the Faculty Personnel Council concerning leaves, retention, promotion, and tenure.

- g. Students: Program Directors will supervise the academic advising system and/or the development of plan of study within their programs in coordination with the Registrar and the Student Success Center. Program Directors will serve as channels of communication to students relative to program standards and policies, and they will ensure that students meet said standards and fulfill all special requirements. At the same time, they will serve as advocates for students where necessary and appropriate. They will approve or reject course exceptions and substitutions, and they will evaluate courses for transfer credit as appropriate.
- h. Faculty Recruitment: Program Directors will serve on search committees (and may chair the search) when faculty additions are approved or vacancies occur, following the procedures established by the Provost regarding the faculty search process.
- i. Professional Relationships: Program Directors will provide leadership in achieving and maintaining program accreditation and membership in appropriate professional organizations. They will collaborate with the Dean to establish and/or maintain partnerships with communities of interest including alumni, clinical agencies, and community representatives. Program Directors may also lead advisory boards for their programs and/or Schools.
- j. Supervision of the Instructional Program: Program Directors will collaborate with the Dean to prepare schedules of curricular offerings based on student needs and available resources, submitting the schedules to the Registrar in a timely manner. Program Directors will collaborate with the Dean to prepare lists and descriptions of curricular offerings for inclusion in the University catalog. They may ensure adequate provision for classes and other activities, including space, equipment, faculty, etc. They may also provide input for the modification of the academic calendar.
- k. Student Recruitment: Program Directors will provide leadership in collaborating with Admissions and the Graduate Education Office to communicate with prospective students and determine applicant eligibility for the program, and they may lead the admissions process. They will monitor the status of conditionally admitted students as needed.
- l. Community Service: Program Directors are expected to fulfill all of their obligations as faculty members and to attend and otherwise take part in committees, task forces, and other groups to which they are assigned by their Deans, the Provost, or the President. They are expected to participate fully in the life of the campus, in particular by attending university-wide events and events sponsored by their program. Whatever their involvement, either on-campus or off-campus, Program Directors should see themselves as representatives of the University as well as individual faculty members and should recognize that they will be perceived by many others in the same way.

Program Directors will always carry out their duties and responsibilities in the spirit of Augustana as a church-related university.

- m. Alumni: Program Directors will cooperate with the Alumni Office in establishing a program which maintains direct contact with alumni in collaboration with the Dean. They will track placement of graduates/board pass rates, as appropriate.
  - n. Communication with Administration: Program Directors will serve as channels of communication between the Dean and faculty and as advocates for faculty to the administration. The Provost, in consultation with the Division Chairs and Deans, will convene the Program Directors and Department Chairs on a regular basis to discuss matters of common concern. As a body, the assembled Program Directors will serve only in an advisory capacity to the Deans and the Provost.
1. Orientation and Evaluation of Program Directors: It is the Deans' responsibility to orient Program Directors to their duties, and they may collaborate with the Director of Graduate and Continuing Education to do so. Deans will be responsible to evaluate Program Directors and to counsel them regarding their performance.
  2. Incapacity of Program Directors: The incapacity of a Program Directors will be dealt with in the same manner as the incapacity of a faculty member because Program Directors are essentially and fundamentally faculty members. In the role of Program Director, however, relief from those responsibilities will be provided for, either in the short term or on a permanent basis, by a replacement appointed by the President Provost in consultation with the Academic Dean .

## ***Section Two: Faculty Governance - The Faculty Constitution***

### **I. Enabling Article**

The faculty of the University shall, upon approval of the Board of Trustees, establish departments of instruction, courses of study, and requirements for admission to and graduation from the University. The faculty shall, with the approval of the Board of Trustees, establish such rules and regulations and such form of organization as it deems appropriate and necessary. The President or the President's designate shall have the authority to suspend or expel students enrolled at the University in such cases as such action is necessary (By-Laws of the Augustana University Association, Article VI, Section 6.3).

### **II. The Constitution of the Faculty of Augustana University** (7-2019)

The faculty of Augustana University, in consonance with the powers vested in them by the Board of Trustees and the Augustana University Association, institutes a government of three councils. The Co-Curriculum Council, Curriculum Council and Personnel Council are charged with increasing cooperation among members of the campus community and efficiently conducting faculty business. To that end, faculty, administrators with faculty status, and students shall be incorporated into that system. The chair of each council will represent that council to the appropriate committee of the Board of Trustees.

### **III. Council and Committee Structure**

#### **A. Councils**

The basic units of the system will be three councils: Co-Curriculum Council, Curriculum Council and Personnel Council. In addition, there shall be a Faculty Governance Committee.

#### **B. Supplementary Committees**

Standing committees, ad hoc committees, and task forces will supplement the three councils as governance units and may be responsible to one of the councils.

#### **C. Council Meetings**

Each of the three councils will meet at least once monthly during the regular academic year. The agenda for these meetings shall be distributed to the members prior to the meeting.

#### **D. Reports**

Non-confidential minutes, special reports, and at least annual oral progress reports shall be made available, in a timely fashion, to the general faculty by the three councils.

#### **E. Policy**

Major legislative decisions and policy formulations will be referred to the general faculty for consideration as specified in the functions of the separate councils.

**F. The President's Role**

The President is formally assigned to some councils, committees, and task forces by this document and shall be an ex officio (voting) member of all other councils, committees, and task forces except the Grievance Committee. The President may, with approval of the committee chair, designate a substitute to attend if necessary. All councils, committees, and task forces except the Grievance Committee shall furnish the President with advance notice of all meetings, copies of normally distributed agendas, and minutes.

**G. Vice Presidents' Role**

The Vice Presidents shall be ex officio (non-voting) members of committees and task forces as specified in succeeding sections of this document except the Grievance Committee and those committees to which they are formally appointed. The Vice Presidents shall be furnished with advance notice of all meetings, copies of normally distributed agenda, and minutes which they think have relevance to their areas of administrative responsibility.

**IV. Participation in Faculty Governance**

(7-2019)

**A. Governing Faculty**

Those eligible to vote at faculty meetings consist of:

1. Full-Time Tenured/Tenure-Track Appointments
2. Full-Time Continuing Term Appointments
3. Proportional Faculty
4. Coaches with Faculty Status

The Faculty Governance Committee, in cooperation with the Office of Academic Affairs, shall maintain a current listing of the Governing Faculty.

**B. Service**

All Governing Faculty shall have the right to be considered for election or appointment to any council, committee, or task force for which they are eligible. Service on councils, committees, and task forces is an obligation of all teaching faculty except where other university-recognized obligations, poor health, or exceptional circumstances indicate special consideration. All Governing Faculty have the right to petition the Faculty Governance Committee for special consideration.

**C. Free Academic Year Request**

Having served on councils, committees, or task forces for six consecutive years, a Governing Faculty member may elect to refuse further elections or appointments to councils, committees, or task forces for an academic year free of service. The service of the Divisional Chairs on the Personnel Council is an exception.

**D. Council Limit**

No Governing Faculty member of a council or of the Faculty Governance Committee shall serve concurrently on more than one ad hoc committee or task force other than in an advisory manner, and none shall serve on any other council or standing committee.

**E. Committee Limit**

Normally no Governing Faculty member shall serve concurrently on more than a total of three standing committees, ad hoc committees, and task forces. No more than two of these three appointments shall be standing committees.

**F. Term Limit**

No Governing Faculty member shall serve more than two consecutive terms on a council or standing committee except for the Divisional Chairs on the Personnel Council. Normally, terms shall last for two years unless specified otherwise in the Faculty Handbook.

**G. Conveners and Chairs**

Unless otherwise specified in the Handbook, conveners shall be responsible for calling the first meeting of their respective committees, at which those committees shall appoint a Chair. Chairs shall be responsible for making necessary arrangements for meetings for the remainder of the academic year. (7-2019)

**V. Faculty Meetings**

**A. General Meetings**

General faculty meetings will serve as legislative, discussion, and informational forums.

**B. Legislative Decisions**

Legislative decisions, policy formulations, and any other committee or council actions appropriate for general faculty considerations may be referred for general faculty consideration or action at any faculty meeting by any member of the Augustana faculty as long as the request is submitted in writing seven days before the faculty meeting.

**C. Legislative Proposals**

Any member or group of members of the Augustana faculty may bring legislative proposals before the faculty provided that the proposals have been submitted in writing seven days before the official meeting.

## **VI. Voting, Elections and Appointments**

### **A. Elections**

Elections of Governing Faculty to the three councils and the Faculty Governance Committee shall be held annually during the months of April or May, with those elected assuming their positions at the beginning of the subsequent fall term. (7-2019)

### **B. Election Procedures**

The sequence of election procedures shall be as follows:

1. The Faculty Governance Committee shall distribute to the appropriate electorate (i.e., one division, one or more specific ranks, or the entire Governing Faculty) a nominating ballot listing eligible candidates for the particular office. (7-2019)
2. Each member of the electorate shall have at least three business days to select no more than two individuals from the nominating ballot. The closing date and time of the nominating period shall be noted by the Faculty Governance Committee on the nominating ballot. (5-2015)
3. The nominees shall be those who receive the most nominating votes. Tie votes shall be decided at the discretion of the Faculty Governance Committee. In case a faculty member is nominated to more than one council or a council and the Faculty Governance Committee, the individual may choose the preferred ballot on which to run. The candidate receiving the next highest number of votes will be placed on the ballot of the other council or Faculty Governance Committee.
4. A ballot of two candidates with provision for a third write-in candidate shall then be distributed to the electorate. Each member of the electorate shall have at least three business days to vote for one of the two nominated candidates or indicate a write-in candidate. The closing date and time of the voting period shall be noted by the Faculty Governance Committee on the ballot. (5-2015)
5. The representative of the electorate shall be that candidate receiving the most votes as determined by the Faculty Governance Committee. Tie votes will be decided by a means at the discretion of the Faculty Governance Committee. The entire faculty shall be informed in writing of the election results. These election results shall include only the name of the elected representative and shall not include the number of votes cast for a particular candidate or the names of the other candidates.

### **C. Student Appointments**

Appointments of students to committees and task forces shall be made by the appropriate student agency in consultation with the Vice President for Student Services. Appropriate individuals or groups such as administrative personnel,

councils, or standing committees will also be consulted regarding student appointments to ad hoc committees or to task forces which are associated with these individuals or groups.

**D. Faculty Appointments**

The Faculty Governance Committee will appoint Governing Faculty to standing committees. Some committee members are appointed by virtue of office.

**E. Administrative Appointments**

Appointments of administration members to standing committees, when not specified by position, will be made by the President.

**F. Ad Hoc Committee Appointments**

At the request of a council or an administrative officer, the Faculty Governance Committee will appoint Governing Faculty to ad hoc committees or task forces of the faculty at large. (7-2019)

**G. Faculty Secretary**

At a faculty meeting held after the elections to the three councils, the faculty shall elect a Faculty Secretary. The Faculty Governance Committee shall nominate up to two people who have consented to be nominated for the position of Faculty Secretary. Nominations from the floor may be made if the consent of the person nominated has been given prior to the nomination. The term of office shall begin at the meeting following the election. The Secretary serves a three-year term, and is eligible for re-election. As a standing member of the Faculty Governance Committee, the Faculty Secretary shall be responsible for making edits and updates to the Faculty Handbook throughout the academic year as changes are approved by the faculty. 10/10/2019

**H. Conflict of Interest Guidelines for Committee Participation:**

Faculty members participating on committees must exercise integrity and objectivity when making decisions. Committee members must be certain that conflicts of interest or other biases do not exist which may interfere with their ability to make an impartial decision. A conflict of interest or bias occurs when a committee member has a financial or personal relationship or interest which may impair the member's ability to be fair and impartial. For example, a conflict of interest may well exist where a committee member will receive an individual financial benefit from a decision or where a committee member has a familial or similar relationship with an individual who may be affected by a decision. Another example of a conflict of interest may be found when a person on an appeal board was also involved in voting on the original decision.

A person serving on a committee may conclude that he or she has an actual (or perceived) conflict of interest or bias and may remove him or herself from involvement in a particular decision to be made by the committee. A committee member who is not certain whether a conflict of interest or bias exists will bring his or her concern about the conflict or bias to the attention of the Dean, convener, or committee chair; in this event, the committee member must disclose enough information to enable the Dean, convener,

or committee chair to consider the matter fairly and openly. Whether or not the potential conflict of interest was brought to light by the individual, if the Dean, convener, or committee chair determines either that a conflict of interest or other bias (or the appearance of a conflict of interest or other bias) may exist, the committee member shall be excused from participating in making that decision.

A member of the committee or an individual who is the subject of a decision to be made by the committee may also raise a question as to whether a committee member has a conflict of interest or bias which may interfere with that committee member's impartiality. The concerned individual shall bring the matter to the attention of the dean or committee chair. The Dean or committee chair shall discuss the matter with the affected committee member; if the Dean, convener, or committee chair determines that a conflict of interest or other bias (or the appearance of a conflict of interest or other bias) may exist, the member of the committee shall be excused from participating in making the decision at issue.

A member of a committee who is excused from participating in deciding in accordance with this policy does not forfeit his or her position as a member of the committee. The fact that an individual has been excused from participation pursuant to this policy shall not prejudice any personnel or other institutional decision made with respect to the committee member.

## **VII. Faculty Representation to the Board of Trustees**

### **A. Chairs**

The faculty members serving as Division Chairs and those elected chairs of the Co-Curriculum Council, the Curriculum Council and the Personnel Council shall meet with appropriate committees of the Board of Trustees.

### **B. General Representative**

(11-2017)

A tenured faculty member who is otherwise not exempt from committee service shall be elected to sit in as advisor, with privileges of the floor, at the general Board of Trustees meeting. The person elected shall serve for a three-year term, for a maximum of two consecutive terms. The election shall be held in the spring with those elected assuming their positions at the beginning of the subsequent fall term. Special replacement elections shall be held whenever necessary and possible, whereupon the replacement shall serve the remainder of the term. Whenever the replacement term is at least two years, such service shall be counted as one term of office for eligibility purposes.

### **C. Financial Management Representative**

(11-2017)

A faculty member who is otherwise not exempt from committee service shall be elected to sit in as an advisor, with privileges of the floor, at the Financial Management Committee meetings of the Board of Trustees. Election procedure and term shall be the same as for the faculty representative to the general meetings of the Board of Trustees.

**D. Institutional Resources Representative** (11-2017)

A faculty member who is otherwise not exempt from committee service shall be elected to sit in as an advisor, with privileges of the floor, at the Institutional Resources Committee meetings of the Board of Trustees. Election procedure and term shall be the same as for the faculty representative to the general meetings of the Board of Trustees.

If any of the above elected or appointed representatives to the Board cannot attend all or part of a board meeting they shall consult with the General Representative in advance of the meeting, who will work with the Dean and/or President to name a substitute representative for that meeting.

## **VIII. The Faculty Governance Committee**

Although the Faculty Governance Committee is not considered as important a deliberative body as any of the three councils and is not intended to be their equal in decision-making power, it too has elected members. Committee members are elected by the faculty to assure more representative faculty voice and to increase faculty confidence in the selections.

**A. Membership** (3-2018)

Five faculty members and an appointed representative of the administration shall serve on the Faculty Governance Committee. The faculty members shall consist of one member elected from each division, one tenured member elected at-large, and the Faculty Secretary. The chair shall be a tenured faculty member. The divisional and at-large members shall serve three-year terms with a two-consecutive-term maximum. Terms are partially staggered.

**B. Functions**

1. The Faculty Governance Committee shall supervise the election system and tabulate results. In cooperation with the Office of Academic Affairs, it shall formulate lists of eligible Governing Faculty within Divisions and, where applicable, from the whole faculty, from which nominations can be selected; it shall compose the final ballot; and it shall determine which Augustana personnel are eligible to vote at faculty meetings. (07/2019)
2. The Faculty Governance Committee shall select ad hoc committees and task forces upon request from and in consultation with any of the three councils, the faculty, or the administration.
3. The Faculty Governance Committee shall serve as a sounding board, polling the whole faculty, when requested by a council or by the faculty, on any issue raised by one of the councils.

4. The Faculty Governance Committee shall act as interpreter of the constitution when issues arise, with referral to the general faculty whenever necessary.
5. The Faculty Governance Committee shall assure that the constitution receives reassessment, and shall call for constitutional sessions of the whole faculty periodically to consider amendments.
6. The Faculty Governance Committee shall appoint a parliamentarian to serve during general faculty meetings. The role of the parliamentarian is to advise the presiding officer during faculty meetings, and to be available to committees or faculty members to answer questions on matters of parliamentary procedure.
7. The Faculty Governance Committee shall appoint general faculty to standing committees.

## **IX. The Co-Curriculum Council**

(5-2018)

The faculty and administration of Augustana University shall establish and maintain a Co-Curriculum Council. This council shall be constituted and shall have such authority and responsibility as defined herein. The work of the Co-Curriculum Council acknowledges that the faculty, administration, and students are partners in the integration of the many domains in which learning occurs. While the University's Curriculum Council focuses primarily on the traditional classroom experience, the Co-Curriculum Council shall be attentive to the substantial matters related to student learning which takes place primarily outside of the classroom. Therefore, the primary purpose of this council will be to identify and examine how, when and where learning occurs outside of the classroom, how we confirm that learning occurs, and what the outcomes of that learning are.

### **A. Membership**

The Co-Curriculum Council shall consist of six voting members: four Governing Faculty members and two students. The faculty members shall serve three-year terms with a two-consecutive-term maximum, with one member elected from each division and one tenured member elected at-large, and with no more than one elected faculty member from a single department. All shall have had at least two consecutive years of teaching experience, although not necessarily at Augustana, prior to assuming office. Terms are partially staggered. Co-Curriculum Council members who will be on leave for less than one academic year will retain their seats and complete the rest of their term when they return. Their seats will remain vacant while they are absent. The two student members will be appointed by the ASA President each year. Ex officio (non-voting) administrative members are the Academic Dean, the Associate Academic Dean, the Dean of Students and an Associate/Assistant Dean of Students. The Dean of Students may appoint up to four additional ex-officio administrators (e.g., from campus ministry, the performing arts, intercollegiate athletics, diversity and inclusion, campus life) whose responsibilities relate to the year's agenda topics. The chair shall be a tenured faculty member. The Chair (or a designated faculty member) shall also

serve as a faculty representative at student life committee meetings of the Board of Trustees.

## **B. Functions**

The functions of the Co-Curriculum Council are as follows:

1. To foster services and programs that promote a welcoming, safe, healthy, and inclusive student experience.
2. To develop and initiate co-curricular agenda items from the Augustana Student Association to appropriate faculty and administrative units.
3. To review and advise on co-curricular matters as they relate to Augustana Educational Outcomes and assessment data.
4. To regularly review code of student conduct policies.
5. To regularly review, maintain and approve academic eligibility policies related to student participation in co-curricular programs.
6. To serve in an advisory capacity to the Dean of Students.
7. To review and approve the work of standing committees attached wholly or in part to the Co-Curriculum Council.
8. To be represented by its faculty chair at meetings with the Student Life Committee of the Board of Trustees.

The CCC may establish standing and ad hoc committees which are responsible to it. The CCC shall determine the definition of function, size and qualification for membership of the standing committees responsible to it. All standing committees must be part of the Faculty By-Laws and are governed by the regulations therein.

## **X. The Curriculum Council**

The faculty and administration shall establish and maintain a Curriculum Council. This council shall be constituted and shall have such authority and responsibility as defined herein. The Curriculum Council shall have primary responsibility for curriculum, recognizing that curriculum is intimately related to subject matter, instructional methods, and availability of faculty; and recognizing that current curricular decisions reflect future institutional goals.

### **A. Membership**

Normally, the Curriculum Council shall consist of eight voting members and three non-voting members. Six shall be Governing Faculty members serving three-year terms (two-term limit), with two elected from each division on a staggered basis (only two of the six faculty members from different divisions up for election each year), and with no more than one elected faculty member from a single department. At least one of the two divisional representatives shall have tenure, and the other shall have had at least two consecutive years of teaching experience. Curriculum Council members who will be on leave for less than one academic year will retain their seats and complete the rest of their term when they return. Their seats will remain vacant while they are absent. There will also be two student members. Ex officio (non-voting) administrative members are the Academic Dean, the Assistant Vice Provost for

Assessment and Academic Excellence, the Associate Academic Dean, and Registrar. One of the tenured faculty members shall serve as chair of the Council.  
(8-2020)

## **B. Functions**

The Curriculum Council may establish standing and ad hoc committees which are responsible to it. The Curriculum Council shall determine the definition of function, size and qualification for membership of the standing and ad hoc committees responsible to it. All standing committees must be a part of the Faculty By-Laws and are governed by the regulations therein. The functions of the Curriculum Council are:

1. To ensure the orderly review of existing curricular programs; to oversee changes in, additions to, and deletions from the existing curricular programs, and to ensure the overall quality of the curricular offerings.
2. To receive, approve, or make recommendations for new and changed curricular offerings received from academic departments or the standing committees attached to the Curriculum Council; to receive curricular proposals, reports, and recommendations directly from the administration, general faculty, and the student community.
3. To monitor and, when appropriate, to make recommendations to the faculty for the revision of the general education requirements of the University.
4. To ensure coordination of all curricular offerings and curricular programs of the University.
5. To make recommendations to the administration on such matters as action concerning present, new, and changed curricular offerings, which normally shall include both credit and non-credit courses of study; long-range plans for the curricular needs of the University; graduate courses and offerings; academic consortia; workshops and institutes; overseas and foreign study learning experiences offered through Augustana; and all other similar activities of the University.
6. To review policies regarding student work, independent study, honors courses, credit by examination, and advanced placement. The Academic Dean may wish to consult the Council on proposed courses of independent study which have no established precedent, particularly those which involve more than one department or which are general courses with no specific department at Augustana involved.
7. To consider recommendations for new majors when members of the faculty, administration, or the student community bring them to the council.
8. To make recommendations to and cooperate with the Personnel Council concerning faculty needs.

9. To refer to the general faculty all questions regarding broad academic policy considerations, including significant changes in calendar, schedule, departmental majors, and degree and core requirements.
10. To ensure open and timely notice to the University community of proposed modifications of current offerings and of proposed new offerings and programs. This notice must be provided in writing, allowing enough time for meaningful debate and discussion to take place.
11. To ensure that nothing discourages individual faculty and students from proposing changes and modifications of offerings.
12. To ensure that departmental chairs receive at least ten days' notice before proposed changes or modifications of offerings affecting their departments are considered.
13. To initiate actions (or to receive recommendations from any member of the faculty or administration, or from any student group) in regard to student honors such as the Dean's List, graduation honors, etc.
14. To review the graduation requirements; entertain recommendations from committees, departments, or individuals; and itself initiate recommendations.
15. To be represented by the faculty chair of the Curriculum Council at meetings of the Academic Affairs Committee of the Board of Trustees.

### **C. Procedures for Introducing New Undergraduate Courses Offered During the Semester**

1. A department proposing a new course must send the course proposal form, along with comments by the division chair and a tentative syllabus or detailed outline, to the Academic Dean early enough for these copies to be distributed to the Council members a week before the proposal is discussed.
2. Proposals for courses which will fulfill general education requirements shall state that intention. Proposals for present courses to be moved into the general education shall follow the same procedure.
3. Proposals for inter-departmental or inter-divisional courses may be submitted by any one of the departments or instructors involved, with the signatures and recommendations, either for or against, of the chairs of all departments involved.
4. A course may be submitted by any faculty member without the approval of the department chair, but the chair's statement in regard to the proposed course shall be either attached to the proposal or sent separately to the Council.

5. Student-initiated course proposals are to be submitted to the Academic Dean and to the departments involved. The departments will then send the proposal with their recommendations, for or against, to the Council.
  
6. Procedures for Introducing New Interim Courses: There are three ways in which new courses may be proposed for Interim. First, the Director of General Education will approve (or reject) all GENL or non-department specific courses. Those recommended for approval shall be forwarded to the Curriculum Council and must be approved by that council before being offered. Second, individual department chairs will approve (or reject) their departmental topics course offerings. (As is true with other courses, departments may offer a course three times before applying to Curriculum Council for that course's inclusion into the University Catalog.) Third, the Global Education and Off-Campus Studies Committee (GEOC) will be responsible for vetting all course proposals for off-campus study. They may reject proposals or refer them back to applicants for further changes. The ones the GEOC recommend for approval shall be forwarded to the Curriculum Council and must be approved by that council before being offered.

#### **D. Criteria for Approval of New Graduate Programs**

##### **Any proposed graduate program should:**

1. Support the overall mission of the university.
2. Not be detrimental to the undergraduate program in terms of staffing or resources.
3. Enhance the undergraduate program.
4. Revenues must meet or exceed full costs within a reasonable period.
5. Benefit the university in the community at large.
6. Be subject to scheduled program review.

##### **Areas to be covered in every proposal:**

1. MISSION STATEMENT
  - Short mission statement of the proposed program.
  - Description of how the proposed program serves the mission of the university, and conforms to the spirit of liberal arts education at the university.
  
2. ACADEMIC DESCRIPTION OF THE PROGRAM
  - Full description of the program, including overall academic rationale and goals, along with an individual course proposal
  - Description of student outcome goals.
  - Assessment plan & schedule.
  - Three-year staffing plan.
  - Implementation plan and time line.

3. LIBRARY RESOURCES ANALYSIS (prepared in consultation with the Mikkelsen Library staff and the library committee)

- Description of existing supportive materials in library.
- Analysis of program library support needs prepared by proposing department.

4. FINANCIAL ANALYSIS

- Feasibility study, describing potential clientele.
- Full costs of program, including institutional overhead. The assumption will be that graduate programs must be revenue positive.
- Full revenue projections for the program.
- Plan and schedule for review of program finances. Stand-by phase out plan.

5. SIGN OFFS, along with supportive statements by:

- Program Proposers
- Department Chair
- Division Chair
- V.P. for Finance and Administration

#### **Approval Process in the Governance System**

Any proposed graduate program will be submitted to the following individuals and committees in the order given. Once approved at one level, the proposal will proceed to the next. Revisions and clarifications may be requested at any level. It is expected that new proposals involve discussion and collaborative planning throughout the process.

1. Department Chair
2. Division Chair
3. Director of Graduate Education
4. Sr. V.P. for Academic Affairs
5. Financial sign-off by V.P. for Finance and Administration
6. Graduate Education Committee
7. Curriculum Council
8. Staffing Sign-Off by Personnel Council
9. Faculty
10. President
11. Higher Learning Commission as required by Statement of Affiliation

#### **E. Procedures for Removal of Courses**

Departments may withdraw courses from the curriculum (as listed in the University catalog) in consultation with the Senior Vice President for Academic Affairs. Proposals to withdraw courses from counting toward the general education requirements or to substantially alter their content must be approved by the Faculty Curriculum Council.

## **XI. The Personnel Council**

The faculty and administration of Augustana University shall establish and maintain a Personnel Council. This council shall be constituted and shall have such authority and responsibility as defined herein. The Personnel Council shall be concerned with the development and welfare of the faculty and shall employ future projections, prepare guidelines and priorities, and cooperate with those segments of the institution required to perform its functions. (7/2019)

### **A. Membership**

Normally the council shall have eight members: six voting faculty members and two ex officio (non-voting) members (Dean of the University and President of the University). The three division chairs shall be voting members. Each division shall elect one tenured faculty member. Elected divisional representatives serve staggered three-year terms with a maximum of two consecutive terms. The Council shall select its own chair from one of the elected members on the Council. The chair may serve successive years but not more than four years. The Vice President for Human Resources shall be an advisory member of this Council when faculty and staff benefits are under consideration.

### **B. Functions**

1. To establish standing and ad hoc committees that are responsible to it. The Personnel Council shall determine the function, size, and qualifications for membership of these committees. All standing committees must be a part of the Faculty By-Laws and are governed by the regulations therein.
2. To make recommendations to the Academic Dean and President, and through them to the Board of Trustees, on all academic leaves. The council shall work within the framework of the current Faculty Leave Policy.
3. To make recommendations to the Academic Dean and President, and through them to the Board of Trustees, on non-reappointments, tenures, and promotions. The council must work within the framework of the current Faculty Handbook. Initial appointments above the rank of assistant professor must be made in consultation with the Personnel Council.
4. To make recommendations on salaries and increments, employing financial information and projections available and developed.
5. To confer on general faculty personnel matters such as assignments, performance, professionalism, and other aspects of faculty interrelationships. Exceptions would include those matters assigned to the Grievance Committee.
6. To establish guidelines, priorities, and so forth as needed to facilitate the overall work and progress of the council.

7. To develop, subject to faculty approval, recommendations to the Academic Dean and President, and through them to the Board of Trustees, on those faculty personnel policies which would add to or improve the total academic functioning of the University. Examples would include such matters as number of faculty, faculty ratios, and faculty loads.
8. To represent the faculty in personnel matters and offer advice, through the chair of the council, to the appropriate committee of the Board of Trustees. The chair of the council shall meet with either the academic affairs or financial affairs committee of the Board.
9. To serve with the Faculty Governance Committee in advising the President on the determination of voting membership for faculty meetings.
10. To consult with the Curriculum Council concerning staffing.
11. To be responsible for a continuous program of re-examination of the above, and to recommend to the faculty, administration, and Board of Trustees any changes deemed desirable.
12. To determine the manner in which the council shall hear from students in a formal way.

## **XII. The Grievance Committee**

The Grievance Committee may hear two types of complaints: employment policy grievances and promotion and tenure grievances. Complaints related to equity grievances (Title IX, sexual harassment, discrimination or other bias related conduct) are to be resolved as described in the Augustana University Equal Opportunity (Civil Rights) Policies and Procedures document. It is the professional responsibility of the grievant to know and understand all requirements, guidelines and processes outlined in this section of the Faculty Handbook, including the Conflict of Interest Guidelines for Committee Participation. (5/2015)

### **A. Employment Policy Grievance Procedures**

The grievance procedure is intended to provide the faculty with an efficient, easily understood, and fair process to resolve grievances that are grounded in a misapplication or misinterpretation of the University employment policies. Recognizing that faculty members are not lawyers; the process provides guidance for fair hearing among reasonable people. These grievance procedures are not intended to be invoked for appeals of tenure and promotion decisions; please refer to specific procedures below for information on tenure and promotion procedural appeals.

## **Definitions and General Principles**

1. Grievance: The allegation of a misapplication or misinterpretation of any clause in the employment policies portion of this Handbook.
2. Parties: The grievant and the respondent.
3. Grievant: The faculty member(s) who present the grievance.
4. Respondent: (1) the person(s) against whom the grievance is brought. (2) where appropriate, that person designated by the President of the University to respond to the grievance on behalf of the University.
5. Grievance Committee: The Faculty Governance Committee will annually select a Grievance Committee comprised of seven tenured Governing Faculty and appoint a convener for the committee. Members shall ordinarily serve staggered three-year terms. In case one or more members are somehow disqualified during a particular case, the Faculty Governance Committee will select temporary substitute members. This committee shall submit its final recommendations to the administration with copies of the recommendation sent to all who are directly involved. (7/2019)
6. Special Provisions: Should any grievant initiate court or agency action on a grievance, the University reserves the right to discontinue internal procedures or to continue same to complete a record as the case may warrant. Such a decision will be that of the President on advice of the legal counsel to the University.
7. Legal Counsel: The Grievance Committee should have access to the University Legal Counsel during its proceedings.
8. Working Days: For the purpose of this document working days are Monday through Friday excluding the University's recognized holidays.

## **Grievance Procedure**

1. Step One: Direct Resolution:  
An eligible person who feels that there are grounds for a grievance must first address the issue with the person with whom they have an issue. This communication may be either in writing or in person.
2. Step Two: Chain-of-Command Resolution:  
If the issue regarding University employment policies is not resolved in Step One, the grievant should contact the person in a position to resolve the potential grievance, as indicated in the following table. This more formal attempt at resolution must be completed within 20 working days and should be documented in writing. Should this chain-of-command resolution process fail to resolve the issue, the grievant may not file a grievance against the person who was in a "position to resolve" but instead, for the process to continue, must initiate a formal grievance against the original party as outlined in step three.

Nature of Grievance	Person with Authority to Resolve
Two faculty from same department	Department Chair
Two faculty from different departments	Appropriate Division Chairs
Faculty member and Department Chair	Division Chair
Faculty member and Division Chair or Faculty Governance Committee	Dean of the University
Faculty member and Dean of the University or other senior administrator	President
Faculty member and President	Executive Committee of Board of Trustees, at Board Chair's discretion.

### 3. Step Three: Formal Grievance Initiation

The grievant will present to the convener of the Grievance Committee a formal written grievance stating its nature, the specific section of the handbook disputed, the steps taken to resolve the grievance, and the action requested. The Convener of the Grievance Committee shall call the Committee together, at which time it will select a Chair. The Chair will solicit a written statement from the respondent and the person with the authority to resolve the grievance from step one. The Committee may also seek statements from other parties with standing in the case. These responses will be due to the chair within 10 working days. The Grievance Committee will meet and, based upon the written documents, determine whether the grievance falls within the definition of a grievance. If the grievance does not fit the definition of a grievance, all parties will receive a written explanation from the Grievance Committee within 10 working days of the original written grievance. If the grievance is determined to fit the definition of a grievance, all parties will receive a written notification from the Grievance Committee within 10 working days of the original written grievance.

### 4. Step Four: Selection of Grievance Resolution Process

- a. Fact Finding: The Grievance Committee will have 20 working days to gather additional information. Where appropriate, the Committee will have access to all confidential council minutes and select portions of personnel files. The Dean of the University will have the authority to determine which materials from non-grievant personnel files should be made available. If the Dean of the University is a party to the grievance, the Personnel Council Chair will be empowered to provide access to appropriate sections of confidential personnel files. The Grievance Committee is also empowered to interview or solicit written statements from other faculty members who have information relevant to the grievance.
- b. Choice of Resolution Procedure: After the fact finding has been completed, the Chair of the Grievance Committee will meet with the parties involved in

the grievance, share the results of fact finding, and offer the parties the option of either mediation or formal hearing. If both parties do not agree to mediation, the formal hearing process will be scheduled.

5. Step Five: Mediation

Mediation is less adversarial than the formal hearing process. The intent of mediation is to bring both parties together with an objective third party. The mediator would have the ability to meet individually with each party and/or collectively with both parties in an effort to reach a satisfactory resolution of the grievance. The intent is to have an independent person listen to both sides and assist them in understanding the conflict and potential solutions to the conflict.

- a. Selection of Mediator: The Grievance Committee will compose a list of three senior faculty members who would be willing to serve as mediator. The list should include people who have no involvement in the grievance and who will not be a part of other aspects of the formal grievance process. The Grievance Committee will meet the two parties involved in the grievance, either individually or collectively, and select a mediator from the list. The mediator will receive background information, assistance and support in preparation for the mediation.
- b. Grievance Resolution: The actual mediation will be confidential. If the mediation is successful, the grievance will be considered resolved. The mediator will submit a written statement about the resolution to the parties involved and the Grievance Committee.
- c. Unsuccessful Mediation: If the mediation is unsuccessful, the mediator will notify the Grievance Committee and a formal hearing will be scheduled.

6. Step Six: The Grievance Hearing

- a. Adjudication: The Grievance Committee will preside over the hearings and will serve as the adjudicating body. Prior to the beginning of the hearings, the two parties will meet collectively and/or individually with the Chair of the grievance committee to select five members from the grievance committee to adjudicate the grievance.
- b. Confidentiality: The hearing will be conducted in private, and prior to resolution of the grievance the parties will be prohibited from all discussion of, or statements about, the substantive grievance or the grievance process outside of the hearing. The hearing will be audio recorded, and the sealed recording will be kept in the office of the Dean of the University for not less than three years, after which time it will be destroyed.

- c. Advisors: Parties to the grievance may each have one advisor of their choice from within the University community. Off-campus counsel may be present but is not permitted to participate in the hearing.
- d. Evidence: All parties to the grievance will have the right to obtain witnesses and present evidence. If either the University or the Committee feels that an independent medical and/or psychological opinion would be helpful in its deliberations, it may require the grievant to undergo a medical and/or psychological examination by an appropriate professional of the requesting party's choice and at the requesting party's expense. If the grievant fails to comply with such a requirement by the University or the Committee, the Committee will dismiss the grievance. The University will cooperate with the Committee in securing witnesses and making available documentary and other evidence requested by the grievant to the extent not limited by law. All parties will have the right to question witnesses. When witnesses have made a statement and cannot or will not appear, and the Committee determines that the interests of fairness require admission of their statement, then if possible, the Committee will provide for written statements.
- e. Continuance: The Committee will grant appropriate continuances to enable either party to investigate evidence or for any other reasonable purpose.
- f. Burden of Proof: In all cases, except for dismissal for cause or suspension without pay, the burden of proof shall be on the grievant and such proof shall be supported by a preponderance of the evidence. In any case of dismissal or suspension without pay, the burden of proof that adequate cause for the action exists shall be on the University and such proof shall be supported by a preponderance of the evidence.
- g. Decision of the Committee: The Committee will not be bound by strict legal rules of evidence; however, every possible effort will be made to obtain the most reliable evidence. The decision will take the form of finding of fact, conclusions, and recommended disposition of the grievance. The findings of fact, conclusions, and the recommended disposition must be based solely on the hearings, records, and pertinent university procedures in this Handbook. The Committee will present its advisory decision in writing, along with a minority opinion if applicable, within seven calendar days of the hearing to both parties and to the President of the University. This decision, insofar as it consists of a recommended disposition of the grievance, may be either accepted by both parties or rejected by either party. Rejection or acceptance by each party will be communicated in writing to all persons involved within seven calendar days after receipt of the decision. If the decision is accepted by both parties, the decision of the Committee shall be final.

7. Step Seven: Presidential Review

In the event that either or both parties reject the advisory decision of the Grievance Committee in step six, the President will review the findings and make a final decision on the grievance within fifteen working days of receipt of the Committee report. If the President is not the direct party named in the grievance, the President's final decision is not subject to further grievance, or to review. Should the President have been named as a direct party to the grievance, the grievant may file a petition to the Executive Committee of the Board of Trustees for a review of the record at its next meeting. The Executive Committee will be the sole and final judge in the case of a dispute involving the President. Such a petition must be filed within five working days of the decision by the President.

## **B. Tenure or Promotion Procedural Grievances**

### **1. Policy Purpose**

The purpose of this policy is to provide grievance rights to faculty members for two specific circumstances; to a tenure-track faculty member who is denied tenure; to a tenured faculty member who is denied promotion. The remedy available through this process is that some or all of the applicable procedures may be reviewed and the negative decision may be reconsidered.

### **2. Grounds for Grievance**

The grounds upon which grievances may be made are (a) improper consideration, and/or (b) improper procedure, both of which are defined below. Reconsideration of the merits of the case is specifically excluded as grounds, since such reconsideration would require the Faculty Grievance Committee to simply substitute its judgment for that of the Personnel Committee or of the Dean of the University and the President.

a. Improper consideration: A grievance may allege that a decision against tenure or promotion was based significantly on improper consideration because the review process involved at least one of the following:

1. Violation of academic freedom
2. Unlawful discrimination
3. Violation of applicable University policies on discrimination.
4. Corruption of process (bribery, quid pro quo decisions, etc.).

b. Improper procedure: A grievance may allege that a decision against tenure or promotion was based significantly on improper procedure regarding issues having a bearing on the substance of the decision. Although the Grievance Committee does not rehear the case, it determines whether the Faculty Personnel Council, and/or the Dean of the University and the President followed the procedures stated in the *Faculty Handbook*.

### **3. Initiating a Grievance**

a. To initiate a grievance, the faculty member shall deliver a written petition to the Chair of the Faculty Grievance Committee and the Dean of the University. The petition must be delivered within fifteen (15) calendar days

of receipt of official written notice of the decision. The Grievance Committee shall also seek a written response from the applicable party (such as the Chair of the Personnel Council regarding recommendations of the Council, or the Dean and President regarding negative action on a positive recommendation from the Council). This response shall be received within fifteen (15) calendar days of the request.

- b. The petition must name the decision being grieved, the grounds for grievance and contain a statement of evidence in support of the allegations. The burden of proof in cases alleging improper consideration and/or improper procedure rests upon the grievant to establish a prima facie case. A prima facie case of improper consideration and/or improper procedure has been established if the grievant petition contains statements alleging facts, which, if they were not contradicted, would reasonably allow the Faculty Grievance Committee to conclude that the decision was based on improper consideration and/or improper procedure as defined above.

#### 4. Faculty Grievance Committee Response

- a. Within fifteen (15) calendar days of receipt of the petition, the Faculty Grievance Committee members shall meet. The Committee will establish its own procedures for this preliminary meeting, including gathering additional evidence, to determine whether:
  1. The faculty member has alleged a proper basis for grievance;
  2. The grievance was commenced within the deadline;
  3. The grievant has established a prima facie case for improper consideration and/or improper procedure.
- b. If the Committee makes a negative determination on any of these three questions, it shall notify the grievant, the Dean of the University, and the President, and no further action shall be taken in review of the grievance.
- c. If the Committee makes a positive determination on all three questions, it shall hold a hearing.

#### 5. Hearing Procedures

It is imperative that the procedures of the Committee assure due process while, at the same time, are pursued sensibly and in good faith.

- a. The grievant shall have the right to have an advisor present. This advisor will be chosen by the grievant from among the University's faculty or administration. The decision being grieved will determine whether the Chair of the Faculty Personnel Council or the Dean of the University is the respondent. The respondent shall also have the right to select an advisor from the faculty or administration of the University. The role of the advisors

is to listen to the proceedings, offer advice to the advisee, take notes and provide personal support to the advisee. Although the grievant and the respondent should be the primary speakers, advisors may speak and answer questions so long as their responses are specific and on point. Hearings of the Committee are open only to the grievant, the respondent, the Dean of the University, the advisors to the parties, and other persons invited by the Committee.

- b. The Committee may obtain information from whatever sources it deems necessary, and may extend stated timelines at its discretion. If either the grievant or respondent believes that information from witnesses or other documentary evidence would be helpful in clarifying, but not supplanting, the existing tenure/promotion file, either or both may so inform the Committee. The Committee should provide the opportunity for such clarification, but also maintains the right to limit all additional material. The Committee is entitled to access the grievant tenure or promotion file used in making the original decision.
- c. The Committee shall have discretion to determine the manner and order in which it shall take evidence. It may question all persons involved in the hearing. Neither the grievant nor the respondent, nor either of their advisors, if any, may question witnesses without the consent of the Committee. Rules of evidence and other rules and procedures applicable to a court of law need not apply.
- d. All hearings and deliberations of the Faculty Grievance Committee shall be conducted confidentially. All participants are bound to keep confidential the evidence and testimony presented or reviewed in hearings and deliberations. This provision is not intended to limit the ability of the grievant or the University to communicate freely with attorneys, governmental agencies, or as otherwise allowed or required by law. Hearings will be audio-recorded, and the sealed recording shall be maintained in the office of the Dean of the University for a period of not less than three years, after which time it will be destroyed.

6. Actions of the Faculty Grievance Committee

- a. The Faculty Grievance Committee is charged with studying the merits of the grievance and reporting its findings to the Dean of the University and the President within fourteen (14) calendar days of the Committee's preliminary hearings.
- b. The Faculty Grievance Committee shall not substitute its judgment on the merits of the decision for that of the Faculty Personnel Council, or the Dean of the University and the President as to the faculty member's suitability for tenure or promotion, but instead shall limit its findings of fact to the following:

- i. If the Committee finds improper consideration or improper procedure on the part of the Personnel Council, the Committee shall forward its findings to the Personnel Council and to the Dean of the University. The Grievance Committee may, if it chooses, also suggest a remedy. Within fourteen (14) calendar days of receiving the report, the Personnel Council and the Dean shall meet to discuss the Grievance Committee report. The Dean will have the ultimate responsibility to respond to the Grievance Committee's report. The Dean shall provide copies of the ultimate decision to the grievant, to the Personnel Council, and to the President. The findings and contents of the report shall otherwise remain confidential.
- ii. If the Committee finds improper consideration or improper procedure on the part of the Dean of the University and the President, the Committee letter may recommend to the Dean and the President that their decision be reconsidered and shall explain why the Committee arrived at its findings. The Dean and the President's reconsidered decision will be made within fourteen (14) calendar days. The President shall provide copies of the Committee's letter and the letter containing the final decision and any other applicable information to the grievant, to the Personnel Council, and to the Chair of the Board of Trustees. The findings and contents of the letters shall otherwise remain confidential. An appeal of the Dean and President's final decision can only be heard by the Executive Committee of the Board of Trustees, at the Executive Committee's discretion.

### **XIII. Amendment Processes**

#### **A. Amendments to the Faculty Constitution**

The Constitution may be amended by a two-thirds vote of those present and voting at any regular faculty meeting at which a quorum is present, provided that written or printed notice of the proposed amendment has been presented at a previous regular faculty meeting. Proxy votes will not be accepted on these votes.

#### **B. Amendments to the Faculty By-Laws**

The By-Laws of the Faculty may be adopted or amended at any regular faculty meeting by a majority vote of those present and voting, provided that written or printed notice of the proposed by-laws or amendments has been given to all members at least one week previously.

#### **C. Changes in the Faculty/University Employment Agreement**

The amendment process is found in Section IV, Part I (Introduction)

## ***Section Three: By-Laws of the Augustana University Faculty***

### **I. The Faculty Meeting**

General meetings of the faculty shall be held to transact business of the general faculty. The Division Chairs shall preside in rotation at meetings of the faculty. (12/2016)

#### **A. Frequency of Meetings**

Normally there shall be no fewer than two and no more than eight general meetings of the faculty each academic year. They shall be scheduled by the Academic Dean in consultation with the Faculty Governance Committee.

#### **B. Quorum**

A quorum is defined as 50% of those personnel eligible to vote in general faculty meetings.

#### **C. Length of Meetings** (03/2015)

General faculty meetings shall adjourn be no longer than two hours after they are called to order. Meetings are adjourned at the expiration of the allotted time unless a motion to extend for a specific period of time is approved by a majority vote of members present.

#### **D. Agenda** (12/2016)

Agenda for general faculty meetings shall be generated by the Division Chairs, in consultation with the Academic Dean and distributed seven days before the meeting. Items not on the agenda may be heard and acted upon only if the faculty agrees by a majority vote.

#### **E. Voting** (12/2016)

Items brought to a vote in general faculty meetings shall be decided by a majority of the votes cast. For purposes of the tally, “votes cast” consist of affirmative (AYE, YES, etc.) or negative (NAY, No, etc.). No form of abstention serves as a “vote cast.” Proxies may be exercised if they have been submitted before the meeting, in writing or by e-mail, to the Director of Academic Operations. Proxies shall be announced at the beginning of the meeting, and will be counted as “present” in a quorum call. No person may carry more than one proxy. Faculty members on leave may attend, speak, and vote at faculty meetings. A secret ballot may be requested by any voting member. The Faculty Governance Committee will prepare, distribute, and collect the ballots. The ballots will be tallied by the Faculty Governance Committee or their designees.

#### **F. Special Meetings** (12/2016)

Special meetings of the faculty may be called to discuss special topics or to deal with pressing issues in a timely manner. The Division Chairs, the President, the Academic Dean, any faculty council, or the Faculty Governance Committee may call for a special meeting, which normally will address only the single issue which occasions the meeting. The meeting may be for discussion only or for formal faculty action. Any

notice and agenda for all special meetings must be distributed at least seven days prior to the meeting.

**G. Parliamentary Procedure** (5/2018)

General faculty meetings shall be conducted in accordance with Roberts Rules of Order, with a duly appointed parliamentarian to assist the chair in addressing issues of procedure that may arise in any meeting. If the parliamentarian is a faculty member who otherwise has full participation privileges, the right to make motions, participate in debate, and vote on all questions shall be retained.

**H. Remote Access to Faculty Meetings** (2/2020)

Any governing faculty member whose main office is off-campus may participate, be counted towards the quorum and vote using approved communication technologies in a faculty meeting remotely if all of the following conditions are met:

1. The governing faculty member must request remote access from the FGC chair by noon the day of the meeting. Standing requests for the academic year are allowed.
2. The technology used must allow for all remote members and persons present at the meeting to be clearly audible and visible to each other, and accommodations must be made for any member who requires TTY service, video relay service, or other adaptive telecommunications.
3. The governing faculty member who is present and in attendance at a meeting shall engage in remote voting only through the use of approved communication technologies as designated by FGC.

## **II. Statement on Committee Responsibilities**

The functions of government depend vitally on the exercise of the duties of committee work. Each member of the faculty accepts this as a professional responsibility and shall discharge this duty with as much ability as possible. The Faculty Governance Committee shall poll the faculty and make assignments in the area of the faculty member's interest to the best of its ability. Each committee shall submit a brief annual report to its council and to the Faculty Governance Committee summarizing its activities and making suggestions for functional changes and operational improvements.

The chairs of all councils, committees, and task forces of the faculty governance structure shall, at the end of each academic year of the chair's term in office, deposit with the University archivist their files of agendas, minutes, and other documents relating to their units' activities.

## **III. Committees Responsible to the Co-Curriculum Council**

### **A. Athletic Recreation**

1. Membership: The Athletic and Recreation Committee shall have fourteen members: three faculty members, one from each division; the President (or designee); the Vice

President for Student Services; the Director of Intercollegiate Athletics; the Director of Recreational Services; the Senior Woman Athletic Administrator to the Northern Sun Intercollegiate Conference (NSIC); the Faculty Athletic Representative to the National Collegiate Athletic Association/Northern Sun Intercollegiate Conference (NCAA/NSIC); the Director of Athletic Development; and four students—two Student Athlete Advisory Committee representatives, the UBG Recreation Board representative and an ASA appointment. The Faculty Athletic Representative will serve as convener and chair. (5/2012)

2. Functions: The Athletic and Recreation Committee shall assist the Director of Intercollegiate Athletics and the Director of Recreation Services in planning and programming. It shall promote awareness and understanding of the University's athletic and recreational programs; serve as a liaison between intercollegiate athletics, Recreational Services (i.e., intramurals and club sports), faculty, staff, and students in communication of policies and procedures; approve the athletic department's game/meet schedule and procedures for scheduling contents relative to absences from class; and nominate to the President a Faculty Representative to the NCAA/NSIC. (3/2014)

#### **B. University Review Board**

1. Membership: The University Review Board shall have eight members: three faculty; one administrator (appointed by the President); three students; and the Vice President for Student Services, who serves as a non-voting advisor.
2. Functions: The University Student Review Board shall deal with student conduct issues as a point of original jurisdiction and as a point of appellate jurisdiction. Jurisdiction of the Review Board includes, but is not limited to, a review of all incidents involving violations of university policies, rules, and regulations that specifically include violations of the Code of Conduct, incidents of multiple violations, or misconduct which may result in recommendations of suspension or expulsion.

#### **C. Publications Board**

1. Membership: The Publications Board shall include the editor(s) and business manager(s) of the Mirror; the editor of the Edda; the editor of the Venture; one student selected by the ASA; the Vice President for Finance and Administration or a designee; the Director of News Information; one faculty member selected by the faculty Faculty Governance Committee; and the faculty advisors for journalism, one of whom will serve as chair.
2. Functions: The Publications Board shall select the editors and business managers for the Mirror, the Edda, and the Venture; make a periodic review of the expenses and bookkeeping of the three publications and provide staff assistance in formulating budgets for these publications; serve as a sounding board for the staff members and others who come in contact with this Board; and serve as publisher for the Mirror, the Edda, and the Venture. In this capacity the Board will review the printing contracts of

the three publications, approve changes in the same, and serve generally as a consultant on matters of publishing detail and legal aspects of publishing.

#### **D. Scholarship and Awards**

1. Membership: The Scholarships and Awards committee shall have six members: The Vice President for Student Services, the Director of Residence Life, the Director of Financial Aid, and one faculty member from each academic division. One of the faculty members shall serve as chair.
2. Functions: The Scholarship and Awards committee shall appoint recipients of or recommend candidates for undergraduate honors, awards, and scholarships (Sophomore Honors, Who's Who, and so on). The committee shall also plan and supervise Awards Day activities.

### **IV. Committees Responsible to the Curriculum Council**

#### **A. Global Education and Off-Campus Studies Committee (09-2014)**

1. Membership: The Global Education and Off-Campus Studies Committee (GEOC) consists of nine voting members including the following: The Director of International Programs, (who serves as convener), UMAIE Board representative, six additional faculty members serving no more than three consecutive two-year terms and one student (appointed annually by ASA). Each division shall have at least two representatives on this committee to be selected by the Faculty Governance Committee. Those named above constitute the voting members of the GEOC. The committee also has two additional ex officio (non-voting) members. The first is the campus staff representative for UMAIE and the second is the Academic Dean (or an appointed representative). The Chair will be elected from among the voting faculty members of the Committee.
2. Functions: The Global Education and Off-Campus Studies Committee shall pursue the following: engage faculty, students, administrators, and staff in global and off-campus educational opportunities, both domestic and international; encourage further internationalization of the curriculum; identify strategic partnerships that complement our on-campus curriculum (similar to HECUA and Lutheran College Washington Semester Program); advocate for international events such as speaker series, Peace Prize Forum, Peace Scholars, visiting professors, and cultural nights; strive to increase the number of faculty and students going abroad as well as those from other countries coming here; support development efforts related to the internationalization of campus; work with admission and marketing staff on their programs related to internationalization; provide guidance and support to the Director of International Programs; make recommendations on distributions from the designated fund created for faculty travel abroad and purchasing relevant resources for the university; and work with the office of Academic Affairs to implement and oversee policies related to off-campus programming as well as to increase faculty involvement in international-related events. The GEOC also evaluates study abroad and off-campus

study course proposals and makes recommendations (approves, rejects, or suggests revisions) for interim, summer, spring break, and other courses. Those courses recommended by the GEOC are forwarded to the Curriculum Council for final evaluation.

## **B. Graduate Education**

1. Membership: The members of the Graduate Education Committee shall include the Associate Vice President for Graduate and Continuing Education (chair); the Chair from each department that has a graduate program; one department appointed representative from each department that has a graduate program; three division representatives appointed by the Faculty Governance Committee, each from a department not housing a graduate program; the Program Coordinator for the Office of Graduate Education; and one graduate student appointed by the Graduate Education Committee. The Associate Vice President for Graduate and Continuing Education shall be the convener. (5/2012), (11/2015)
2. Functions: The Graduate Education Committee shall advise the Curriculum Council in areas concerning the graduate programs of the University that require approval of the Curriculum Council (i.e., course additions) and/or faculty approval (i.e., addition of a major). It shall advise the Associate Vice President for Graduate and Continuing Education on the administration of the graduate program, considering such matters as recommending for Curriculum Council approval changes in requirements for earning a graduate degree; recommending for Curriculum Council approval changes in criteria for permitting a department to offer graduate work; evaluating and recommending to the Curriculum Council faculty departmental proposals for permission to offer graduate work; approving changes in the graduate curriculum in accordance with faculty-approved criteria. (2/2011), (11/2015)

## **C. Mikkelsen Library**

1. Membership: The Mikkelsen Library Committee shall have eight members: The Director of the Library; the Director of the Center for Western Studies ex officio (non-voting); one librarian; four faculty members, at least one from each Division; and two students.
2. Functions: The Mikkelsen Library Committee shall participate in planning, policy development, and advocacy regarding the library; act on behalf of the Augustana community in considering budget and staff adjustments for the library; review special programs; share library issues and concerns within departments, divisions, and student government; serve as the search committee for librarian openings; and make recommendations to the director of the library.

## **D. Teacher Education**

(7/2019)

1. Membership: The Teacher Education Committee (TEC) shall be convened and chaired by the chair of the Education Department. Its membership is comprised of faculty from each Base Program (ELED, SPED, & SEED), the Certification Officer,

The Coordinator of Field Experiences, representatives from each major having SD DOE Program Approval, the Academic Dean ex officio (non-voting).

2. Functions: The Teacher Education Committee shall review and maintain all education programs within the unit according to the guidelines established by outside accrediting bodies and other appropriate professional and learned societies; review and act upon recommendations for change in the unit programs initiated at Base Program or Education Department level, using Program Approval Guidelines; admit students to the Teacher Education program; admit students to student teaching; process petitions for exceptions to established policy and procedure regarding admission to the Teacher Education program and to student teaching; and forward recommendations to the appropriate council or committee within the University governance system as warranted.

#### **E. First Year Seminar Committee**

(4/2016)

1. Membership: The members of the First Year Seminar Committee shall be comprised of the following voting members: a faculty director appointed by the Senior Vice President of Academic Affairs, four other faculty members: one from the Social Science division, one from the Natural Science division, and two from the Humanities division, and two representatives from student life appointed by the Vice President for Student Affairs. The committee will also include the following nonvoting members: the Associate Vice President for Academic Affairs, the Registrar, the Director of the Student Success Center, one representative from the library to be appointed by the Director of the Library, and one student appointed by the Augustana Student Association (ASA). The four faculty members will be appointed by the Faculty Governance Committee in consultation with the First Year Seminar Director for a three-year term renewable for a second term. Eligible faculty are those who have taught at Augustana for at least one year. The FYS Committee structure will be reviewed by the Curriculum Council within three years.
2. Functions: The committee will participate in the following: recruiting of faculty to teach FYS, organizing training sessions for FYS faculty, assisting in developing FYS courses, providing ongoing appropriate support for teaching faculty, vetting FYS course proposals before submitting them to the Curriculum Council for final approval, developing and administering assessment programs, suggesting changes to FYS, and preparing annual reports on committee activities for the Curriculum Council.

#### **F. Augustana Symposium Committee**

1. Membership: The members of the Augustana Symposium Committee shall be one faculty member from each division and one from the library. Members shall have two-year terms with a maximum of two consecutive terms.

2. Functions: The Committee shall plan, organize and execute the annual Augustana Symposium event. The program should encourage an atmosphere of intellectual exchange and student/faculty scholarly and artistic activity.

#### **G. Civitas Committee**

(3/2014)

1. Membership: The members of the Civitas Committee shall be comprised of the Director of Civitas and six faculty members drawn equally from the three divisions. The Director shall convene the Civitas Committee. The Faculty Governance Committee will appoint members in consultation with the Civitas Director for three-year terms with a two-term limit. Eligible faculty are those who have taught at Augustana for at least one year and are in a tenure track position. The committee must include at least two untenured faculty members. The committee will also include ex officio (non-voting) representation from the Library, Admission Office, Registrar, the Chair of Moral Values, and the Executive Director of the Center for Western Studies.
2. Function: The committee will participate in the following: student recruitment, student selection (initial and later admission track students), student retention, Civitas 395 project approval, Civitas 395 project funding, approval of Civitas course proposals prior to Curriculum Council, support Civitas activities and program assessment.

#### **H. Assessment Committee**

(9/2018)

1. Membership:  
The Assessment Committee shall report to the Curriculum Council. Membership shall consist of eight members, one faculty member from each division appointed by the Academic Dean; one student services administrator appointed by the Dean of Students; a student representative appointed by the ASA president in consultation with the Dean of Students; Associate Vice President for Academic Affairs; Associate Vice President for Graduate and Continuing Education and the Director of Institutional Research, Assessment, and Academic Effectiveness. Members shall be appointed for three-year staggered terms. 10/10, 11/15

The Assessment Committee shall be chaired by the Director of Institutional Research, Assessment, and Academic Effectiveness. The Director of of Institutional Research, Assessment, and Academic Effectiveness shall serve at the pleasure of the Dean and serve as the communication link with the faculty, Curriculum Council and University administration regarding all functions of the Assessment Committee.

2. Functions:
  - a. Establish, sustain, and facilitate an institutional assessment plan to monitor Augustana's Educational Outcomes and make recommendations to the Curriculum Council regarding curricular and instructional changes based on assessment data
  - b. Collect, review, and provide feedback to programs on annual assessment reports
  - c. Contribute to Higher Learning Commission reports

- d. Communicate pertinent information to the faculty and other areas of campus
- e. Determine and monitor the status of the Co-Curricular Assessment Plan, assisting with the interpretation of educational outcomes across university units.

**I. SOPHIA Committee** (9/2018)

1. Membership: The SOPHIA Committee shall consist of six elected voting members. Six shall be Governing Faculty members serving three – year terms (two-term limit), with two selected from each division on a staggered basis and with no more than one from a single department. At least one of the two divisional representatives shall have tenure, and the other shall have had at least two consecutive years of teaching experience at Augustana University. The chairperson of the SOPHIA Committee will be a tenured faculty member. Ex-officio and non-voting administrative members are the Registrar, The Director of Institutional Research, Assessment, and Academic Effectiveness and the Associate Vice President for Academic Affairs
2. Functions:
  - a. Establish, sustain, and facilitate a comprehensive SOPHIA Core Curriculum Assessment Plan (SCCAP). The SCCAP should provide for a systematic review of SOPHIA areas on a five-year cycle, with review and recommendations reported to the Curriculum Council.
  - b. Review proposed courses and make recommendations to the Curriculum Council, ensuring that courses included in the SOPHIA Core Curriculum meet all required criteria (i.e. student learning outcomes) and have required approvals, both from the department and division chairs. For proposed courses that are interdisciplinary, approvals from the relevant stakeholders will be required.
  - c. Encourage the practice of innovative pedagogy, such as co-taught courses.

**V. Committees Responsible to the Personnel Council**

**A. Campus Benefits** (9/2020)

1. Membership: The Campus Benefits Committee shall include three divisional faculty members (one from each Division); one faculty member at large with at least one of the four faculty members from the assistant professor or instructor ranks; three support staff representatives (appointed by SSPC); and three administrators (appointed by the APC). Appointment to the committee is for a three-year term, with no more than one renewal. The respective Councils make their appointments on staggered terms such that a majority of each constituency group returns each year. Ex officio (non-voting) members are the Vice President for Human Resources, who convenes the committee, and the Vice President for Administration and Finance. The Chair, selected by the Benefits Committee, shall be a tenured faculty member. The chair may serve successive terms, but not for more than three years.
2. Functions: The Campus Benefits Committee shall conduct a yearly review of the Augustana Employees Health Care Plan, evaluating the operation of the plan and

suggesting changes as warranted. The committee shall also review and re-assess non-health-care benefits. The committee will make recommendations to the President's Council.

**B. Research and Scholarly Activities Committee**

1. Membership: The Research and Scholarly Activities Committee shall have five members: one representative from each of the three divisions (Humanities, Natural Sciences, and Social Sciences) and two members at large. The two at-large members may not be from the same division, and neither shall be from a department already represented by the divisional representatives to this committee. Three members must be tenured faculty. (8/2010)
2. Functions: The Research and Scholarly Activities Committee shall stimulate scholarly activity and research throughout the faculty; help seek funds for the Augustana Research and Artist Fund, which supports research activities and other creative endeavors; allocate funds for faculty-student projects and periodically re-examine guidelines and priorities used in making grant determinations; allocate Special Conference Fund awards; and help integrate research and scholarly activities with the academic program. The Committee shall also coordinate the dissemination of information from research projects in an annual series of luncheon presentations. The chair of the Committee is expected to convene periodic meetings of chairs of all committees dealing with faculty scholarship and grant awards.

**VI. Committees Convened by the President's Office** (3/2014)

**A. Commencement and Honorary Degrees Committee**

1. Membership: The members of the Commencement and Honorary Degrees Committee shall be three faculty members, one from each division; the Registrar; the Vice Presidents for Academic Affairs and Development or their designates; and two students. The President is an ex officio (voting) member. A faculty member shall chair the committee.
2. Functions: The Commencement and Honorary Degrees Committee shall make recommendations to the President concerning commencement speakers. It shall also make recommendations to the faculty concerning candidates for honorary degrees.

**B. Student Retention Committee** (Inactive 4-2016)

1. Membership: The members of the Student Retention Committee shall include the Registrar, Associate Academic Dean, Director of Student Academic Support Services, Director of Institutional Research, Assistant Dean of Students & Director of Diversity and Inclusion, Director of First-Year Programs, a representative from the Admission Office, a representative from the International Programs Office, a representative from the Financial Aid Office, a representative from the Athletic

Department, and two faculty members from different divisions who serve two year terms, with a two year term limit.

2. Functions: The Student Retention Committee shall examine data related to student retention and serve as a collaborative working group among different Offices of the University to develop strategies to improve and coordinate policies and practices related to student persistence. 4/2013

**C. Accreditation Committee** (5/2015)

1. Membership: The Accreditation Committee shall have 10 members; the Associate Vice President for Academic Affairs (convener); the HLC Accreditation Liaison Officer (chair), the Director of Assessment, the Vice President for Student Affairs (or designee), the Registrar, the Vice President for Finance (or designee), the Director of the Mikkelsen Library (or designee), one of the faculty representatives to the Board of Trustees, and at least two additional faculty members chosen so that each division is represented by a least one faculty member (including the ex officio members mentioned above). Faculty members will be appointed by the President in consultation with the AVPAA. Faculty members will normally serve on the Committee through a complete review cycle.
2. Functions: The Accreditation Committee will ensure ongoing compliance with the reporting requirements of the Higher Learning Commission. The Committee will ensure that all reports, updates and reviews are completed thoroughly and in a timely fashion to maintain full accreditation of the university.

**D. Equity Grievance Panel** (3/2017)

1. Membership: The membership of the Equity Grievance Panel shall include the University Title IX Coordinator (chair), four Deputy Title IX Coordinators, one Investigator (the Director of Campus Safety), and a pool of at least sixteen university personnel. The four Deputy Title IX Coordinators shall include the Assistant Dean of Students, the Assistant Athletic Director, the Employee Health Educator, and a representative from Academic Affairs (either an administrator or an appointed faculty member). The pool of at least sixteen university personnel shall be selected as follows:
  - a. Four members from Student Affairs (e.g., Center for Campus Life, Recreational Services, Campus Safety, Campus Learning Center)
  - b. Four members from Intercollegiate Athletics
  - c. Four members from other university offices (e.g., Business Office, Advancement/Development, Admissions, Financial Aid, Library, IT Services, Student Success Center, International Programs Office, Facilities/Grounds/Central Services)
  - d. Four faculty members, with appropriate balance among divisions and with no more than one member from any one department. The faculty panel members will serve three-year terms, with a two-term limit.

2. Functions: Members of the Equity Grievance Panel may serve in any of the following roles, at the direction of the Title IX Coordinator: providing sensitive intake and initial counseling of grievances, serving in a mediation role (restorative justice) in conflict resolution, investigating grievances, acting as advisors/advocates to those involved in grievances, serving on hearing panels for grievances, and serving on appeal panels for grievances. Equity Grievance Panel members receive ongoing training, organized by the Title IX Coordinator, in all aspects of the grievance process. This includes reviewing Augustana University's policies and procedures, so that members can provide accurate information to members of the community.

**E. Diversity Advisory Committee** (5/2018)

1. Membership: The committee shall have 10 members: three faculty members (one from each division); the Academic Dean (or designate), the Dean of Students (or designate); three student representatives appointed by the ASA president in consultation with the Dean of Students; Vice President of Enrollment (or designate); the Assistant Dean of Students & Director of Diversity and Inclusion. Faculty members will be appointed for three-year staggered terms with a two consecutive term limit. The Assistant Dean of Students & Director of Diversity and Inclusion shall serve as the convener of the committee.
2. Functions: The Diversity Advisory Committee advises and assists the University in fostering diversity and inclusion and guiding the design and implementation of campus-wide strategies that advance the respect for diversity at Augustana University.

**F. Information Technology Committee** 12/2019

1. Membership: The membership of the Information Technology Committee shall include one faculty representative appointed by the Division Chair from each of the three academic divisions, serving a three-year term with two consecutive term limits: the Instructional Technologist; two students appointed by the Augustana Student Association; one representative each from Academic Affairs, Advancement, Admission, Athletics, Finance, MIS, Marketing, Student Services, and Graduate Education (appointed by the Graduate Education Committee). The Director of IT will convene and chair the committee.
2. Functions: The Information Technology Committee will represent the campus in areas of information technology; serve as an advisory body to the Director of Technology(IT); review major requests for additions and modifications to campus technology, making necessary recommendations for actions on requests; recommend technology policies and procedures for campus constituents; be the primary source of input for IT strategic planning; assist in allocating the IT budget; and provide proposals for funding of general campus technology needs.

**VII. Committees Convened by Academic Affairs** (8/2014)

**A. Admission and Re-Admission Committee** (9/2020)

1. Membership: The Admission and Re-Admission Committee shall have eight members: The Director of Graduate and Transfer Enrollment, The Director of Undergraduate Enrollment, the Executive Director of the Success Center (or designee), the Registrar, the Assistant Dean of Students, and three faculty members, one from each division.
2. Functions:
  - a. Work with the files of applicants for admission to the University who are deemed “special consideration candidates.” Normally students fall into this category when they have a high school class rank below the 50<sup>th</sup> percentile, a GPA under 2.5 on a 4.0 scale, or an ACT composite score below 20. The Director of Admission may bring other files forward to the committee when circumstances warrant special attention.
  - b. Act on petitions for readmission submitted by students who have been dismissed for academic reasons.
  - c. Act on petitions submitted by students on academic probation who wish to be allowed to participate in activities.
  - d. Periodically examine academic status standards to determine whether any changes should be made.

**B. Elite Scholarship Committee** (2-7-2018)

1. Membership: The Elite Scholarship Committee consists of the faculty representing the Fulbright, Goldwater, Marshall, Mitchell, NASA, Rhodes, Schwarzman, and Truman, scholarships as well as a representative from the Academic Dean’s office.
2. Functions: The Elite Scholarship Committee works to identify, encourage, and help prepare high achieving Augustana University students for a variety of distinguished scholarship opportunities. These include but are not limited to Fulbright, Goldwater, Marshall, Mitchell, NASA, Rhodes, Schwarzman, and Truman, scholarships.

**C. Honor Board** (3/2013)

1. Membership: The eleven-member Honor Board is composed of six students, four faculty members, and the Associate Academic Dean who serves as the Chair of the Board. All have voting privileges except for the Chair of the Board. Student members, two each from the sophomore, junior and senior classes, serve one-year renewable terms. Students apply for Honor Board membership in the spring semester. The current Honor Board will select student members following a review of applications and conducting interviews. Faculty members are tenured and will represent each of the three academic divisions. Faculty members are appointed by the Faculty Governance Committee for overlapping, two-year terms.

2. Functions: As a community of scholars, the students and faculty of Augustana University commit to the highest standards of excellence by mutually embracing an Honor Code. As a University of the Evangelical Lutheran Church of America, we understand the individual and collective responsibility we have in fostering integrity. Ultimately, our purpose is to be an engaged body of academically excellent, highly articulate, and morally centered persons who learn about and examine the world together. We believe that only when we are honest with ourselves and each other can we begin to contribute to the world in a meaningful manner. Augustana's Honor Code consists of inter-related elements that guide scholarship and learning: The Honor Pledge, the Honor Board, and a set of judicial procedures that guide the University's adjudication of academic integrity violations. Honor Board members are expected to exhibit sensitivity, confidentiality, integrity and professionalism in their activities. The complete procedures for implementation of the Honor Code are at [www.augie.edu/honor](http://www.augie.edu/honor).

#### **D. Institutional Review Board**

(5/2018)

1. Membership: The Institutional Review Board (IRB) will be composed of five faculty members (at least one from each Division) and two representatives from the off-campus community. Since research expertise and extensive training is required for IRB Committee membership, members will be appointed by the Academic Dean for four-year terms, with a two consecutive term limit. An Augustana faculty member will serve as Chair, elected biennially by the IRB Committee.
2. Function: The Institutional Review Board (IRB) serves important functions of overseeing campus research, ensuring human subjects' welfare is protected, complying with federal regulations, and supporting the University community in advancing research. The IRB abides by the rules governing human subject research described in the Code of Federal Regulations [CFR].

### **VIII. Committees Convened by Admission Office**

(3/2014)

#### **A. Distinguished Scholars Committee**

1. Membership: The members of the Distinguished Scholars Committee shall be the Vice President for Enrollment and the Chairs of the DSC Interview Committees (seven to eight faculty members selected by the Vice President for Enrollment)
2. Functions: The Committee shall select the DSC Scholarship Winners and coordinate the faculty interview teams.

### **IX. Other Faculty Assignments**

(02-2018)

#### **A. Representatives**

The university administration (Academic Dean or President) appoints individual faculty members to serve as the University's representative to various organizations and

scholarships: Fulbright Scholarship, Goldwater Scholarship, Higher Education Consortium for Urban Affairs (HECUA), Lutheran College Washington Semester (LCWS), Mitchell Scholarship, NASA Scholarships, Rhodes Scholarship, Schwarzman Scholarship, Study Australia/Education Abroad Network, Truman Scholarship and Upper Midwest Association for Intercultural Education (UMAIE).

**B. Task Forces**

Task forces are useful devices to bring together, on a short-term basis, people with special expertise or interests to address particular issues and create proposals for the faculty or the administration to consider. Task forces are not replacements for faculty governance committees or councils; normally, task forces will forward proposals to appropriate faculty councils or committees for formal action and possible recommendation to the faculty as a whole.

Task forces may be appointed by the President, the Senior Vice President for Academic Affairs, or faculty councils. In selecting faculty members for task forces, the appointer may request assistance from the Faculty Governance Committee. The President or the Dean shall report task force progress and proposals to department and division chair meetings on an ongoing basis for information and response. When task force products require faculty approval, the proposals shall be forwarded to the appropriate faculty council for action.

## ***Section Four: Employment Policies and Procedures***

### **I. Introduction**

This section contains the approved policies of Augustana University with respect to the employment conditions of the faculty of the University. Augustana University presumes that it is a primary responsibility of each faculty member to know the university's employment policies as outlined in its *Faculty Handbook* and *Employee Handbook*. It is the section which is specifically incorporated by reference into the annual letter of appointment for each faculty member (the annual "letter of appointment" is considered to be the employment agreement which contractually binds the faculty and the institution). The provisions of this section are legally binding on all parties for the specific period covered by a letter of appointment and will not be changed during that period. Should there be any misapplication or misinterpretation of the specific provisions of this section, the faculty member involved in such a situation may appeal actions taken by a supervisor under the Grievance procedures. It should be noted that PART ONE of this Faculty Handbook does not come under the Appeals procedures in this Handbook.

This section of the Faculty Handbook, along with the other parts, is a living document that is subject to frequent modification in response to the constantly changing environment in which the University fulfills its mission. Overtures for change in the conditions of employment may originate with either the Faculty or the Administration. The President has ultimate responsibility for changes in employment conditions, but the Administration will institute changes only after consultation with the Faculty Personnel Council. The Faculty Personnel Council is specifically and exclusively charged to represent the full Faculty and advocate its interests in such circumstances.

### **II. Definitions of Faculty**

#### **A. Faculty Classifications**

The faculty shall be designated by the ranks of Professor, Associate Professor, Assistant Professor, or Instructor.

##### **1. Tenured/Tenure-Track Appointments (8/2016)**

A faculty member with a full-time appointment is normally issued a nine-month contract and is obligated to fulfill teaching assignments and other duties as outlined in "Workload." The Senior Vice President for Academic Affairs/Dean is responsible for determining expectations regarding faculty teaching load.

##### **2. Full-time, Online, Graduate Teaching Faculty (05/2018)**

A faculty member with a full-time, online, graduate teaching appointment is normally issued a 12-month contract, and is obligated to fulfill teaching assignments and other duties as outlined in "Workload" for online faculty in Section 4, XVI of the handbook. The Senior Vice President for

Academic Affairs/Dean is responsible for determining expectations regarding faculty teaching load. Faculty will be expected to meet the standards the University has established for teaching effectiveness and for service to the graduate experience.

3. Continuing Term Appointments (8/2016)

A continuing term position will be created in those rare instances in which the department chair and the Senior Vice President for Academic Affairs/Dean, after consultation with the Personnel Council, agree that the credentials of a tenure-eligible faculty member are not necessary for excellent performance of the position's teaching duties. These annually contracted positions will be eligible for reappointment. Normally, at the conclusion of each term, the department chair, division chair and Senior Vice President for Academic Affairs/Dean, will determine whether to continue the term position, eliminate the position or convert the position to a tenure-eligible position. Decisions on renewal of a position will rest solely with the University. Persons with such appointments shall be allowed to vote at faculty meetings.

4. Visiting Appointments (8/2016)

Visiting Faculty positions have a fixed term of employment with no eligibility for tenure consideration. It is preferred, but not required, that visiting appointment faculty possess the credentials of tenure-eligible faculty. Visiting faculty will be expected to meet the standards the University has established for teaching effectiveness and for service to the academic department. Compensation for these positions will include the University benefit package. Persons with such appointments shall neither vote at faculty meetings nor serve on committees. (7/2019)

5. Special Adjunct Appointments (8/2016)

1. Definition: An appointment of a faculty member from outside the university who serves in an uncompensated role in support of an academic program.
  - a. Appointment process: The approval of such an appointment normally begins with the chair of the department submitting a letter requesting approval from the Senior Vice President for Academic Affairs/Dean (or designee). The request should include the following information on the individual:
  - b. The specified role and duties to be performed for the program
  - c. A summary of academic and professional credentials and qualifications (attach copy of vita)
  - d. A rationale justifying the need for the appointment
2. Once approved by the Senior Vice President for Academic Affairs/Dean (or designee), a letter of appointment will be sent to the individual, and the chair of the department making the request. The individual then accepts or

rejects the appointment by signing the letter and returning it to Academic Affairs.

3. The length of such appointments shall not exceed three years, and are subject to renewal. This appointment does not accrue tenure credit nor does it imply a promise of future employment. These appointees are bound by all Augustana University policies as described in the Augustana University Faculty Handbook, Section Four, XI.

*Note: Faculty appointees will adhere to their respective institutional rules and guidelines for such appointments*

## **6. Proportional Faculty 08/2014**

1. Definition of Proportional Faculty: Proportional faculty shall have credentials similar to those of full-time faculty with similar curricular responsibilities. Such proportional appointments shall be for a minimum of five 3-4 credit courses (or the equivalent) during a single academic year and the department shall anticipate a need for their services each year. They shall also be willing to engage in the full range of activities expected of full-time faculty.
  - a. Rights and Responsibilities of Proportional Faculty: The rights and responsibilities of faculty with proportional status are the same as those listed in the Faculty Handbook, only in proportion with their teaching loads. Proportional Faculty shall have the right to vote at faculty meetings.
  - b. Promotion and Tenure: Proportional faculty may be eligible for promotion and tenure under the same criteria as full-time faculty. Eligibility will be determined on the same basis as for full-time faculty. Tenure for proportional faculty, however, commits the University only to the assurance of continuous employment at the teaching load specified in the appointment.
  - c. Conference Funds: Proportional faculty are eligible to apply for funds to travel to professional meetings on a pro-rata basis.
  - d. Sabbatical: Proportional faculty are eligible for sabbatical on a basis proportional to their teaching load.
  - e. Compensation of Proportional Faculty: Salary and benefits for proportional faculty shall be in proportion to their teaching load assignment. Proportional faculty are included in the insurance program of the University

2. Full Time Faculty Requesting Proportional Status

- a. Temporary Proportional Status: Faculty who have full-time status may request proportional status for a designated period of time, or may request permanent proportional status. If the request is for a designated period of time, the faculty members' full-time appointment will be restored at the end of the period.
- b. Permanent Proportional Status: Full-time faculty who convert to proportional faculty come under all provisions of proportional status. Faculty who have full-time status and wish to request proportional status should make such a request to the department chair, who will forward a recommendation to the Division Chair and the office of the Senior Vice President for Academic Affairs/Dean. The Senior Vice President for Academic Affairs/Dean shall determine proportional status.

**7. Part-Time Faculty**

1. Definition of Part-Time Faculty: The status of "part-time" is ordinarily for persons appointed to teach fewer than twelve credit hours in a year's time.
2. Rights and Responsibilities of Part-Time Faculty: Part-time faculty may be invited to all departmental and divisional faculty meetings and may vote, at the discretion of the full-time faculty members. Should they desire, they may attend university faculty meetings as guests without vote.
3. Compensation of Part-Time Faculty: Part-time faculty members shall be compensated at a flat-rate salary, which shall be reviewed annually by the Senior Vice President for Academic Affairs/Dean.

**8. Faculty Emeriti (04/2018)**

1. Eligibility and Designation of Faculty Emeriti: All full-time members of the faculty who have taught a minimum of ten years at Augustana and have retired from Augustana may, upon recommendation of the Senior Vice President for Academic Affairs/Dean, be designated as faculty emeriti/emerita by the Board of Trustees.
2. Rights and Privileges of Faculty Emeriti: Faculty emeriti shall have the same rights and privileges as other members of the faculty except the right to vote. Insofar as possible, Augustana shall make university facilities available to faculty emeriti to assist them in their continuing scholarly activities.

## 9. Administrators with Faculty Status

1. Rationale for Awarding Administrators Faculty Status: Faculty status rightfully should extend to those administrators who, by virtue of their responsibilities, are so regularly and intimately involved in the academic life of the University that it is appropriate for them to be full participants in faculty meetings and to receive all campus communications sent to full-time faculty members.
2. Administrative Positions Carrying Faculty Status
  - a. The President of the University.
  - b. The Senior Vice President for Academic Affairs/Dean and the Associate Vice President for Academic Affairs.
  - c. The Dean of Students.
  - d. Professional librarians
  - e. Vice Presidents and Associate Vice Presidents
  - f. Registrar
  - g. Athletic Director
  - h. Campus Pastor(s) (11/2014)
  - i. Executive Director of the Career/Success Center (11-2014)
  - j. Executive Director of the Center for Innovation and Entrepreneurship (08/2015)

Any administrative position other than those listed above shall carry faculty status only upon appointment by the President in consultation with the Faculty Personnel Council. Faculty status is retained only so long as the person holds the position which confers the status, and is annually appointed by the President in consultation with the Faculty Personnel Council.

Rights and Privileges of Administrators with Faculty Status: Administrators with faculty status receive all communications directed to faculty; attend faculty meetings with the right to speak but without voting privileges or inclusion in the computation of a quorum, and attend other faculty functions of the University. (7/2019)

## 10. Athletic Coaches

1. Definition of Athletic Head Coaches: Head coaches may be appointed to teach fewer than twelve credit hours in a year's time and have specific responsibilities to lead and coach athletic teams as determined by the President in consultation with the Director of Athletics.
2. General Terms and Conditions: The general terms and conditions of the full-time athletic head coaching appointment shall be provided the appointee in a written contract. The term of the contract for head coaches shall generally not exceed three years, and may be for shorter periods of time.
3. Tenure: Athletic head coaches are not eligible for tenure.

4. Academic Rank: Persons hired primarily as athletic head coaches may apply to the President and Provost for faculty status. Such appointments will be approved by the Faculty Personnel Council and will be based on the academic credentials of the individual. Designations of academic rank may be granted to full-time athletic head coaches and include the following: instructor, assistant professor, associate professor, and professor, as defined in the Augustana University Faculty Handbook. Promotion must follow the criteria for promotion as described in the faculty handbook. Initial appointment will usually be made at the instructor or assistant professor ranks. Initial appointments above the rank of assistant professor shall be made in consultation with the Personnel Council.
5. Rights and Privileges of Athletic Head Coaches: Athletic head coaches who have applied for and been granted faculty status will receive all communications directed to faculty, may attend faculty meetings with the right to speak, and may attend other faculty functions of the University.
6. Letters of Appointment: Under a normal operating environment, letters of appointment for athletic head coaches are issued annually on or before May 1 and are to be returned to the President's Office on or before May 15. If athletic head coaches do not intend to sign and return a letter of appointment by the deadline, they should submit a formal letter of resignation. Any head coach not returning a signed letter of appointment by the deadline date voluntarily resigns appointment to the University. In case of hardship or extenuating circumstances, the head coach may seek an extension from the President for a period not to exceed fifteen (15) days.
7. Non-Reappointment of an Athletic Head Coach: A notice of non-reappointment at the end of a contract period is not a dismissal for cause; therefore, it is not legally necessary for the University to set forth its reasons in the notice of non-reappointment. If the athletic head coach wishes to know the reasons for his or her non-reappointment, the request should be made to, and shall normally be honored by, the Athletic Director.
8. Dismissal of an Athletic Head Coach: A head coaching appointment may be terminated before the contract expires for any of the following reasons:
  - a. Professional incompetence;
  - b. Inadequate service to the University;
  - c. Incongruence between the interests of the head coach and the mission of the University;
  - d. Cancellation or redirection of a program;
  - e. Declining university student enrollment or enrollment emergency
  - f. Financial exigency;

- g. Inability of the head coach to fully discharge responsibilities or meet full expectations of the University;
  - h. Moral turpitude (behavior that evokes condemnation by the academic/campus community generally);
  - i. Deliberate and serious violation of the rights and freedoms of fellow coaches, faculty members, administrators, or students;
  - j. Conviction of a felony or other crime which conviction would be contrary to the mission, goals, and purposes of the University; or
  - k. Falsification of credentials or experience.
9. Timing of Notice for Athletic Head Coaches: Under a normal operating environment, athletic head coaches shall be given notice of non-reappointment not later than May 1 of the final year of service. Athletic head coaches shall be given notice of dismissal not less than 30 days prior to the final day of employment. (06/2020)

### **III. Letters of Appointment**

#### **A. Procedure for Letters of Appointment**

The Senior Vice President for Academic Affairs/Dean issues letters of appointment to members of the faculty on an annual basis. These letters of appointment contain the following: Position or rank, assigned department, term or period of appointment, salary, and a statement that the person will be subject to the personnel policies of the University. In initial appointments, the person's status with respect to tenure will be specified.

#### **B. Timing for Letters of Appointment**

Letters of appointment are issued annually on or before May 1 and are to be returned to the Senior Vice President for Academic Affairs/Dean's Office on or before May 15. If faculty members do not intend to sign and return a letter of appointment by the deadline, they should submit a formal letter of resignation. Any faculty not returning a signed letter of appointment by the deadline date voluntarily resigns appointment to the faculty. In case of hardship or extenuating circumstances, the faculty member may seek an extension from the Senior Vice President for Academic Affairs/Dean for a period not to exceed fifteen (15) days.

#### **C. Letters of Appointment for Tenured Faculty**

Faculty members with tenure status will automatically receive annual letters of reappointment unless a formal process of dismissal has been completed or is in process. If the University intends to discontinue an academic program, notice shall be given to tenured faculty in accordance with the Faculty Handbook Guidelines. (8/2016)

#### **D. Letters of Appointment for Probationary Tenure-Track Faculty**

During their tenure probationary period, faculty will, upon the recommendation of their department chair and the Senior Vice President for Academic Affairs/Dean, receive annual letters of appointment. Written notification of non-reappointment must be made to the faculty member prior to March 1 of the first year of service, not later than

December 15 of the second year of service, and at least twelve months before the expiration of a tenure-track appointment after two or more years of service.

**E. Letters of Appointment for Continuing Term, and Visiting Faculty**

Faculty members in continuing term, or visiting, appointments normally receive a letter of reappointment on May 1 if the position is continuing for another year. (8/2016)

**F. Letters of Appointment for Part-Time Faculty**

Letters of appointment (whether during the academic year or Summer University) are issued on a course-by-course basis and convey no fringe benefits except FICA, workers compensation, activity tickets, and library privileges. These appointments are only for the term of teaching.

**G. Summer School Letters of Appointment**

Letters of appointment for summer school are issued on a course-by-course basis. (8/2016)

**IV. Search, Appointment and Orientation of New Faculty**

**A. Faculty Appointments**

All appointments to the faculty of Augustana University are made by the Senior Vice President for Academic Affairs/Dean, in consultation with the President and the Vice President for Human Resources. The recommendations of the search committee, Division Chair, and Department Chair are important factors in any faculty hire.

The quality of initial appointments is vital to the University's pursuit of excellence. In order to maintain an outstanding faculty and to create a professionally challenging atmosphere, Augustana University will be highly selective in making initial appointments.

**B. Affirmative Action and Non-Discrimination Policy**

All faculty searches will follow the University's affirmative action and non-discrimination policies. See Augustana's written Affirmative Action Program and Employee Handbook for a description of these policies.

**C. Search Policies and Procedures**

1. Notice of Position Opening: The Senior Vice President for Academic Affairs/Dean shall inform the appropriate faculty of any vacancy or new faculty position.
2. Advertising Faculty Positions: The Senior Vice President for Academic Affairs/Dean is responsible for publicizing the opening as widely as possible. The Senior Vice President for Academic Affairs/Dean will initiate administrative procedures for the recruitment process.

### 3. Faculty Search Committees:

- a. Creation: The chair of the Division in which the opening has occurred shall, in consultation with the appropriate departmental chair, appoint a search committee.
- b. Composition: The search committee shall be composed of no fewer than six members and include the following:
  - (1) The chair and two other faculty members from the department with the vacancy.
  - (2) The Division Chair.
  - (3) One faculty representative from each of the other two divisions.
- c. Responsibilities: The committee is charged with the following responsibilities:
  - (1) To carefully review all applications.
  - (2) To participate in discussions related to the recruitment process.
  - (3) To vote on all questions pertaining to the selection of candidates for interview.
  - (4) To formulate a recommendation of the person to be appointed.
  - (5) To treat all application files and all relevant committee deliberations as confidential material.
  - (6) To follow the protocol established by Human Resources.
- d. Evaluation Criteria: The Search Committee will focus upon:
  - (1) The candidate's academic and teaching competencies in the appropriate academic field.
  - (2) The candidate's ability to meet the needs of the department and/or the division.
  - (3) The candidate's general orientation toward the mission of the University. In reviewing the vitae of candidates, the search committee or the Senior Vice President for Academic Affairs/Dean may obtain consultation or opinions from within or without the University community.
- e. Formal Recommendation to the President of the University:

The search committee shall submit to the Senior Vice President for Academic Affairs/Dean a recommendation for the candidate judged most suitable for the position. If the Senior Vice President for Academic Affairs/Dean concurs with the committee's recommendation, the Senior Vice President for Academic Affairs/Dean will recommend to the President that the individual be

appointed to the faculty. Should the Senior Vice President for Academic Affairs indicate a lack of congruence between the candidate's general educational orientation and the mission of the University, the Senior Vice President for Academic Affairs/Dean shall discuss the reasons with the committee and attempt to resolve the difference of opinion. If no resolution is achieved, the search committee will bring forward a different recommendation.

**D. General Standards for Faculty Employment (8/2016)**

All appointees must profess an interest in taking an active role in the campus community and in supporting the mission of Augustana as a church-related, liberal arts university:

1. Augustana will hire only those teacher-scholars who aspire to high quality teaching, both within their discipline as well as in the general programs of the University.
2. In order to attract faculty who, know what students must learn in a particular discipline, and who have the ability to help construct a curriculum through which students gain needed knowledge, skills and competencies, the appropriate terminal degree is the goal in all faculty searches. For the purposes of this policy, Augustana considers the following as terminal degree equivalents: the MFA in Studio Art or Theater, the CPA plus a related master's degree and relevant experience in Accounting, the DNP in Nursing, and Masters of Science in Genetic Counseling.
3. Faculty member should have completed a program of study in the discipline or subfield in which they teach, and/or for which they develop curricula, with coursework at least one level above that of the courses being taught or developed.
4. Faculty members possessing a master's degree or higher in a discipline or subfield other than that in which they teach, should have completed a minimum of 18 graduate credit hours in that discipline or subfield.
5. Faculty teaching in graduate programs should hold the terminal degree determined by the discipline and have a record of research, scholarship or achievement appropriate for the graduate program.
6. Candidates who are close to the completion of the terminal degree may be hired with the understanding that their continued employment is conditional upon the completion of the terminal degree prior to a specified date.
7. On occasion, Augustana University may utilize tested experience as an alternate method qualifying faculty. However, this limited use of tested experience to qualify faculty to teach will depend largely upon the nature and scope of that experience and its relevance to the content of a given course.

8. Exceptions to the guidelines above implies that some objective threshold is employed. For the purposes of this policy, Academic programs may consider the following metrics:
  - a. Number of years of demonstrated experience to design curricula, develop and implement effective pedagogy at the undergraduate or graduate level they are teaching.
  - b. Extensive professional experience in the field of study of what students need to know to be successful.
  - c. Possession of a recognized credential, such as professional certification (e.g., CPA, SHRM)
  - d. Longevity of past experience in the classroom with evidence of content expertise.

The use of tested experience normally requires the department chair to submit a request along with rationale and justification for the exception. This request is then reviewed by the division chair who then recommends approval or disapproved to the Senior Vice President for Academic Affairs/Dean who takes final action on the request. The applicant ad department and division chairs and the Personnel Council will then be notified of the final action of the Senior Vice President for Academic Affairs/Dean.

9. Candidates need not be Lutheran, but they must fully accept Augustana's mission statement and support the University's Core Values (Christian, Liberal Arts, Excellence, Community, Service). This means that they must be willing and able to discuss questions of faith, values, and ethics with the students.
10. Candidates must subscribe to Augustana's policies as stated in the most recent student and faculty handbooks. Racism, sexism, or other evidence of an inability to maintain properly respectful, warm, supportive relations with students of all backgrounds automatically disqualifies candidates from further consideration.
11. Candidates should realize that if they are hired, they will be expected to contribute to Augustana's state, regional, and national presence through activities such as writing scholarly and non-technical publications, speaking at professional meetings, seeking prestigious task force appointments, giving recitals or exhibitions, and being elected or appointed to offices and committees in disciplinary organizations. However, this is not a "publish or perish" system, and disciplinary activities that harm rather than enhance teaching are not favored.

#### **E. Official Invitation to Join the Faculty**

Officially, all appointments are approved by the Board of Trustees of the University on recommendation of the President. In practice, invitations to join the faculty of Augustana University are made by the Senior Vice President for Academic Affairs/Dean, in consultation with the President and the Vice President for Human Resources, as well as, the chair of the department concerned, and the chair of the Division to which the appointment is made. Each appointee receives an official invitation to join the faculty, stating the pertinent principles, terms, and general duties of the position. This invitation may also include a statement regarding credit for prior teaching experience as that credit might relate to considerations for tenure, promotion, and participation in TIAA/CREF. The appointee shall also receive a copy of the Faculty Handbook and a letter of employment. The Employment Policies and Procedures portion of the Faculty Handbook and the letter of appointment constitute the agreement between the faculty member and the University.

#### **F. Qualifications for Appointment to Rank**

1. Instructors: Persons will be hired at the rank of Instructor if they possess academic preparation in their teaching area that is less than the terminal degree regarded as appropriate to their discipline.
2. Assistant Professors: The earned doctorate will, with rare exceptions listed above, be required for initial appointment to the rank of Assistant Professor.
3. Associate Professors and Professors: Initial appointments to the faculty will usually be made at the Instructor or Assistant Professor ranks. Initial appointments to the rank of Associate Professor or Professor are rare, and are to be made in consultation with the Personnel Council.

#### **G. Orientation of New Faculty Members**

It is the responsibility of the Department or Division Chair and the Senior Vice President for Academic Affairs/Dean to transmit information to the appointee regarding the standards and policies of the institution, using the Faculty Handbook as a reference. The Senior Vice President for Academic Affairs/Dean will convene regular meetings of new faculty members during their first year of employment at Augustana University.

### **V. Employment Conflict of Interest**

No faculty member shall engage in any regular educational activity, conducted outside the educational program of Augustana University, which provides transferable university credit to persons enrolled in the activity, without the prior written approval of the Senior Vice President for Academic Affairs/Dean.

## **VI. Faculty Personnel Records**

### **A. Documents and Records**

Because appointment as a ranked faculty member may lead to a continuing relationship with the University, it is essential that there be adequate and detailed documentation to support every significant employment action, especially those actions pertaining to appointment, promotion, tenure, and separation from employment.

### **B. Pre-Employment File**

The pre-employment file is established in the Human Resources office for each applicant for an advertised faculty position. Prior to appointment, this file is available only to the President, the Senior Vice President for Academic Affairs/Dean, their professional staffs, and the members of the search committee considering the person's application for employment.

### **C. Faculty Personnel Files**

1. Personnel Files in the Office of the Senior Vice President for Academic Affairs/Dean are the repository for:
  - a. The person's application, vitae, and authorization to hire
  - b. Copies of the person's initial and subsequent letters of appointment
  - c. Department chairs' evaluations of the person
  - d. The person's career summary report
  - e. Summaries of periodic student evaluations of the person's teaching performance
  - f. Copies of correspondence between the President or Senior Vice President for Academic Affairs/Dean and the person
  - g. Other documents pertaining to the person's performance as a faculty member
2. The faculty member has access to read their file but may not remove items from it. The Senior Vice President for Academic Affairs/Dean holds final discretion as to additions to the file, except for items which represent the faculty's perspective and items which are added by the faculty member. Faculty members will be notified if non-routine items are added to the file. Routine items not requiring notification include teaching evaluations by students and department chair annual evaluations.
3. Special short-term files relating to individual faculty members are created for purposes of promotion, pre-tenure and tenure consideration, and dismissal proceedings. These files are maintained confidentially for a period of one year by the Senior Vice President for Academic Affairs/Deans' office, and then sealed for confidential storage in the University Archives.

#### **D. Employment Files in the Human Resource Office:**

A file on each faculty member is also maintained in the University Human Resource Office. This file includes a personnel information sheet (completed by the faculty member at initial appointment), the person's retirement contract and INS I-9 form, health insurance claims, and copies of the person's annual letters of appointment.

### **VII. Evaluation of Augustana Faculty Members**

Faculty evaluation provides constructive and balanced information that enables faculty members to better fulfill their academic responsibilities. The faculty is evaluated regularly on their performance as faculty members. In addition, faculty shall file annual reports with respect to professional development.

#### **1. Teaching Effectiveness (8/2016)**

Excellence in teaching is the most important attribute of an Augustana faculty member. Since many characteristics contribute to teaching effectiveness, documentation should demonstrate, but is not necessarily limited to, 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;
- h. Capacity to challenge students (for example, motivate independent work)
- I. Ability to use effective teaching methods and strategies; and
- j. Possession of the attributes of integrity, open-mindedness, and objectivity in teaching.

Teaching effectiveness may be assessed using the following procedures or activities:

- a. Self-evaluation;
- b. Evaluation by the Department Chair;
- c. Peer evaluation;
- d. Student ratings of instruction;
- e. Further course work or continuing education in one's field; and
- f. Participation in seminars and/or workshops on teaching skills.

#### **2. Scholarship (8/2016)**

Effective teaching necessitates active involvement in the intellectual and scholarly developments in a discipline. Since scholarly activity will vary from discipline to discipline, research, performance, or creative work should be evaluated in terms of quality as well as quantity. For example, the work's level of recognition among peers and its significance to the particular discipline should be considered.

### **Scholarship Guidelines:**

It is difficult to identify precisely, *a priori*, every act of scholarship and to demarcate scholarship from all other academic activities. Several academic activities are unequivocally deemed “scholarship” while many others **may** be deemed to be scholarly under particular circumstances. The Personnel Council—mindful of this complexity—has developed the following guidelines for use in its deliberations.

Scholarship is a process of disciplined inquiry and/or sustained creative exploration that adds to the knowledge or appreciation of the mental, physical and/or spiritual dimensions of humans in relation to their world. Consistent with its liberal arts foundation and its professional programs, Augustana University encourages and supports a broad array of scholarly activities.

Substantive differences exist in the types of scholarly activities that are valued both within and between disciplines. Nevertheless, **all** scholarly activities exhibit some common elements:

1. The activity demonstrates the expertise of the faculty member and elevates his/her reputation within the institution **and** within his/her greater community of peers (scholars, artists, researchers, professionals).
2. The activity results in a publication, presentation, participation, exhibition or performance that expands knowledge, skills, or aesthetic appreciation that is shared with an appropriate scholarly community.
3. The activity is subject to a formal review/judgment/critique by scholars/professionals outside the institution who are generally perceived to possess the appropriate expertise to judge the merits of the scholarly activity.

Scholarship that meets the above criteria includes (but would not be limited to) academic publications in peer-reviewed journals, books (in whole or in part) published by reputable presses, presentations at international, national or regional disciplinary and/or interdisciplinary conferences, musical compositions, art exhibits, artistic performances, creative writing (e.g. plays, poetry, etc.), works of fiction, patented inventions and computer software. Scholarship that meets the above criteria is also reflected (although to a lesser extent) in book reviews and the creation of pedagogical works such as textbooks, textbook ancillaries, laboratory manuals, published case studies, etc. that are shared with the academic world beyond Augustana. Scholarship that meets the above criteria may also be reflected via participation in professional societies (as a member of journal’s editorial board, referee for journal, respondent for conference paper, etc.) Some aspects of external grant writing and consulting may be considered scholarly activity. Invited lectures, performances, exhibits and presentations may be reflective of scholarship provided that (at least some members of) the audience are capable of rendering a scholarly review. (8/2016)

#### 4. Contribution to the Campus Community

Augustana University depends upon its faculty for services rendered outside the classroom. These services include service to the University, the academic advising of students, and service to the student community.

1. Service to the University: A faculty member is expected to participate in the operational concerns of the institution. Such participation may include, but is not necessarily limited to:
  - a. Service on departmental and divisional committees;
  - b. Attendance at and participation in faculty, department, and division meetings;
  - c. Participation in the curriculum development process;
  - d. Participation in faculty recruitment;
  - e. Participation in student recruitment;
  - f. Effective participation on university committees;
  - g. Leadership in some area of university life---governance, faculty development, curriculum design;
  - h. Service, when called upon, as chair of a committee, department, or division;
  - I. Acting as a representative of the University to the larger regional, national, or international community.
  
2. Evidence of service activities may include, but is not necessarily limited to:
  - a. Self-report of activities;
  - b. Evaluation of the faculty by the Department Chair; in the case of a Department Chair, by the Division Chair; and in the case of the Division Chair, by the Senior Vice President for Academic Affairs/Dean.
  - c. Committee or committee chair evaluations.
  - d. Evaluation by the supervisor of the activity (e.g., a report from the Vice President of Enrollment).
  
3. Advising: Faculty members have an obligation to competently advise students in their classes about class work and to serve as departmental advisors for students majoring in their discipline. Characteristics that contribute to good advising include, but are not necessarily limited to:
  - a. Availability to students
  - b. Ability to communicate with students;
  - c. Ability to help students select an appropriate course of study;
  - d. Ability to help students appreciate the aims of a liberal education;
  - e. Ability to assist students in academic planning (fulfilling all requirements for their degree(s) or certification of outside agencies).

4. Effectiveness in advising should be assessed by the following procedures or activities:
  - a. Self-evaluation;
  - b. Evaluations by Department Chair and/or Senior Vice President for Academic Affairs/Dean;
  - c. Peer evaluation;
  - d. Student evaluations; and
  - e. Participation in seminars and/or workshops designed to improve advising skills.
  
5. Service to the Student Community: In addition to their responsibilities in advising, faculty members are also expected to serve the students in other ways as appropriate. Such other service to the student community may include, but is not necessarily limited to:
  - a. Service as advisor to a student organization;
  - b. Service as a moderator of student activities;
  - c. Planning and/or participating in extra-curricular student activities; and
  - d. Planning and/or participating in curricular-related enrichment activities outside normal course offerings.

## **5. The Evaluation Process**

Faculty members are regularly evaluated in the following ways:

1. Department Chair's Evaluation of Untenured Faculty:  
Department chairs submit evaluations of each untenured faculty member, with the exception of continuing term faculty having accrued more than 10 years of consecutive service, to the Senior Vice President for Academic Affairs/Dean's office by May 31 each year. The evaluation is to be shared with the faculty member, and the faculty member is to sign the form indicating he or she has read it. The faculty member may also make comments regarding the content of the chair's evaluation.  
(08-02-2017)
  - a. Chairs are encouraged to visit the classes of all untenured department faculty at least once a year and to review teaching performance with them.
  - b. In instances in which the department chair is untenured, departmental faculty evaluations will be conducted with, and co-signed by, the division chair.
  
2. Student Ratings of Instruction:
  - a. Each faculty member will have the Student Ratings of Instruction administered at least once every four semesters in all of that faculty member's classes. New faculty members must be rated

during both semesters of their first year at Augustana in order to provide them with reactions to their teaching performance. Persons who are in their third year of teaching will be rated both semesters as part of their pre-tenure review, as will those who expect to be recommended for tenure or promotion.

- b. One copy of the summarized student rating of instruction for each faculty member is kept in his or her personnel file in the Senior Vice President for Academic Affairs/Dean' office, and a second copy is returned to the faculty member via the division and department chairs. Chairs are to review the ratings with the faculty member as part of the formative process of teaching development. The copy in the Senior Vice President for Academic Affairs/Dean's office is used as part of the summative evaluation process relating to considerations of tenure, promotion, salary increase, and dismissal by the Faculty Personnel Council, the Senior Vice President for Academic Affairs/Dean, and the President.

3. Self-Evaluation:

As professionals, faculty members are expected to evaluate their own performance, and actively support and promote the mission of Augustana University. Tenured faculty members are not annually evaluated by their department chairs, but instead should submit to the Senior Vice President for Academic Affairs/Dean by June 15 a brief annual report of activities and goals focused on teaching, scholarship/creativity, and service.

## **VIII. Faculty Promotion**

### **A. Description**

1. An academic teaching career, by its very nature, demands a commitment from faculty members to lifelong study and scholarship. To sustain vitality in the classroom and currency in a discipline, faculty members must, from the outset of their careers, form the habits of the true teacher-scholar. They must read the work of colleagues in their discipline and seek new knowledge, insights, and syntheses that they may share with their students and with their peers.
2. Institutions of higher learning recognize and reward the desired characteristics of teacher-scholars by promotion through academic ranks. The University and its faculty members share a mutual interest in the standards by which faculty are judged and rewarded in the promotion process, and accordingly they both must share in the responsibility for seeing that the standards can be, and are, achieved.

3. The interest of the faculty is clear. Their welfare is tied to the success of the University, which in turn depends upon their own combined reputations as teacher-scholars. Then, too, there are the faculty members' feelings of self-worth as professional teacher-scholars, their individual reputations, and their mobility within their disciplines.
4. The interest of the University is equally clear. Augustana's reputation and success depend upon sustaining a faculty of quality teacher-scholars who are well prepared, current, active in their discipline, and supportive of students, the campus community, and the mission of Augustana as a church-related liberal arts university. Thus, the University must be committed to hiring persons who promise to be this kind of faculty member, and it must also encourage, support, and reward their ongoing growth and development as teacher-scholars.
5. In summary, a university must not only set standards for and evaluate the performance of its faculty members but must also provide reasonable support to their continued development and adequately reward them when the standards are met. Augustana is committed to providing reasonable support for the development of its faculty members as teacher-scholars and to rewarding them adequately when they fulfill the criteria for promotion.
6. Recognizing that excellence in teaching is a continuous responsibility, it is unrealistic to expect faculty to do extensive amounts of scholarly activity and play major campus leadership roles at the same time. To do so could jeopardize their teaching, health, or family relationships. Consequently, candidates for promotion should have demonstrated a balance of commitment and ability in both areas over a period of years during which they may have at times emphasized one activity and then the other without neglecting either. (8/2016)

#### **B. Faculty Rank**

The system of academic rank is designed to encourage the development of desirable characteristics and behaviors in the faculty, and to recognize and reward those characteristics and behaviors when developed. The rank of professor is the ultimate goal of the promotion process and represents in its definition and criteria the fulfillment of all expectations the University has for its mature teacher-scholars. Accordingly, the ranks of instructor, assistant professor, and associate professor should be viewed as career developmental stages during which the faculty members progress in their academic preparation, their skills and effectiveness as teachers, their habits and successes as scholars, and their leadership roles within the campus community.

#### **C. Criteria for Promotion to Assistant Professor**

Faculty members being considered for promotion to the rank of Assistant Professor will, with rare exceptions listed previously in the section on appointments, have completed requirements for the terminal degree from an accredited university appropriate for their discipline. As developing teacher-scholars, they will have also demonstrated the

potential for meeting the criteria for further promotion. It is as Assistant Professors that they will establish those characteristics as a teacher, scholar/artist, and member of the University community that tenure and further promotion will recognize and reward.

1. Academic Preparation: The earned doctorate or recognized terminal degree from an accredited university will, with rare exceptions, be required for promotion to the rank of Assistant Professor. In some disciplines, where the master's degree is regarded as the terminal degree, it may be accepted as the minimum preparation for promotion.
2. Length of Service: Normally, before being promoted to the rank of Assistant Professor, a faculty member shall have served a minimum of four years at the rank of instructor. Full-time service at other institutions of higher education may be considered toward this requirement.
3. Teaching: A commitment to the goal of becoming an excellent teacher, evidence of successful teaching experience, and the potential for further development as a substantive and effective teacher is required for promotion to the rank of assistant professor. Recognition as a substantive and effective teacher is an absolute requirement for promotion to Assistant Professor. (8/2016)
4. Scholarship: A record of continued scholarly activities is expected for promotion to the rank of Assistant Professor. (8/2016)
5. Contribution to the Campus Community: A commitment to being a contributing member of the department and the University as a whole and evidence of commitment (such as serving on committees, advising students, undertaking special assignments, and so on) is necessary for promotion to the rank of Assistant Professor.

#### **D. Criteria for Promotion to Associate Professor (8/2016)**

Those faculty considered for promotion to the rank of Associate Professor should possess the same academic preparation and demonstrate the same qualities of a teacher-scholar as someone who would be eligible for consideration for promotion to the rank of Professor. They are, in effect, entering a transitional rank between Assistant Professor and Professor. Accordingly, in a more specific sense, they should demonstrate continuing growth and development as teachers, scholars, and members of the University community.

1. Academic Preparation: The earned doctorate or the appropriate terminal degree for the discipline is, with rare exceptions listed previously, required for promotion to the rank of Associate Professor.
2. Length of Service: In standard cases, a faculty member is eligible for promotion to the rank of associate professor after six years in rank as assistant professor. Full-time service at other institutions of higher education may be considered in meeting this requirement. Generally, an application for promotion to associate professor should be concurrent with the faculty member's application for tenure. (11/2016)

3. Teaching: Excellence as a teacher is as reflected in enthusiasm for the vocation, effectiveness of teaching methods, concern for student learning, effective advising both within and outside the major, and continued academic preparation and improvement. Recognition as a substantive and effective teacher is a requirement for promotion to Associate Professor.
4. Scholarship: Evidence of a continuing habit of scholarly/artistic growth and activity is required for promotion to the rank of Associate Professor. Candidates may solicit up to two letters from external disciplinary reviewers and/or collaborators to substantiate this habit of scholarship.
5. Contribution to the Campus Community: Constructive involvement in promoting the programs and mission of the University (including effective participation in faculty governance, program implementation, student advising, special assignments, and so on) is required of someone recommended for promotion to Associate Professor.

**E. Criteria for Promotion to Professor (8/2016)**

1. Academic Preparation: The earned doctorate or a recognized terminal degree in the discipline is, with rare exceptions listed previously, required for promotion to the rank of Professor.
2. Length of Service: In standard cases, before being promoted to Professor, a faculty member shall have served a minimum of seven years as an Associate Professor. See item 6 below for non-standard timelines.
3. Scholarship: Evidence of an established habit of continuing scholarly and/or artistic productivity is required for promotion to Professor. Candidates are strongly encouraged to solicit letters from external disciplinary reviewers to substantiate this habit of scholarship.
4. Teaching Excellence: Continued excellence as a teacher is considered an absolute requirement for promotion to the rank of Professor.
5. Contribution to the Campus Community: Leadership in promoting the programs and mission of the University (including effective participation in the general programs of the faculty, faculty governance, program implementation, the advising of students, special assignments, professional or disciplinary leadership that enhances the academic reputation of the University, and so on) is expected of someone recommended for promotion to Professor.
6. Expedited Promotion to Professor: A faculty member who has satisfied criteria 1, 3, 4, and 5 above, and, in addition, who has maintained peer-reviewed scholarly and/or artistic productivity that has contributed to a particular field in a significant and demonstrable manner may submit a promotion package requesting suspension of the Length of Service criterion (2) above. As a general rule, the shorter the duration of

service at the Associate Professor rank, the higher the standard for granting expedited promotion to Professor shall become.

- a. The scholarly portfolio of a candidate for expedited promotion to Professor shall be subjected to review by an external expert(s) in the relevant field. The candidate may suggest a potential reviewer(s), but the Senior Vice President for Academic Affairs/Dean, in consultation with the Department Chair and the Personnel Council, shall make the final selection of the anonymous reviewer(s). Personnel Council will use the results of the external review in making a judgment about the significance of the candidate's scholarly work. The credentials of the reviewer(s) are to be available to the Personnel Council as part of the report.
- b. Due to the timeline needed to complete the external review, the completed portfolio and request for expedited promotion shall be delivered to the Senior Vice President for Academic Affairs/Dean by August 1<sup>st</sup> of the review year.
- c. Candidates may only request a suspension of the Length of Service criterion once.

**F. Procedures for Promotion (8/2016)**

The Faculty Personnel Council advises the Senior Vice President for Academic Affairs/Dean and the President concerning the promotion of faculty members. The President and the Senior Vice President for Academic Affairs/Dean shall make recommendations to the Board of Trustees regarding the promotion of university faculty members. The Board of Trustees has final authority to award designations of academic rank.

1. Initial Recommendation for Promotion Consideration: As part of the annual evaluation of faculty members by department chairs, the department chairs shall recommend that department members be considered for promotion when they have met the criteria for the appropriate rank. Division chairs shall make those recommendations for the department chairs within their division. Division chairs may also recommend individual faculty members within their division if they judge that a department chair has not recommended promotion when appropriate. In the latter instance, the division chair and the Senior Vice President for Academic Affairs/Dean will inform the department chair in writing of the decision to consider the faculty member for promotion and of the rationale for doing so.
2. Assembling Supporting Documentation: The department chair is responsible for ensuring that the promotion/tenure file is assembled properly and submitted to the Office of Academic Affairs on time. When the department chair is being considered for promotion/tenure, the division chair carries this responsibility.

Promotion and tenure applications are due by September 1 (see “Timeline and Responsibilities” below) (05-21-2013) of the review year; pre-tenure files are due by March 15 of the review year. (3-16-2011) The faculty member being evaluated, the chair, and the Office of Academic Affairs each have responsibility for certain sections of the file. The file should include and be assembled in the following order: (*Assembled by the faculty member being evaluated*)

- a. The first document in the file is the signed Promotion/Tenure File Waiver Form. This form indicates to the individuals providing evaluations whether or not the applicant waives their right to view the materials included in the file. The Personnel Council recommends that faculty members waive their right to view the file in the interest of obtaining candid and direct evaluations. Candidates should be aware that Council members may give less or minimal weight to letters from colleagues when the right to view has not been waived. FINAL ORDER: 1
- b. A personal narrative by the faculty member. The narrative should be a self-evaluation in which the faculty member compares himself or herself to the established criteria for rank (and tenure, if applicable) sought. It should also include a statement of career goals. FINAL ORDER: 2
- c. A current curriculum vitae. FINAL ORDER: 3
- d. Copies of all papers 25 pages or less in length. Copies of abstracts of all papers in excess of 25 pages in length. All papers in excess of 25 pages are also to be supplied in pdf on a single CD or flash drive. Books are to be supplied and will be returned to the author after evaluation. FINAL ORDER: 8. (03/2011)
- e. A complete set of syllabi for courses taught in the last three years. FINAL ORDER: 9

*Assembled by the Office of Academic Affairs (materials to be included before tenured faculty are asked to write evaluations)*

- f. Chair’s annual evaluation forms. A complete set of all years will be provided for pre-tenure, tenure, and promotion to assistant and associate professor. None will be provided for promotion to professor as chair’s evaluation forms are not submitted post-tenure. FINAL ORDER: 6
- g. Student teaching evaluations. Student ratings shall be limited to the data from the Student Rating of Instruction forms administered by the Office of Academic Affairs. Letters solicited by the faculty member from individual students should not be included. A complete set of student evaluations from the last six years shall be included. In pre-tenure applications, a complete set shall be included. FINAL ORDER: 7

*Assembled by the chair*

- h. A narrative evaluation by the faculty member's chair specifically comparing the person to the established criteria for the rank (and tenure, if applicable) for which the person is being recommended. The chair shall observe at least two of the candidate's classes before recommending that the candidate be considered for promotion, pre-tenure, or tenure.  
FINAL ORDER: 4
- i. Evaluative essays by tenured faculty colleagues (to include but not be limited to all tenured members of the candidate's department). Faculty from outside the candidate's department may be asked to provide essays only when they have special knowledge of the candidate's performance relating to one or more of the criteria for promotion. Evaluative letters may be supplied by a faculty member or administrator at another institution or agency who can provide insights into the candidate's responsibilities conducted off campus. The department chair, or the candidate, may also elect to have the candidate evaluated by one or more professional peers from outside the University.  
FINAL ORDER: 5

*Final order of the promotion/tenure file*

1. Signed Promotion/Tenure File Waiver Form.
2. Personal narrative by the faculty member.
3. Current curriculum vitae.
4. Narrative evaluation by the faculty member's chair.
5. Evaluative essays by tenured faculty colleagues.
6. Chair's annual evaluation forms.
7. Student teaching evaluations.
8. Copies of all publications (see instructions in VIII.F.2.d) (3/2011)
9. Complete set of syllabi for courses taught in the last three years (10/2010)

Timeline and Responsibilities for Submission of Promotion/Tenure File

1. The candidate will submit the following artifacts to the Department Chair by September 1:
  - a. Promotion/Tenure File Waiver Form (4.F.2.a)
  - b. Personal Narrative (4.F.2.b)
  - c. Curriculum Vitae (4.F.2.c)
  - d. Copies of Papers (4.F.2.d)
  - e. Syllabi (4.F.2.e)

2. The above artifacts will be available in the department office for review by tenured faculty colleagues, whose evaluative essays will be submitted to the Senior Vice President for Academic Affairs/Dean's office by September 15.
3. The Department Chair will submit the completed Promotion/Tenure file to the Senior Vice President for Academic Affairs/Dean's office by September 15. (05/2013)
4. Review by the Faculty Personnel Council: All members of the Faculty Personnel Council shall review the entire file of supporting documentation for each faculty member recommended for promotion consideration. If the Personnel Council feels that additional information is necessary before a decision is reached, it may ask the candidate, the candidate's chair, or the Senior Vice President for Academic Affairs/Dean to provide such information. The Council shall forward its written recommendations regarding faculty promotions to the President at least two weeks prior to the December Board of Trustees meeting. (10/2013)
5. Administrative Review: The Senior Vice President for Academic Affairs/Dean and the President shall review the recommendations of the Faculty Personnel Council. The President shall inform the Personnel Council in writing about whether the recommendations will be accepted, and will forward the same information to the Board of Trustees. The review of recommendations for promotion by the Senior Vice President for Academic Affairs/Dean and the President, as well as by the Board of Trustees, shall be based upon how well the candidates meet the criteria as stated in the Faculty Handbook for the rank for which they have been recommended.
6. Notification of Council, President, and Board Actions Regarding Promotion:
  - a. When the Faculty Personnel Council has completed its deliberations and is ready to make its recommendations regarding faculty promotions to the President, it shall also convey in writing its recommendation to the faculty members concerned. These letters shall be written on behalf of the Faculty Personnel Council, and signed by the Chair of the Council and the appropriate Division Chair. The letter shall report to the candidate the Council's recommendation to the President and Senior Vice President for Academic Affairs/Dean and briefly explain the basis for that recommendation. Copies of these letters shall be sent to the Senior Vice President for Academic Affairs/Dean and the President.
  - b. If the President and Senior Vice President for Academic Affairs/Dean intend to make recommendations to the Board of Trustees that differ from the Personnel Council's recommendations, the President and/or Senior Vice President for Academic Affairs/Dean shall first notify the Council in writing, and, if requested, shall at a closed meeting of the Council explain the reasons for the disagreement. The President and/or

Senior Vice President for Academic Affairs/Dean shall then meet with the faculty member, provide him or her with a written explanation of why he or she is not being recommended for promotion, and counsel the faculty member regarding future prospects for promotion.

- c. Following the Board of Trustees' action regarding faculty promotions, the President shall communicate the outcome to the faculty members concerned, with copies to the faculty member's department and division chairs. Positive action on a promotion will be reflected in a faculty member's letter of appointment for the succeeding academic year, and the new rank will take effect at the onset of the new academic year.
- d. If the President or the Board of Trustees should choose not to recommend or to approve the granting of a promotion to a faculty member, the President and/or the Senior Vice President for Academic Affairs/Dean shall inform the faculty member of this action, and shall personally meet with the faculty member, provide a written explanation of why promotion was not recommended or approved, and counsel him or her regarding the decision.

## **IX. Tenure**

### **A. Definition**

Tenure means appointment without specified expiration date, granted by the University following a probationary period during which the faculty member is systematically evaluated and judged to meet the criteria for receiving tenure.

Tenure conveys both privileges and responsibilities to faculty members. On the one hand, tenure protects faculty members against institutional and external pressures that might inhibit their freedom of expression intellectually and artistically. Accordingly, tenured faculty members shall be dismissed or their appointments terminated only for adequate cause and with due process. On the other hand, tenure also carries an expectation that faculty members will assume, through their conduct, a responsibility for the well-being of the total life and program of the University. Specifically, this includes the responsibility of maintaining a high level of competence as a teacher-scholar and of taking an active and constructive part in the campus community.

In summary, the granting of tenure implies the expectation of a long-term relationship between the faculty member and the University. It is granted only when it is clearly in the best interests of the institution and its academic program to do so, and only to faculty members whose performance during their probationary term of service has been judged to meet the criteria with distinction.

### **B. Authority to Grant Tenure**

The responsibility of tenured members of the University faculty for the long-term well-being of the University and their status as professional teacher-scholars make it

appropriate and wise that tenure consideration begins with a process of peer review. Accordingly, the Faculty Personnel Council shall advise the Senior Vice President for Academic Affairs/Dean of the University and the President concerning the granting of tenure to faculty members, and the President shall make recommendations to the Board of Trustees. The Board of Trustees has final authority to award tenure status.

#### **A. Eligibility for Tenure Consideration**

1. Faculty members will be considered for receipt of tenure no later than their sixth year of probationary service to the University. If tenure is not granted in the sixth year, the seventh year will be the faculty member's final year of service at the University.
2. Since tenure denotes an expected long-term relationship to the University, only full-time or proportional (reduced-load) full-time faculty are eligible for tenure consideration.
3. Full-time teaching at the rank of instructor or higher at another university or college prior to coming to Augustana, or previous part-time teaching at Augustana, may reduce the normal period of probationary service before tenure consideration. Specific credit toward shorter-than-normal probationary terms prior to tenure consideration, based on prior teaching experience, may be negotiated at the time of hiring and will be stated in the faculty member's initial letter of appointment. Parameters for such negotiations follow:
4. Faculty members hired at the professor rank will normally serve a probationary period of no more than three years prior to receiving tenure consideration in the following year.
5. Faculty members hired at the associate professor rank will normally serve a probationary period term of no more than four years prior to receiving tenure consideration in the following year.
6. Assistant professors and instructors will normally serve a probationary period term of no more than five years prior to receiving tenure consideration in the following year. Prior part-time teaching at Augustana may reduce this term by one year.
7. With the possible exceptions of hiring a President or a Senior Vice President for Academic Affairs/Dean, the University will not grant tenure at the time a person is hired. If a President or Vice President for Academic Affairs is granted tenure at the time of hire, it is understood that the granting of tenure does not obligate the University to employ that person as a faculty member of any specific academic department upon completion of the administrative term(s).

#### **B. Criteria for Granting Tenure**

The criteria for tenure described below express the qualities that Augustana deems essential in its faculty for accomplishing its mission as a liberal arts university of the

Evangelical Lutheran Church in America and for enhancing its reputation as a university of excellence and high standards. The goal of the tenure evaluation process is to create and maintain a faculty of well-prepared and caring teacher-scholars who are committed to their students, to their disciplines as active and creative scholars, and to the University community as colleagues who support Augustana's mission and care about and for each other.

Candidates for tenure should demonstrate continuing growth and development as teachers, scholars, and members of the University community. They are not expected to do extensive amounts of scholarly activity and play major campus leadership roles at the same time. But they are expected to establish a balanced approach toward these two areas that will at times emphasize one and then the other without neglecting either. (8/2016)

While considering candidates for tenure, the Personnel Council will look for specific sorts of evidence to determine if the candidates have indeed met each of the criteria:

1. Teaching Effectiveness:

- a. Competence and preparation in the subject matter. A terminal degree in the teaching discipline is, with rare exceptions, required for the receipt of tenure.
- b. Effective and substantive classroom teaching that stimulates students' desire to learn and develops in students' appropriate skills, knowledge and values.
- c. Effectiveness in academic advising and other one-on-one contacts with students such as supervision of independent studies and internships.
- d. Evidence of an ability to see one's discipline in relationship to others within a liberal arts education, and, through example and word, to help students see the moral, social, and religious dimensions of what they study.

2. Professional/Scholarly Accomplishments:

- a. Evidence of a habit of professional/scholarly activity, as defined by the "Scholarship Guidelines" above.
- b. Demonstrated ability to relate scholarship, research, and creative activities to teaching responsibilities.

3. Contributions to the Campus Community:

- a. Constructive support and involvement in the curriculum and affairs of the department and in the wider curricular programs of the University.

- b. Constructive support and involvement in the governance and administration of the University and evidence of a genuinely positive support for the mission of Augustana as a church-related liberal arts university.

### **C. Procedures for Pre-Tenure Review**

1. Faculty members shall be advised at the time of initial employment of the tenure status of their position and of the procedure and criteria governing the granting of tenure.
  - a. Department and division chairs shall monitor the performance of faculty members during their probationary term of service and advise them regarding their progress toward fulfilling the criteria for receipt of tenure. In the end, however, it is the professional responsibility of the candidate to know and understand the guidelines and processes applied in the tenure process. Faculty members may ask members of the Faculty Personnel Council to visit their classes and file evaluations of their teaching performance.
  - b. A formal assessment of how well a faculty member is meeting the criteria for tenure will take place during the faculty member's third year of service at the University (sooner if credit has been given for previous service). The Faculty Personnel Council shall normally review the evaluation documentation in the spring of the person's pre-tenure evaluation year. Pre-tenure files are due by March 15 of the review year. (3-16-2011)
2. Pre-Tenure Review File: The Faculty Personnel Council shall normally perform a pre-tenure evaluation of faculty members eligible for tenure during the spring of their third year. See Section Four.VIII.F.2 for instructions on assembling supportive documentation. 10/18/10
3. Personnel Council Review of Pre-Tenure Candidates: The Faculty Personnel Council (normally in the presence of the Senior Vice President for Academic Affairs/Dean and President), after reviewing the faculty member's folio of evaluative materials, shall discuss the evidence and advise the faculty member in writing (with copies to the person's department chair, the Senior Vice President for Academic Affairs/Dean, and the President) on its conclusions regarding the probability of the person receiving tenure in the sixth year and whether the faculty member needs to give greater attention to meeting certain criteria.
4. Notification of Personnel Council Review of Pre-Tenure: After the Personnel Council conveys its conclusions to the faculty member, the Senior Vice President for Academic Affairs/Dean and the faculty member's department and division chairs shall invite the faculty member to meet with them to discuss the conclusions of the pre-tenure review, answer any questions, and provide advice and recommendations.

## **D. Procedures for Tenure Review**

1. The Tenure File: The Faculty Personnel Council shall normally perform a tenure evaluation of faculty members eligible for tenure during the fall of their sixth year (sooner if credit has been given for prior service). Consequently, evaluative evidence and documentation must be gathered during the prior year. See Section Four.VIII.F.2 for instructions on assembling supportive documentation. (10/2010)
2. Personnel Council Review and Recommendation: After reviewing all of the above documentation, the Faculty Personnel Council shall discuss the faculty member's performance and how well he or she meets the criteria for tenure. A tenure candidate may request or may be invited to present in person (or directly to the council in writing) additional explanations deemed important to receiving a fair and impartial evaluation by the council. The council's conclusion, rationale, and recommendation will be conveyed in writing to the faculty member, to the Senior Vice President for Academic Affairs/Dean, and to the President.
3. Presidential Review and Recommendation to the Board of Trustees:
  - a. The President shall inform the faculty member and the Faculty Personnel Council of the decision to forward the council's recommendation to the Board of Trustees for approval. If the President chooses not to forward the council's recommendation, the President will meet with the council and with the faculty member to explain the action and will provide a rationale in writing to the council and the faculty member.
  - b. The granting of tenure is a positive act. If the Personnel Council or the President fails to recommend the granting of tenure, no recommendations regarding the tenure will be made to the Board of Trustees.
  - c. If the Faculty Personnel Council or the President decides not to recommend tenure, and the faculty member believes he or she has not received fair consideration, the faculty member has recourse to the Grievance Committee.
4. Notification of Board of Trustees Action:
  - a. When the Board of Trustees has acted upon a recommendation for granting tenure to a faculty member, its action and rationale shall be conveyed in writing by the President to the faculty member with copies to the chair of the Faculty Personnel Council, and to the faculty member's department and division chairs.
  - b. Tenure status becomes effective at the beginning of the following contract year.

## **G. Extension of the Probationary Period for Tenure Track Faculty (08/2014)**

Tenure-track faculty members holding a probationary term of appointment may be granted an extension of the maximum probationary period with no resulting change in employment obligations.

For the following events, a one-year extension of the maximum probationary period may be granted under the first request for such events, subject to the required application process: the birth of the faculty member's child, adoption of a child by the faculty member or the placement of a foster child with the faculty member; serious illness of the faculty member or serious illness or death in the faculty member's immediate family.

Should one of these events be repeated or should the faculty member experience another event as described above during the probationary period, a second one-year extension may be requested. The normal maximum probationary period may not be extended more than two times. In addition, a faculty member's probationary term of appointment may not exceed eight years.

A faculty member who is granted an extension of the probationary period has the right to return to the original probationary period.

### Extension of the Probationary Period Application

A request for extension of the probationary period should be originated and signed by the faculty member and submitted to the Senior Vice President for Academic Affairs/Dean in writing as soon as the need for the extension is identified or within six calendar months of the qualifying event and prior to the academic year in which the tenure decision would otherwise have been made. All agreements on extensions must be in writing. The Senior Vice President for Academic Affairs/Dean in consultation with Human Resources will decide about the request and will notify the faculty member, the department chair and the division chair of approval or disapproval within 45 days of such request. Requests to return to the original probationary period should be submitted to the Senior Vice President for Academic Affairs/Dean in writing no later than March 15 of the year prior to the tenure year.

## **X. Separation of University and Faculty Member**

At times, it may be necessary for the University or an individual faculty member to sever their professional relationship. In order to protect the interests of both parties, the various types of severance (retirement, resignation, non-reappointment, dismissal, and termination or layoff) are here defined, and the policies and procedures related to each category are set forth.

**A. Retirement of a Faculty Member**

Any member of the faculty intending to retire at the end of the academic year shall provide written notice of the retirement to the President and the Senior Vice President for Academic Affairs/Dean by September 1 of the current academic year.

**B. Resignation by a Faculty Member**

1. Resignation Effective at End of Academic Year: Resignation is an action by which faculty members sever their relationship with the University. A resignation, to be effective, must be in writing, dated, signed by the faculty member, and delivered to the office of the President at the earliest possible opportunity, but not later than April 1st. The faculty member may request that the President grant an extension not to exceed fifteen days in case of hardship, in a situation in which he or she would otherwise be denied substantial professional advancement or other opportunity, or in case of prolonged mental or physical illness.
2. Resignation Effective Immediately: A resignation affecting a current employment period shall require a calculation of pro rata salary earned based on days of instruction.

**C. Non-Reappointment of Probationary, Tenure Track Faculty. (8/2016)**

The term "non-reappointment" means that the University has decided not to renew a probationary, tenure track appointment at the conclusion of an annual term Augustana University must recruit and retain the best-qualified faculty within its means; therefore, wide latitude, consistent with academic freedom and due process, is accorded to the Senior Vice President for Academic Affairs/Dean in meeting this responsibility.

1. Process for Non-Reappointment:
  - a. A recommendation for the non-reappointment of a faculty member may originate with the department chair, the division chair, the Senior Vice President for Academic Affairs/Dean, and/or the President.
  - b. Upon receipt of a recommendation, the Senior Vice President for Academic Affairs/Dean shall visit personally and confidentially with the faculty member recommended for non-reappointment and discuss the reasons for the recommendation.
  - c. The Senior Vice President for Academic Affairs/Dean will consult with the department chair and the Faculty Personnel Council about the recommendation for non-reappointment.
  - d. The Senior Vice President for Academic Affairs/Dean will evaluate the correspondence between the faculty member's expertise and performance and the University's expectations.

- e. The Senior Vice President for Academic Affairs/Dean will forward a recommendation for non-reappointment to the President. The decision not to reappoint a faculty member is at the discretion of the President.
2. Criteria for Non-Reappointment: Reasons for non-reappointment may include, but are not necessarily limited to:
- a. Ineffective teaching
  - b. Inadequate service to the University
  - c. Incongruence between the interests of the faculty member and the mission of the University
  - d. Cancellation or redirection of a program
  - e. Declining university student enrollment or enrollment emergency
  - f. Financial exigency
  - g. Inability of faculty member to fully discharge responsibilities or meet full expectations of the University.
3. Notification of Non-Reappointment: Since a notice of non-reappointment is not a dismissal for cause, it is not legally necessary for the University to set forth its reasons in the notice of non-reappointment. If the faculty member wishes to know the reasons for his or her non-reappointment, the request should be made to, and shall normally be honored by, the Senior Vice President for Academic Affairs/Dean.
- a. Probationary, tenure track faculty in their first year of service must be notified by March 1st that they will not be reappointed for the next academic year.
  - b. Probationary, tenure track faculty in their second year of service or beyond must be notified by December 15th that they will not be reappointed for the next academic year.

**D. Layoff of a Tenured Faculty Member (8/2016)**

Layoff is a severance action by which the University discontinues the services of a tenured faculty member because of changes in educational programs, or because of financial exigency. (See policy above for probationary, tenure track faculty.)

1. Changes in the Educational Program:
- a. Layoff of a tenured faculty member may occur as a result of the formal discontinuance of a program or department of instruction.
  - b. When the discontinuance of an academic program eliminates the need for program faculty, such layoff will be preceded by eighteen months' notice for tenured faculty. Faculty reductions resulting from program discontinuance

will always be made with the advice and recommendations of the Faculty Personnel and Curriculum Councils.

2. Financial Exigency:

- a. Financial exigency is defined as an imminent financial crisis which threatens the University as a whole. The Board of Trustees must officially declare that financial exigency exists, and the faculty must be informed of the Board's declaration.
- b. In considering how to deal with the financial situation, the retention of a viable academic program must be the primary goal, and the faculty must not bear an undue proportion of the necessary economies. Decisions regarding necessary program and faculty reductions will be made by the Board of Trustees on recommendation by the President. The President will act on recommendations made by the Senior Vice President for Academic Affairs/Dean and the Faculty Personnel Council in consultation with concerned academic departments.
- c. When faculty reductions are considered, tenure rights will be protected insofar as possible. If it is necessary to terminate tenured faculty members within a given department, those with the least number of years of full-time service at Augustana University will be terminated first; but in all instances, there will be due consideration of the essential needs of each department. In situations where, tenured faculty members have the same number of years of service at Augustana University, a distinction will be made on the basis of performance on evaluation criteria and on program needs.

3. General Procedures and Recall Provisions under Layoff Due to Changes in the Educational Program or Financial Exigency:

- a. When financial exigency or changes in the educational program in whole or in part necessitate the layoff of tenured faculty members, the University will make every effort to find an alternative position within the institution for which the person is qualified. If another position within the University is not available, the University will help tenured faculty member(s) find a new position outside the University.
- b. If a tenured faculty member is laid off for reasons of changes in the academic program in whole or in part, or for reasons of financial exigency, no replacement for a position that is substantially the same position will be hired within a period of three years unless the laid-off faculty member has been offered reappointment under conditions comparable to those held at the time of layoff, and has been given at least one month after written notice of the offer of reappointment within which to accept the reappointment.

- c. It shall be the duty of laid-off faculty members to keep the University informed of their current addresses for purposes of this Section. Notices sent to such addresses will be presumed received if the University sends them by certified mail, postage prepaid.

#### **E. Dismissal for Cause**

Dismissal is a severance action by which the University ends its professional relationship with a faculty member for adequate cause. In all cases adequate cause for dismissal must be directly and substantially related to the fitness of a faculty member to continue in his or her professional capacity as a teacher.

##### **1. Dismissal for Cause Criteria:**

Dismissal for because proceedings may be instituted only for one or more of the following reasons:

- a. Professional incompetence;
- b. Continued neglect of academic duties or professional misconduct despite written warnings;
- c. Moral turpitude (behavior that evokes condemnation by the academic community generally);
- d. Deliberate and serious violation of the rights and freedoms of fellow faculty members, administrators, or students;
- e. Conviction of a felony; or
- f. Falsification of credentials or experience.

##### **2. Process Leading to Dismissal of a Tenured Faculty Member:** Except in extreme cases, where immediate suspension and prompt initiation of dismissal procedures may be called for, the dismissal of a tenured faculty member will include the following steps:

- a. The faculty member shall be asked to meet with his or her Department Chair and Divisional Chair, the Senior Vice President for Academic Affairs/Dean, the Personnel Council, and other appropriate administrative officers, with a view to rectifying alleged professional weaknesses. These officers shall maintain adequate written records of such discussions.
- b. The faculty member shall be allowed a reasonable time after these discussions begin in order to bring his or her teaching or other professional responsibilities up to the desired standards.
- c. If the Personnel Council decides to recommend dismissal proceedings, it shall formulate a statement of reasons, based on evidence supplied by the faculty member's chair and by other administrative officers. This statement of reasons will be delivered to the President of the University.

- d. If the President agrees that dismissal proceedings should be initiated, the Senior Vice President for Academic Affairs/Dean will discuss the reasons with the individual, and a statement of charges shall be sent to the individual. If the dismissal of a tenured faculty member is deemed appropriate, it will normally take effect at the end of the current contract period.
3. Dismissal of a Probationary Faculty Member during an Employment Period: Dismissal is also the means by which the University removes for adequate cause a probationary faculty member on a term appointment from service before the end of his or her appointment. The dismissal procedure will include the following steps:
    - a. The Senior Vice President for Academic Affairs/Dean shall give the faculty member written notice that a recommendation for dismissal for cause shall be made to the President. This notice shall contain a written statement of the grounds for the recommendation and a brief summary of information supporting such grounds.
    - b. The faculty member shall have a reasonable opportunity to meet with the Senior Vice President for Academic Affairs/Dean to present a defense before the dismissal recommendation is made.
    - c. The faculty member shall have a reasonable opportunity to meet with the President to present a defense before the President, in consultation with the individual's Department/Division Chairs and the Senior Vice President for Academic Affairs/Dean, acts upon the dismissal recommendation.
  4. Burden of Proof in Dismissal Proceedings: In any case involving dismissal for cause, the burden of proof that adequate cause for the action exists shall be on the University, and such proof shall be supported by a preponderance of the evidence.
  5. Grievance Proceedings: The decision of the President may be the basis of an appeal to the Faculty Grievance Committee in accordance with procedures established in this Handbook.

**F. Action Short of Dismissal (Disciplinary Action)**

1. Temporary Suspension without Pay: Depending on the circumstances, the Senior Vice President for Academic Affairs/Dean may elect to impose a lesser disciplinary action short of dismissal, such as suspension for a period of time without pay. In unusual circumstances, the Senior Vice President for Academic Affairs/Dean, in consultation with the Faculty Personnel Council, may take disciplinary action without previous citation or warning.
2. Temporary Suspension with Pay: Suspension may also be the temporary separation of a faculty member from the University when the Senior Vice President for Academic Affairs/Dean determines 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 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.

3. Due Process Review: The Faculty Grievance Committee 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.

#### **G. Disciplinary Action Procedure**

Dismissal for any reason 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 or her duties, the matter is settled. If the faculty member fails to correct the negligence, dismissal procedures or a lesser sanction may be applied.

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 one 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.

### **XI. Faculty Rights and Responsibilities**

The following statement relies upon the integrity of the individual as a professionally responsible member of the University faculty. Thus, faculty members will devote the majority of their time to teaching, research, creative activities, and their own academic improvement; they will take seriously Augustana's mission to be a university of the church and make a concerted effort to support that mission; they will meaningfully participate in department, division, and faculty meetings; they will perform their committee and counseling responsibilities to the best of their ability; they will refrain from unprofessionally criticizing their colleagues in their classrooms or in public.

#### **A. Academic Freedom**

Augustana University affirms and is guided by the ideal that all members of the faculty are entitled to academic freedom. Specifically, the following excerpts from the 1940 "Statement on Principles of Academic Freedom and Tenure" by the American Association of University Professors define what is meant by academic freedom at Augustana University.

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

2. Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries duties correlative with rights.
3. The teachers are entitled to full freedom in research and in publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
4. The teachers are entitled to freedom in the classroom in discussing their subjects, but should be careful not to introduce into their teaching controversial matter which has no relation to their subject (The intent of this statement is not to discourage what is controversial. Controversy is at the heart of the free academic inquiry which the entire statement is designed to foster. The passage serves to underscore the need for the teacher to avoid persistently intruding material which has no relation to this subject.).
5. The University or university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As individuals of learning and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not institutional spokespersons.
6. In addition to the announced rights of academic freedom and rights and obligations of any citizen, the faculty member has the right to interpret and augment knowledge through instruction, investigation, and publication; the right to attain expertise and apply that expertise to the problems of a discipline and of society; the right to share in the government of university's and Universities; and the right to attain greater academic competence. These primary rights of academic freedom--diffusion of knowledge through teaching, investigating and augmenting knowledge, attaining and exercising an area of expertise, participating in the governance of one's institution, and actively functioning as an enlightened citizen of one's society--are related to and complemented by associated responsibilities.

## **B. Ethics**

The problem of professional ethics is not unique to Augustana. In an effort to clarify this matter, the American Association of University Professors has endorsed the following statement:

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this

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

### **C. Intellectual Property Policy**

This policy describes the rights and responsibilities of the University, employees and students with regard to intellectual property and patents generated at Augustana University.

The University seeks to provide an environment where faculty, staff, and students are encouraged to explore, discover, create, and to share these contributions with the wider world. The intent of this policy is to recognize the contributions of the University in providing an environment supportive of innovation and discovery, and of the creativity and unique talents of individual community members, in producing valuable intellectual property.

## **I. COPYRIGHT OWNERSHIP**

### **A. Sole Ownership**

Copyright is the ownership and control of the intellectual property in original works of authorship, which are subject to United States copyright law (U.S. Code Title 17). When any University employee (faculty or staff) or student is the creator of a copyrightable work, all rights in copyright shall remain with the creator *except* in the following circumstances:

1. The work is a work-for-hire by the University. A work-for-hire is defined as a work prepared by an employee within the scope of his or her employment. The University shall own all rights in a work-for-hire unless the Sr. Vice President for Academic Affairs has relinquished them in writing. Traditional Works of Scholarship and Instructional Works (both as defined in the appendix to this document) shall not be included in this category. Typically, a faculty member's work (inclusive of Traditional Works of Scholarship and Instructional Works) belongs to the faculty member and does not fit the work for hire description.
2. The work has been developed in the course of a project sponsored or commissioned by the University. For the purposes of this policy, a “sponsored” or “commissioned” project undertaken by a University employee (faculty or staff) or student shall be considered to be any project for which the University has provided Exceptional Support (defined in the appendix). Student coursework called for by course syllabi or degree requirements shall not be considered “commissioned” or “sponsored” work.
3. The work has been developed in the course of or pursuant to an agreement between the University and a third party. The terms of the applicable third-party agreement shall govern the disposition of rights in copyright. Externally funded projects (for which the University receives funding from external sources) fall under this category.
4. The work is covered by other terms specified in a written agreement between the creator and the University. When the work has been developed with monetary support from the University, but is not covered by points 1, 2, and 3 above, the University may require a written agreement specifying the disposition of rights in copyright.

For all copyrightable works covered in Sections I.A.1-I.A.4 above, any University employee (faculty or staff) or student who is the creator of the work in question may not enter into any agreement with a third party that would assign rights to the third party which are held by the University by virtue of this policy.

## **B. Individual-Institutional Shared Ownership**

Rights in copyrightable works may be owned in part by the University and in part by one or more employee (faculty or staff) or student. The provisions of this section apply only to the joint ownership of works between one or more employee (faculty or staff) or student and the University. This section does not apply to joint ownership of copyrightable works between individual members of the University community or between individual members of the University community and external third parties.

**Joint Ownership.** Joint ownership and shared rights must be contractually agreed to before completion of the work. Occasions where joint ownership may be appropriate include, but are not limited to, instances where the University has provided Exceptional Support but wishes to grant shared ownership to the faculty, staff or student creator(s) of the work. Such exceptions shall be noted in the contract completed prior to the creative process.

**Royalties/Profits.** Division of royalties or other profits from the work must also be specified in the same contract. If no contract exists, division of royalties or other profits will be decided by an appeals committee as described in Section III. This committee will make a recommendation to the President on how to divide royalties and proceeds. The decision of the President, which is to be explained in writing, will be final.

## **C. Use of Student Work**

As noted in Section I.A above, students own the copyright in works that they create during the course of their enrollment at the University, with the exception of works addressed in I.A.1-I.A.4. Faculty or staff who wish to reproduce, distribute or otherwise re-use works in which a student holds the copyright must obtain permission from the student copyright owner(s) prior to such use. This shall not be interpreted as limiting in any way the use of copyrighted works by employees (faculty and staff) of the University as allowed by Sections 107, 108 and 110 (Title 17 U.S.C.).

## **D. Assignment of Rights to the University**

Individuals may wish to assign copyright to the University where that right would normally reside with the individual. The term 'assignment' formally means the transfer of copyright ownership and attendant rights. University employees (faculty or staff) or students may elect to assign this right for the purposes of facilitating commercial development of a work.

In this case, the University accepts the responsibilities and rewards associated with this asset. Rights may be assigned wholly or in part. When assigned, the University assumes no extra liability or obligation incurred during the development or ongoing process except that which it specifically acknowledges.

#### **E. Release of Copyright by the University**

The University may decide to release its interest in ownership rights to the creator of any intellectual property if this will be an advantage to all parties concerned. This may happen, for example, to support and encourage an individual faculty member to retain a relationship with the University. This relationship shall be sanctioned and approved through a written agreement with the President's office.

## **II. PATENTS**

The patent policy of the University establishes guidelines for inventions, improvements, and discoveries resulting from the work of University faculty, administrators, staff, students, research assistants, research associates, visiting scholars, and anyone employed by the University. This policy applies to all inventions, improvements and discoveries, whether patentable or not, which are conceived or reduced to practice through research and development supported by University-owned or administered funds, equipment, facilities, materials, or services. The policy covers three different categories of inventions:

1. Discoveries or inventions that are subject to the terms of sponsored projects or other agreements between the University and a third party. These inventions shall be disposed of in accordance with the terms of the applicable agreement. Most agreements will provide that the University will own the inventions and will grant certain license rights to the sponsor.
2. Discoveries or inventions that involve the use of funds, materials, or facilities administered by the University but that do not involve University obligations to a third party. These inventions shall be the property of the University.
3. Discoveries or inventions that do not involve either University obligations to a third party or the use of funds, materials, or facilities administered by the University. These inventions shall be the property of the inventor.

Any discovery or invention covered under this policy must be disclosed promptly to the Senior Vice President for Academic Affairs/Dean by means of the Invention Disclosure Form that is available from the Senior Vice President for Academic Affairs/Dean's office. After this form is submitted, the University will make an evaluation in order to decide whether to apply for a patent. This decision is made by the President, in consultation with the Senior Vice President for Academic Affairs/Dean. The University will notify the inventor in writing in a timely manner of its final decision. If it fails to do so within 90 days of receiving a properly executed disclosure, or if it decides not to pursue a patent application,

the invention will become the property of the inventor subject to the rights of any outside sponsor, if applicable.

### **Royalties/Proceeds from Patents**

In order to recognize the intellectual and creative contributions of the inventor, when inventions are the property of the University, the University will share the proceeds from patents with the inventor. The inventor or inventors will receive a net royalty to be distributed as follows: 50% of the net royalties will be distributed to the inventor(s) and 50% will be retained by the University.

Net royalties are defined as the total proceeds the University receives from marketing and selling the invention less expenses incurred by the University, including patent and/or litigation costs, consulting and professional fees, commissions paid to others, travel expenses, telephone and reproduction costs, and any other identifiable expenses. The University's share will be divided as follows: 50% will go to a restricted account to be used by the Senior Vice President for Academic Affairs/Dean to support faculty and student research and scholarly activities (up to \$250,000 annually), and 50% will be unrestricted for budget needs of the University.

In the event that two or more creators who are entitled to share royalty income cannot agree in writing on an appropriate sharing arrangement, the decision shall be referred to an appeals committee as described in Section III. This committee will make a recommendation to the President on how to divide royalties and proceeds. The decision of the President, which is to be explained in writing, will be final.

### **III. APPEALS**

Inventors wishing to request an exception to this policy or to challenge a patent decision by the University, except in the case of royalties/profits, may submit a written appeal to the President. The appeal will be passed to an appeals committee comprised of the three Division Chairs, the Vice President for Finance, and the Vice President for Human Resources. The appeals committee will prepare a report of its findings and make a recommendation to the President. The decision of the President, which is to be explained in writing, will be final.

### **APPENDIX: DEFINITIONS**

**Traditional Works of Scholarship:** The term “Traditional Works of Scholarship” refers to any copyrightable work, regardless of its form, other than patentable intellectual property, which is created by University faculty, staff or students, and which has not been the subject of Exceptional Support. Examples of Traditional Works of Scholarship include scholarly publications, journal articles, research bulletins, monographs, books, play scripts, theatrical productions, poems, works of music and art, and non-patentable software.

**Instructional Works:** The term “Instructional Works” refers to any copyrightable work that is authored by an identifiable University faculty member or instructor primarily for the instruction of students in a traditional, online or hybrid course of instruction. Such works include, but are not limited to, course syllabi, lecture notes, lecture slides, visual or multimedia aids, websites, or other works integral to the pedagogical purpose of a specific University course.

**Exceptional Support:** The term “Exceptional Support” refers to financial or other support for research and teaching activities beyond that which the student or employee should reasonably presume to receive in the course of employment or degree completion. **No support may be deemed Exceptional Support in the absence of a written agreement between the University and the creators that specifies ownership of copyright in all resulting works and the allocation of associated rights.**

1. Exceptional Support *does not* include:
  - a. sabbatical funding;
  - b. the award of competitive internal research or teaching grants and fellowships;
  - c. ordinary library services;
  - d. clerical or administrative support;
  - e. office or laboratory supplies and equipment;
  - f. funding for endowed chairs; or
  - g. ordinary use of University computers, servers and software platforms.
  
2. Specifically related to ‘online instruction’ (defined as instruction that is distributed to students through the Internet), Exceptional Support *does not* include:
  - a. ordinary use of University servers and software platforms;
  - b. basic instruction in web composing;
  - c. basic orientation to the operation of online instructional techniques and processes;
  - d. occasional technical troubleshooting assistance; and
  - e. consultation with relevant University offices with respect to the creator’s rights under this Policy.

This policy incorporates feedback from the faculty and the members of President's Council, and was approved by the Board of Trustees on December 1, 2012. (01/2013)

## **XII. Civil Rights (Title IX) Policies and Procedures (8/2016)**

Augustana University affirms its commitment to promote the goals of fairness and equity in all aspects of the educational enterprise.

The policies and procedures identified on this website pertain to discrimination and bias related misconduct and include all forms of sexual misconduct such as harassment, non-consensual contact, rape and exploitation. Other inappropriate conduct such as hazing, bullying and stalking is also included.

Augustana resolves discrimination complaints using a centralized procedure called the Equity Grievance Process. This process is based on an Office for Civil Rights compliant model called the “One Policy, One Process Model,” hereafter referred to as the 1P1P model. The Equity Grievance Process is applicable regardless of the status of the parties involved, who may be members or non-members of the campus community, students, student organizations, faculty, administrators and/or staff.

[Reports of discrimination, harassment and/or retaliation](#) should be made promptly. There is no time limitation on the filing of grievances as long as the accused individual remains subject to the University’s jurisdiction.

This policy with related resolution procedures along with resources on the Augustana website at <http://www.augie.edu/titleix>.

The non-discrimination statement may be found at <http://www.augie.edu/policy-and-procedures#Policy on Nondiscrimination>

### **XIII. Faculty Development Leaves**

Faculty development involves a broad range of activities, opportunities, and services which are designed to promote professional development, enrichment, and career growth of the faculty. The Faculty Personnel Council, and the Research and Scholarly Activities Committee are charged with oversight of these opportunities and services. Faculty development is so critical to the University's commitment to excellence in higher education that the Administration must always give high priority to funding the work of the above Council and Committees.

#### **A. Stipulations Applying to All Off-Campus Leaves**

1. Total Number of Faculty on Leave: The total number of faculty members on leaves normally should not exceed 10 percent of the total full-time teaching staff in any single year.
2. Departmental Coverage: In order to ensure that a given department will be continuing its normal course offerings and to guard against overloading the faculty members who remain on campus, leaves of absence will be granted only if it seems possible for the University to find a suitable replacement for the faculty member applying for leave.
3. End of Leave Reports: At the end of the leave period, the faculty member should submit a written report on the progress of his or her study or research activities to the Senior Vice President for Academic Affairs/Dean and the Faculty Personnel Council. A bibliography of the publication or the research should be included in the written report.

4. Intent to Return Statement: If an applicant's request for a financially assisted leave is approved, he or she will, upon accepting the leave, sign a statement indicating his or her intention of returning at the close of the leave and of continuing in the service of the University for a period of a time equivalent to the time for which he or she received aid. If the faculty member does not return, he or she agrees to repay the University all the money the University allocated to him or her for study and research. If a faculty member stays at the University for only a portion of the time agreed to, he or she will repay the University that portion allotted by the University for study and research for which he or she did not serve. During the faculty member's leave of absence, the University shall maintain his or her fringe benefit program according to the faculty benefits policy.
5. Benefits during Leaves: All insurance coverage shall be continued during leaves of absence. Retirement premium payments may be continued at the option of the faculty member based upon leave pay, last full-time pay, or some lesser amount.
6. Service toward Tenure: When a non-tenured faculty member goes on leave, it will be understood that not more than one year on leave will be counted toward the establishment of eligibility for tenure. Further, no decision on tenure will be made until the faculty member has spent at least one year on campus after the leave.
7. Service toward Promotion: Any and all years on leave may be counted toward a faculty member's promotion. Since leave activities are presumed to contribute to the faculty member's professional competence, such absence from the campus should not, per se, work to his or her disadvantage regarding promotion.

## **B. Degree Completion Assistance**

1. Eligibility: On rare occasions, degree completion assistance is available to faculty who are slated to begin a tenure-track probationary appointment upon completion of their terminal degree. The actual terms are negotiated with the Senior Vice President for Academic Affairs/Dean on a case-by-case basis, usually at the time of hire.
2. Funding: A degree completion leave is a one full-year leave funded at one-half salary, with fringe benefits. With the approval of the Senior Vice President for Academic Affairs/Dean and the Personnel Council, a faculty member may also forgo an actual leave of absence from teaching, while being funded up to a maximum total of one half of their first year's nine-month salary for graduate tuition/travel assistance.
3. Additional Year: Faculty may apply for a one-year renewal of a degree completion leave. Because of the stipulation that the total degree completion support will not exceed one half of the first year's salary, subsequent years of leave to complete the terminal degree, if granted, will be without salary support but, at its option, the University may provide fringe benefits.

### C. Sabbatical Leaves

1. Eligibility: Sabbatical leaves are available to tenured faculty. Tenured faculty are eligible to apply for supported leaves after every six years of continuous service at Augustana. Faculty applying for tenure may not apply for sabbatical leaves during the academic year in which tenure review is scheduled.
  - a. Funding: Those eligible may apply for leaves of one semester with or without Interim at 92.5% of nine-month salary (85% of half of nine-month salary and 100% of remaining half of nine-month salary) or a full academic year at 75% of nine-month salary.
  - b. Limitations: No more than 10% of the full-time tenured faculty shall be granted supported leaves (four-, five-, or nine-month) in a single semester. Those receiving summer school financial assistance will not be counted in figuring this total.
2. Application Procedures for Sabbatical Leaves:
  - a. In order to ensure that the Faculty Personnel Council may properly schedule and recommend leaves in an equitable manner, faculty members are advised to submit a letter of intent (not a detailed leave plan) to the Senior Vice President for Academic Affairs/Dean a year in advance of the formal application.
  - b. A faculty member who applies for a leave of absence for study or research must submit an outline of his or her proposed plan of study or research to the Senior Vice President for Academic Affairs/Dean by September 15 of the year preceding the proposed leave period.
  - c. The applicant's request for leave must be approved by his or her Departmental and Divisional Chairs.
  - d. At its October meeting, the Faculty Personnel Council will consider all requests for leaves of absence for study or research. The Council will establish priorities among these requests it approves and make its recommendation to the Senior Vice President for Academic Affairs/Dean and the President for submission to the Board of Trustees for action during the December meeting of the Board. The Personnel Council may reject requests that do not make substantial contributions to the professional development of the faculty member. In such cases the Council shall provide written feedback to the faculty member on ways to strengthen the proposal for submission in subsequent years.

- e. Applicants granted leaves must accept or decline the leave before April 15, the deadline established by the administration for the return of "letters of employment."

#### **D. Faculty Leaves without Pay**

1. Eligibility: Any full-time tenured 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. Any program of enrichment approved by the University;
  - e. Assignments of work that are considered to benefit the University;
  - f. Other specified reasons in the best interests of the University.
2. Limitations: Such leaves must be mutually agreed to and shall not ordinarily exceed one year, although the University, through the Senior Vice President for Academic Affairs/Dean, may grant a further extended full-time or part-time leave without pay in special circumstances.
3. Fringe Benefits: While an individual is on leave without pay, the University 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 them through the University Human Resources office.
4. Application Procedure: Requests for a leave without pay are to be submitted in writing to the Senior Vice President for Academic Affairs/Dean through the Department or Division Chair not later than October 15 of the academic year preceding that in which the leave is to begin. All leave requests submitted to the Senior Vice President for Academic Affairs/Dean shall be referred to the Personnel Council for consultation and recommendation.
5. Leave Replacements: If a leave without pay is granted by the Senior Vice President for Academic Affairs/Dean, the affected department will be permitted to hire a faculty member under term contract to cover the period of the leave.

#### **XIV. Family and Medical Leave Act (FMLA) - Faculty Leave (March, 2019)**

- A. Augustana University is committed to supporting faculty in managing their professional and parental responsibilities. A primary goal of the parental leave policy is to allow both the faculty member and the university the opportunity to maintain the integrity of the classroom and supporting services while avoiding an undue burden on either the individual or the university. All provisions and applications of this policy are meant to be consistent with Family and Medical Leave Act (FMLA) as stated by the Department of

Labor Wage and Hour Division. *(Please see the full FMLA guidelines listed in the Faculty General Policies and Procedures Handbook located on the employee portal or view this information on the Department of Labor web site - [www.dol.gov](http://www.dol.gov).)*

**B. Leave Entitlement:**

The Family Medical Leave Act (FMLA) entitles eligible employees of covered employers to take unpaid, job-protected leave for specified family and medical reasons with continuation of group health insurance coverage under the same terms and conditions as if the employee had not taken leave. Eligible employees are entitled to twelve workweeks of leave in a 12-month “rolling” period. (This is measured backward from the date that any FMLA leave is to be used.) FMLA leave may be taken for:

1. the birth of a child and to care for the newborn child within one year of birth;
2. the placement with the employee of a child for adoption or foster care and to care for the newly placed child within one year of placement;
3. to care for the employee’s spouse, child, or parent who has a serious health condition;
4. a serious health condition that makes the employee unable to perform the essential functions of his or her job;
5. any qualifying exigency arising out of the fact that the employee’s spouse, son, daughter, or parent is a covered military member on “covered active duty;” or (eligible for 26 weeks FML leave);
6. care for a spouse, child, parent or next of kin who is a covered service member with a serious injury or illness (eligible for up to 26 weeks FML leave).

**C. Child-Bearing Leave:**

The university recognizes that a pregnant woman’s due date approximates the baby’s birth date. A second assumption is that the pregnancy and delivery will be normal – requiring 6 weeks of post-partum recovery. If the probability is that the faculty member will miss more than 3 weeks at the beginning or end of the semester, the following will apply:

1. The faculty member will not teach her usual course load in the semester in which the baby is due.
2. From the start of the semester until the onset of labor, the pregnant faculty member will work full-time on administrative duties, service, scholarship and other non-teaching duties (i.e., modified duties).
3. From the onset of labor through the post-partum recovery period (typically 6 weeks) the faculty member will be on fully paid leave – with no work obligations at the university.

4. From the end of the post-partum recovery period, through the end of the semester, the faculty member will return to full-time work with modified duties. If the faculty member chooses to add leave beyond the post-partum recovery period, the time will be unpaid leave for a total of 12 weeks. (Note: the 12-week period starts at onset of labor).

**D. Duration of Leave:**

Employees may be granted a maximum of 12 weeks of FMLA in any 12-month period for their own serious illness. The 12 work weeks of leave do not need to be consecutive. A work week consists of the number of hours an employee is regularly scheduled to work each week. A reduced or intermittent work schedule during the period of FMLA leave may result in an employee receiving FMLA for more than 12 calendar weeks but for the equivalent amount of time.

1. A non-child-bearing parent may either take up to 6 weeks of paid leave (with up to 6 weeks of additional unpaid leave for a total of 12 weeks - see terms and conditions above) or two course releases to be used during the academic year in which the child is born, adopted or placed into foster care with the faculty member.
2. If a child is born, adopted or placed into foster care with a faculty member during a time period outside of the academic year, parental leave arrangements will be determined in consultation with the Vice President for Human Resources and the Academic Dean.
3. If husband and wife entitled to leave under this policy are both employed by Augustana University, the aggregate number of work weeks of FMLA leave to which both is entitled is limited to 12 work weeks during any 12-month "rolling" period - if such leave is taken: 1) for the birth or placement of a child, 2) for a parent's serious health condition.
4. If husband and wife work for Augustana University and each wish to take leave to care for a covered injured or ill service member, they may only take a combined total of 26 weeks of leave.

**E. FMLA Application Process:**

A request for FMLA should be originated and signed by the faculty member as soon as the need for a leave is identified, submitted to the department chair and forwarded to the Vice President for Human Resources and the Academic Dean. FML forms, including medical certification supporting the need for FML must be submitted as soon as possible to HR. All agreements on the leave, including extensions of the leave period, must be in writing. The faculty member will work with his/her department chair to construct an appropriate plan for modified duties as described above. The plan for modified duties will be submitted to the Academic Affairs Office. Upon return to work at the end of the leave, the employee will be reinstated to the same or a comparable position without loss of status, pay or accrued benefits.

#### **F. The University's Responsibilities:**

The university will inform an employee requesting FML whether he or she is eligible under FMLA.

1. If he or she is eligible, the university will notify the employee of any additional information required as well as the employee's rights and responsibilities.
2. If the university determines that the leave is not FMLA-protected, it will notify the employee and provide a reason for ineligibility.
3. The university will also inform an employee if leave will be designated as FMLA-protected and the amount of leave counted against the employee's FML entitlement.
4. The university's contribution for health, disability, TIAA, life & AD&D insurance premiums shall be paid in full during paid parental leaves. Retirement benefits will be proportionate to salary or wages earned. The university will cease contributions/premiums for benefits after the 12-week FML has been exhausted.
5. Parental or other leave shall count as time in service toward salary determination and eligibility for sabbatical leave.

#### **G. The Employee's Responsibilities:**

Consistent with the university's policy regarding all types of leave, the following conduct is strictly prohibited in relation to FMLA leave:

1. Engaging in fraud, misrepresentation or providing false information to the university or any health care provider.
2. Having other employment during the leave, without prior written approval from the university.
3. Failure to comply with the employee's obligations under this policy.
4. Failure to timely return from the leave. A leave of greater than 12 weeks (26 weeks for military related leave) will result in benefit premium payment changes. Benefit premium payments are the responsibility of the employee after this time period.)

Employees who engage in conduct described above will be subject to loss of benefits, denial or termination of leave, and corrective action, up to and including termination. (7/2019)

## **XV. Non-leave Development Support**

### **A. Funding for Professional Development Activities**

1. Regular Faculty Development Fund: The Regular Faculty Development Fund is budgeted to help faculty members enrich themselves professionally. The Fund can be used for membership in professional and learned societies and attendance at academic and professional meetings. This fund is not to be used for regular academic course work. Allocation of funds is made on the following basis: All faculty members receive an annual allocation. Annual amounts may be allowed to accumulate to the

current maximum. Requests for reimbursement from this fund must be accompanied by original receipts or copies. Requests and questions should be directed to the Business Office.

2. Special Faculty Conference Fund: The Faculty Research and Scholarly Activities Committee will review requests for Special Faculty Conference Funds. The request shall be forwarded to the Chair of the Faculty Research and Scholarly Activities Committee. Requests shall include:
  - a. Name of conference, time, and place,
  - b. Type of participation in the conference (present paper, present workshop, chair session, do committee work, etc.),
  - c. Estimated expenses,
  - d. Current amount available in personal conference fund,
  - e. Total of requested funds,
  - f. Any other pertinent information,
  - g. Fund requests for conference attendance without active participation will normally not be considered. Funds will be awarded in a manner assuring the equitable distribution of available money for the entire faculty over a period of years. Only expenses in excess of that covered by the accumulated regular conference fund shall be considered for reimbursement from the Special Faculty Conference Fund. Following approval by the Faculty Research and Scholarly Activities Committee, and submission of completed purchase orders to the Administrative Assistant to the Senior Vice President for Academic Affairs/Dean, funds will be disbursed.

#### **B. Faculty Tuition**

All permanent full-time and part-time faculty members are eligible for both undergraduate and graduate study in the ELCA tuition remission program.

#### **C. Augustana Research and Artist Fund**

Augustana Research-Artist Fund (ARAF) proposals are designed to encourage and recognize a wide range of faculty initiative and scholarly creativity. Applications for funds to support formal course work for credit will not be considered as the program is not intended to cover regular study programs leading to degrees.

##### 1. Nature of the ARAF Grants

- a. Research Stipends support scholarly activity carried on during the summer. Stipends are available in amounts up to the equivalent of two months of summer school salary.
- b. Support Grants are available for expenses incurred in carrying out (1) projects supported by Research Stipends, or (2) projects which require support for expenses only, or (3) Activities collaterally funded from sources other than

ARAF funds. Support under (2) and (3) may be for summer or academic year projects.

- c. The total request shall not exceed the sum of requests made under the preceding two paragraphs.
  - d. Examples of proposals considered for awards: Individuals from the areas of Humanities, Natural Sciences, and Social Sciences have been granted aid in meeting summer expenses involved in basic research. Individuals have submitted proposals involved in the preparation for publication of plays, books, directories, novels, and scientific and technical articles. (Note: expenses can include such costs as computer programming, supplies, clerical help, etc.) Assistance has also been sought in meeting the expenses involved in artistic development through public performance, display, and study. Some of the past proposals involved multiple funding of which the ARAF proposal represented only part of the total project budget.
2. Submission of ARAF Proposals: Faculty shall submit their proposals to the chair of the Faculty Research and Scholarly Activities Committee. Applications for ARAF grants shall be distributed to the faculty each year. Seven copies of the completed proposal shall be presented to the chair of the Faculty Research and Scholarly Activities Committee. The deadline for submission of proposals will be during the second week of the spring semester preceding the summer in which the activities are planned. The Committee will announce its decisions by the end of March.
  3. Criteria Used in Evaluation of ARAF Proposals: The project must be of a scholarly or creative nature. Evidence of scholarship and/or artistic activity should be provided by publications, exhibitions, or performances which are subject to professional peer review. Persons in the performing arts are to submit proof of performance competency--i.e., recommendations from qualified critics, reviews of performances, tapes, or live performances. Persons in the applied arts are to submit proof of artistic competency through recommendations from qualified critics, reviews, or submission of photographs. The way in which the person responds to these criteria should be included in the proposal. The fund is not designed for course or curriculum development. However, the activities supported are expected to enhance the overall competence of the awardee and may be directly supportive of course and curricula. ARAF will support page, publication, performance, and display charges when these are proposed as an essential part of the overall project and conform to the requirements of evidence of scholarship and/or artistic activity as defined above. ARAF will not, however, automatically reimburse page charges for projects supported by other means. An individual may receive more than one ARAF award during a calendar year, including Interim. Support for leaves or travel to conferences, unless part of the project, is not supported since leaves and travel are awarded and/or supported by other sources on campus. While ARAF grants do not support leave activities per se, support may be provided for projects that precede a leave and then

enhance or strengthen the leave objectives. In this instance, the leave objectives must be explicitly defined.

4. Conditions of the ARAF Grant: The awardee must submit a final report to the Senior Vice President for Academic Affairs/Dean within sixty (60) days of the end of the grant period. The report must contain a full account of all ARAF money expended. Publications and performances should acknowledge support by ARAF, and the committee should receive copies of all publications or other results and accomplishments of the project.

## **XVI. Faculty Workload**

### **A. Full Time Faculty Teaching Responsibilities**

1. Normal Faculty Teaching Load: The normal full-time teaching load is 21 to 24 credit hours over the course of an academic year (not including Summer University). For most faculty this will consist of seven courses of three and four credits unless they teach course units having fewer than three credit hours each. Teaching assignments in departments should be arranged so as to achieve a normal teaching load. First-year faculty shall normally be exempt from teaching and committee responsibilities during their first Interim Term.
2. Interim Term Leave: Tenure-track faculty will normally teach three courses each semester, and will teach a course during the January Interim term two years in each three-year period. Interims in which a faculty member is not teaching a course are intended for professional development scholarship leaves. Faculty members with a regular sabbatical leave that includes an Interim will count that Interim as their non-teaching year during that three-year period. Tenured or tenure-track faculty shall apply for non-teaching Interim leaves. Leave must be approved by the department chair, the division chair and the Associate Vice President for Academic Affairs. Continuing-term faculty are eligible for interim leave during their first January at Augustana. Thereafter, they are contracted for the full seven courses and are not eligible for non-teaching interims without making special application to the Personnel Council. Visiting faculty are not eligible for interim leave. (8/2016)
3. Natural Science Lab Courses: For those teaching natural science courses (four credit hours each), the normal load is two lab courses per semester plus an Interim course.
4. Co-Curricular Responsibilities: Faculty who direct or coach co-curricular activities may have their load determined within this policy by having their co-curricular responsibilities equated to credit hours of teaching.
5. Teaching Overload: An overload is defined as an additional course unit beyond a normal load of seven three- and four-credit hour courses. When a person's load consists of course units having fewer than three credit hours, an overload is defined as

having an additional course unit beyond 24 credit hours. Voluntary overloads must be approved by the person's department chair.

6. Full-time, Online, Graduate Teaching Faculty: The normal full-time online teaching load is 24 to 27 credit hours over the course of a contract. For most faculty this will consist of 8-9 courses of three credits unless they teach course units having fewer than three credit hours each. Teaching assignments in graduate departments should be arranged so as to achieve a normal teaching load.

Teaching Overload: An overload is defined as an additional course unit beyond a normal load of 8-9 three-credit hour courses. When a person's load consists of course units having fewer than three credit hours, an overload is defined as having an additional course unit beyond 27 credit hours. Voluntary overloads must be approved by the person's department chair and Dean of Graduate Programs (05/2018)

## **B. Student Advising**

Since the basic objective of private church-related institutions such as Augustana University is to help students develop their ability to think and believe critically, to develop their interests in order to reach their full personal and professional potential, the University emphasizes the important role of its faculty in the academic advising of students.

1. Academic Advising: Although there are other offices which provide specialized counseling and professional assistance, the faculty member has a special and unique mentorship role, which may take at least two forms:
  - a. Advising the student with regard to the student's work in classes taught by the faculty member;
  - b. Recognizing when the student needs professional assistance of a personal nature or resulting from academic skill deficiencies and directing the student to the appropriate office or person from whom such assistance is available.
2. Faculty Availability: It is considered essential that each student have sufficient opportunity to meet with faculty members.
  - a. Hours on Campus: The University recognizes that dedicated teacher-scholars must on occasion be absent from campus pursuing justifiable personal and professional activities. Full-time faculty members may be off campus the equivalent of one day during each class week for professional reasons; however, they are normally expected to be on campus when regular classes are scheduled.

- b. Office Hours: Each faculty member should establish regular and adequate office hours so distributed throughout the week as to be of maximum convenience to the students. A minimum of five hours per week should be scheduled, although the amount of time allocated by a faculty member should consider his or her number of academic advisees. Additional office hours will normally be needed during registration and examination periods.

### C. Committees and Task Forces

1. Unusually demanding University responsibilities may require an adjustment in a faculty member's workload, including, if necessary, a temporary or permanent reduction in teaching hours. The University's request for such involvement by a faculty member is contingent upon agreement by the faculty member, the department chair, and the division chair.
2. Full-time, Online, Graduate Teaching Faculty Service to the Graduate Experience: Since the basic objective of private church-related institutions such as Augustana University is to help students develop their ability to think and believe critically, to develop their interests in order to reach their full personal and professional potential, the University emphasizes the important role of its faculty in the academic experience of graduate students.

#### Service to Graduate Program:

- a. Program Maintenance Roles
- b. These might include program development, course shell maintenance, leadership of other instructors, course leadership, etc.
- c. Other services within Graduate Program  
This might be broader than the department to which they are hired, for example admission committees or other program related committees.

#### Faculty Availability:

- a. To Augustana Community: Full-time, online teaching faculty housed on campus should maintain a connection to campus. Full-time online teaching graduate faculty members not housed on campus should maintain regular and meaningful connection to Augustana via electronic means.
- b. To Students: It is considered essential that each student have sufficient opportunity to interact with faculty members. Each online teaching graduate faculty member should establish regular and adequate virtual office hours so distributed throughout the week as to be of maximum convenience to the students. A minimum of five hours per week must be scheduled in a convenient, online format. (05/2018)

#### **D. Outside Employment and/or Consulting**

As a responsible member of the Augustana faculty, a teacher who is engaged in a considerable amount of off-campus activity, with or without additional remuneration, is expected to receive the written approval of the Senior Vice President for Academic Affairs/Dean, in consultation with the department chair, before accepting any extensive non-institutional assignment. Obviously, this does not mean that faculty members need this kind of approval for an occasional speaking engagement, for instance, but it does mean that they should obtain it before they accept any sort of regular off-campus employment or regular non-institutional assignment which will take a considerable portion of their time. Faculty members having questions concerning non-institutional activities should confer with the administration.

### **XVII. Working Conditions (See the *Employee Handbook* and other relevant Human Resources documents for the most current information on all-University policies regarding employment conditions, personal leaves, employee benefits).**

#### **A. Chapel**

Augustana University is a Lutheran University serving a diverse constituency. As part of our heritage, a community time is set aside each school day for chapel or convocation. During this time, members of the community--students, faculty, administrators, and staff--are encouraged to attend chapel or convocation. To facilitate this, university personnel should not schedule meetings, discussions, make-up examinations, or other events that restrict the freedom of the University community to participate in this important aspect of the University.

#### **B. Academic Regalia**

All full-time faculty members, except those on sabbatical leave or who are excused by the Senior Vice President for Academic Affairs/Dean, are expected to attend ceremonial occasions, including Opening Convocation in the fall, and Commencement in the spring. On these formal occasions, the faculty are required to present themselves in full academic regalia. Each member of the faculty is responsible for obtaining an appropriate gown, symbolic academic hood, and mortarboard. As circumstances indicate, special campus functions (in addition to those already mentioned) may require academic dress. Faculty will be notified of such occasions by the Senior Vice President for Academic Affairs/Dean.

#### **C. Scientific Research Policy**

Pursuant to the Public Health Service Act section 50.102, the University has adopted a policy for "Dealing with and Reporting Possible Misconduct in Science." Summarized, this policy states that the University has established an administrative process which meets the requirements of the Public Health Service Act for reviewing, investigating, and reporting allegations of misconduct in science in connection with PHS-sponsored biomedical and behavioral research conducted at Augustana. In addition, annual reports are filed with the Office of Scientific Integrity. All members of the campus community involved in scientific research are required to familiarize themselves with the policy.

Full text copies are kept in the office of the Senior Vice President for Academic Affairs/Dean and in the Natural Science Division office.

#### **D. Copyright Policy**

All duplicating on campus shall be governed by the criteria established in Public Law 94-553, the 1976 revision of title 17, United States Code, commonly known as the Copyright Law. Summarized, These Guidelines for Classroom Copying in Not-for-Profit Educational Institutions states that as to single copying for teachers a chapter from a book; an article from a periodical or newspaper; a short story, essay or poem; or a chart, picture, etc., may be copied. Multiple copying for classroom use cannot exceed the number of pupils in a class; must meet strict tests of brevity, spontaneity, and non-cumulative effect; and must include a notice of copyright. "Brevity" is defined in strict and arbitrary volume terms (e.g., no more than 250 words from a poem, between 500-1,000 words of prose but up to 2,500 words of a complete article. "Spontaneity" requires that the inspiration and decision to use the work are so close in time as to make unreasonable the expectation of a reply to a request. "Cumulative effect" limits copying by each instructor of a given item to only one course in the school, not more than nine instances of multiple copying for one course during one class term, and not more than one item from the same author nor three from the same collective work or periodical volume during one class term. Under the Guidelines copies may not: 1) be used as a substitute for anthologies, compilations, or collective works; 2) be made of "consumables" such as work-books; 3) be a substitute for purchases, be directed by higher authority, or be repeated with respect to the same item by the same teacher from term to term; 4) be the subject of a charge to the student beyond actual copying cost.

1. Guidelines for Off-Air Recording of Broadcast Programming for Educational Purposes are also presented in the Information, Guidelines, and Procedures Manual section of the faculty Handbook. Those faculty wishing to tape a commercial broadcast should familiarize themselves with these guidelines. Before videotaping television programs for classroom use from a public broadcasting agency, the librarian should contact the local public broadcasting station as to the list of programs which schools may record off-the-air.
2. Institutional employees desirous of using copies of material created by others are responsible for determining its copyright status and should obtain written permission from the copyright owner before using the material except when the "fair use" criteria stated above are met.

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