



FACULTY HANDBOOK

September 17, 2022

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PART 1

1.0 HISTORY, MISSION, ORGANIZATION, AND GOVERNANCE

This part of the *Faculty Handbook* provides information necessary for faculty members to work toward fulfillment of the goals of the University. The Mission Statement guides all efforts of the University and the historical review explains the evolution of the institution and its goals. Achievement of the goals is accomplished through the administrative and academic structure described in Part One.

1.1 HISTORY OF THE UNIVERSITY

The Benedictine monks of St. Procopius Abbey founded Benedictine University in 1887 as St. Procopius College. The Benedictine Order bears the name of St. Benedict, born in 480, who is acknowledged as the father of western monasticism. In 528 he established the famed monastery of Monte Casino. Standing in that long tradition of learning, the Benedictines of St. Procopius Abbey founded the College in Chicago, securing its charter from the State of Illinois in 1890. The first building in Lisle was dedicated in September 1901. It was gradually extended, and new buildings began to be added in the 1920's. The College was originally founded for men of Czechoslovak descent and in the early years most of the students were from that national group. The College became fully coeducational in 1968, and in 1971 changed its name to Illinois Benedictine College. In 1996, the College was renamed Benedictine University.

1.2 MISSION

Benedictine University is an inclusive academic community dedicated to teaching and learning, scholarship and service, truth and justice, as inspired by the Catholic intellectual tradition, the social teaching of the Church, and the principles of wisdom in “The Rule of St. Benedict.”

1.2.1 VISION

Benedictine University aspires to be a thought leader in Catholic higher education. We seek to provide a transformative and integrative educational experience grounded in Benedictine values, helping students shape lives of meaning and purpose as engaged citizens who care for the earth, welcome people of diverse faiths and cultures, and promote the common good.

1.2.2 COMMITMENT

Benedictine University’s mission and vision reflect its Catholic and Benedictine identity, providing continuity with the past and a direction for the future.

In 1887 the monks of St. Procopius Abbey founded Benedictine University. They have been active sponsors of the institution throughout its history, first as St. Procopius College, later as Illinois Benedictine College, and today as Benedictine University. The monks base their lives on “The Rule of St. Benedict,” written in the sixth century. They share the Benedictine charism with all who embrace the University’s Catholic and Benedictine mission.

Education at Benedictine University is rooted in values lived by Benedictine monks and sisters. These values are conveyed by the “Ten Benedictine Hallmarks” as formulated by the Association of Benedictine Colleges and Universities:

- love of Christ and neighbor;
- prayer: a life marked by liturgy, *lectio* and mindfulness;
- stability: commitment to the daily life of this place, its heritage and tradition;
- *conversatio*: the way of formation and transformation;
- obedience: a commitment to listening and consequent action;
- discipline: a way toward learning and freedom;

- humility: knowledge of self in relation to God, others and creation;
- stewardship: responsible use of creation, culture and the arts;
- hospitality: openness to the other; and
- community: call to serve the common good.

Inspired by these hallmarks, and convinced of the harmony of faith and reason, Benedictine University cultivates virtues of intellect and character, encouraging people to study, listen, and engage the ideas of a variety of persons, cultures, and disciplines, while imparting "the love of learning and the desire for God" to guide a lifelong pursuit of knowledge and wisdom.

As a Catholic University, we are guided by the academic ideals presented in the Apostolic Constitution on Catholic Universities *Ex corde Ecclesiae*, including:

- a Christian inspiration not only of individuals but of the university community as such;
- a continuing reflection in light of the Catholic faith upon the growing treasury of human knowledge, to which we seek to contribute by our own research;
- fidelity to the Christian message as it comes to us through the Church; and
- an institutional commitment to the service of the people of God and of the human family in their pilgrimage to the transcendent goal which gives meaning to life.

The University's curriculum, policies and activities draw on the wisdom of the Church regarding ways to build a just society and live lives of holiness in the modern world. To that end, the University engages key themes of modern Catholic Social Teaching identified by the United States Conference of Catholic Bishops:

- life and dignity of the human person;
- call to family, community, and participation;
- rights and responsibilities;
- option for the poor and vulnerable;
- the dignity of work and the rights of workers;
- solidarity; and
- care for God's creation.

As a member of the Association of Benedictine Colleges and Universities, Benedictine University is committed to academic and professional excellence. We strive to promote the common good and to assist individuals to lead lives of balance, generosity, and integrity. We reflect upon Gospel values as interpreted by "The Rule of St. Benedict" and therefore take seriously:

- the primacy of God and the things of God;
- reverent listening for the varied ways in which God is revealed;
- the formation of community built on respect for individual persons who are each regarded as Christ himself;
- the development of a profound awareness of the meaning of one's existence; and
- the exercise of good stewardship.

1.2.3 MOTTO

Ut in omnibus glorificetur Deus – That in all things God may be glorified.

1.2.4 ACCREDITATION AND MEMBERSHIP

The University is accredited by The Higher Learning Commission, the Commission of Collegiate Nursing Education, the Commission on Accreditation for Dietetic Education of the Academy of Nutrition and Dietetics, Illinois State Board of Education Teacher Certification Section, and the Organizational Development Institute. The University's chemistry program is approved to grant American Chemical Society accredited degrees.

The University is a member of the American Council on Education, Council for Independent Colleges, Association of Governing Boards, National Association of Independent Colleges and Universities, Association of Catholic Colleges and Universities, National Catholic Education Association, Association of Benedictine Colleges and Universities, College Entrance Examination Board, National Association of College and University Business Officers, Federation of Independent Illinois Colleges and Universities, Associated Colleges of Illinois, Associated Colleges of the Chicago Area, Illinois Council on Continuing Higher Education, National Collegiate Athletic Association, Illinois Association of College Admissions Counselors, National Association of College Admissions Counselors, Association for Gerontology in Higher Education, the Institute of International Education, Incorporated, Great Lakes Valley Conference, and State Authorization Reciprocity Agreement (SARA).

1.2.5 CONSORTIAL ARRANGEMENTS

Benedictine University cooperates with Aurora University and North Central College by providing the opportunity for students to enroll in courses at these other colleges.

The University is also one of the institutions constituting the West Suburban Post Secondary Consortium (WSPSC).

1.3 BOARD OF TRUSTEES

The Board of Trustees constitutes the governing body of Benedictine University and directs the policy of the University in accord with the terms of the University Articles of Incorporation. It formulates and determines general policies as deemed necessary for the administration and development of the University in accord with the mission of the University. Its powers and responsibilities shall include but shall not be limited to the following:

1. Appoint or remove the President and other Officers in accordance with the University By-Laws; the power to appoint or remove administrative officials, but not Officers of the University, be delegated to the President;
2. Authorize the award of all earned degrees upon recommendation of the faculty;
3. Authorize the award of all honorary degrees;
4. Establish and review educational programs of the University;
5. Establish annually the budget of the University;
6. Authorize the construction of new buildings and major renovations of existing buildings;
7. Authorize the sale of land or buildings of the University campus in accord with Church and Civil Law and in keeping with Article III, Sec. 2;
8. Authorize the purchase of land and buildings for the University;
9. Institute and promote major fundraising efforts of the University;
10. Authorize any changes in tuition and fees within the University;
11. Authorize Officers or agents of the University to accept gifts for the University;
12. Authorize the incurring of debts by the University and securing thereof by mortgage and pledge of real and personal property, tangible and intangible in accord with Church and Civil Law and in keeping with Article III, Sec. 2
13. Review of institution's mission or purposes;
14. Amendment of the University By-Laws (See Article III, Section 2 And Article XVIII).
15. Approve the promotion, advancement within rank, and awarding of tenure of faculty members, and the awarding of degrees, upon recommendation of the President of the University.

As the governing body of the institution all actions of the Board are final except in specific instances where such action requires the approval of a majority of the Members of the Corporation.

1.4 ADMINISTRATIVE STRUCTURE

1.4.1 POWERS AND DUTIES OF THE PRESIDENT OF THE UNIVERSITY

The President of the University shall be the Chief Executive Officer of the University, and the official adviser to and executive agent of the Board of Trustees and its Executive Committee. The President shall, as educational and administrative head of the University, exercise a general superintendence over all affairs of the institution, and bring such matters to the attention of the Board as are appropriate to keep the Board fully informed to meet its policy-making responsibilities. The President shall have power, on behalf of the Trustees, to perform all acts and execute all documents to make effective actions of the Board or its Executive.

1.4.1.1 Appointment and Term

The President is appointed by the Board of Trustees. The appointment is on an annual renewable basis.

1.4.1.2 Duties

- a. provide leadership directed toward maximizing the effective utilization of available resources--personnel, physical plant and facilities, finances--for the purpose of achieving and maintaining educational quality, social responsibility, and financial solvency.
- b. To present the image and reputation of the University to its principal constituents and to the public at large, and acquire resources sufficient to insure the viability and stability necessary for the successful operation and existence of the University in perpetuity.
- c. To serve as an ex officio member of the Board of Trustees and all committees of the Board. The President shall have voting rights.
- d. To be responsible for hiring, supervision, evaluation, and retention of administrators who report directly to the President.
- e. To be responsible for supervision and review of personnel actions of administrators who report directly to the President.
- f. To approve the hiring, supervision, evaluation and retention of the Deans, Registrar, and other officers of the University.
- g. To be responsible for hiring, supervision, evaluation, and retention of support staff for the President's office.

1.4.1.3 Evaluation

The President is evaluated annually by the Executive Committee of the Board under the leadership of the Board Chair.

1.4.1.4 Incapacity

In case of the absence or disability of the President, the duties of that office shall be performed by any vice president of the University designated by the Board of Trustees, or in the absence of any such designation, by the most senior vice-president available, which, in the absence of other criteria established by the Board, shall be the vice president with the greatest length of service to the University.

1.4.2 PROVOST AND CHIEF ACADEMIC OFFICER

The Provost and Chief Academic Officer serves as the chief academic officer of the University. The Provost and Chief Academic Officer has specific responsibility for academic planning and administration, for the development of academic programs, academic support for the development of faculty, and for the establishment of policies which, when approved, guide the academic future of the University.

1.4.2.1 Appointment and Term

The Provost and Chief Academic Officer is appointed by the President following consultation with the faculty and utilizing a search committee (see Section 1.6.3) and with the approval of the Board of Trustees. The appointment is on an annual renewable basis.

1.4.2.2 Duties

- a. To participate in Board of Trustees activities including but not limited to the full Board meetings, Executive Committee meetings, Academic Affairs Committee meetings and to serve as a member of the President's Cabinet.
- b. To exercise general executive responsibility, under the President, for the educational affairs of the University.
- c. To oversee the ongoing development and implementation of the University's strategic plan which fosters the values inherent in an academic community in the Benedictine tradition.
- d. To be responsible for long- and short-range planning related to the educational affairs of the University.
- e. To be responsible for hiring, supervision, evaluation, and retention of administrators who report directly to the Provost and Chief Academic Officer .
- f. To provide leadership and ultimate decision-making for the recruitment, retention, and development of qualified faculty dedicated to the fulfillment of the goals of the University.
- g. To be responsible for hiring, supervision, evaluation, and retention of support staff for the Office of the Provost and Chief Academic Officer.
- h. To be responsible for the organization, supervision, coordination, and evaluation of the administrative colleges and schools established to achieve the academic purpose of the University.
- i. To exercise executive responsibility for the fiscal support of the academic affairs areas as provided by the budget approved by the President and the Board of Trustees.
- j. To oversee the administration of academic budgets including those for salaries, operating budget, equipment and facilities.
- k. To issue faculty letters of appointment annually.
- l. To recommend or approve appointment of faculty and academic personnel to University committees.
- m. To serve as chair of the Provost's Council and to receive the reports of the following committees, councils, and boards: Rank and Tenure, Faculty Welfare, Faculty Appeals, Faculty Assembly, Faculty Development, Graduate Curriculum and Standards, Undergraduate Curriculum and Standards, Academic Standing, Honors, Institutional Review, Student Publications, Academic Honesty and the Academic Council, as well as other taskforces as appropriate.
- n. To oversee space utilization associated with academic, student and administrative activities, including inventories of equipment in laboratories and offices, and assignment of space to the academic departments.
- o. To oversee the administration of programs for general University assemblies, convocations, baccalaureate, and commencement exercises, and the programs to be presented at these events.
- p. To be responsible for faculty personnel recommendations, including recommendations for initial appointment, promotion, retention, and compensation and development.
- q. To oversee curricular and course planning, standards of instruction and assessment of student instruction in cooperation with deans and department chairs.
- r. To oversee with the deans the assignment of teaching loads, academic advising responsibilities, and special assignments of faculty and academic personnel.
- s. To be responsible for the academic orientation and mentoring of new faculty.
- t. To promote the professional development of faculty members and other academic personnel.
- u. To implement effective evaluation procedures for the instructional faculty.
- v. To oversee with the Deans the administration and approval of part-time faculty appointments, including assignments and rates of compensation.
- w. To work in conjunction with the Deans to ensure that current files on all faculty and academic personnel containing data on training, experience, publications, teaching loads, committee assignments, advising responsibilities, and the like are maintained.
- x. To work in conjunction with the University Librarian to develop a collection of learning resources appropriate to student needs in cooperation with deans and department chairs.

1.4.2.3 Evaluation

The Provost and Chief Academic Officer is evaluated annually by the President with input from the faculty.

1.4.2.4 Incapacity

In the event of the inability of the Provost and Chief Academic Officer to fulfill administrative duties, the President will appoint an acting vice president.

1.4.3 ASSOCIATE PROVOST FOR ACADEMIC AFFAIRS

The Associate Provost for Academic Affairs is an administrative officer of the University who is responsible for specified academic, faculty, and personnel duties. The Associate Provost for Academic Affairs is responsible for carrying out those assigned responsibilities in a manner consistent with University goals and objectives and for evaluation of those assigned personnel and programs.

1.4.3.1 Appointment and Term

The Associate Provost for Academic Affairs is appointed by the Provost and Chief Academic Officer with the approval of the President. The appointment is on an annual renewable basis.

1.4.3.2 Duties

The Associate Provost for Academic Affairs has the following duties:

- a. To serve on the following committees:
 - Provost's Council
 - Academic Standing Committee (Chairperson)
 - Commencement Committee (Chairperson)
- b. To assist in mediation between student and faculty member, faculty member and administrator as needed.
- c. To coordinate the budget process for areas within academic affairs.
- d. To assist with accreditation efforts.

1.4.3.3 Evaluation

The Associate Provost for Academic Affairs is evaluated annually by the Provost and Chief Academic Officer with input from the faculty and the members of the Provost's Council.

1.4.3.4 Incapacity

In the event of the inability of the Associate Provost for Academic Affairs to fulfill administrative duties, the Provost and Chief Academic Officer will appoint an acting associate provost.

1.4.4 ACADEMIC DEAN

The Dean is responsible for all programs, faculty and personnel of his/her academic unit. The Dean provides a vision for the unit that is consistent with the mission of the University. The Dean provides leadership for Department Chairs and Program Directors by providing opportunities for development and by coordinating and promoting interaction and cooperation among academic departments and disciplines within the unit and the University. The Dean is responsible for the development and evaluation of programs of the strongest possible academic quality that is publicly acclaimed and acknowledged by the relevant academic communities.

1.4.4.1 Appointment and Term

Deans are full-time administrators appointed by and reporting to the Provost and Chief Academic Officer, following consultation with the faculty and utilizing a search committee and with the approval of the President. The term of office is on an annual renewable basis.

1.4.4.2 Duties

- a. To support the goals and implementation of the Strategic Plan.
- b. To develop new initiatives/curricula, projects in collaboration with faculty.
- c. To assist department chairpersons and program directors in undergraduate, graduate, and adult education curricular and course planning.
- d. To work with Admissions in the marketing and recruitment of students.

Academic Programs

- a. To provide strategic leadership by creating innovative academic programs and redeveloping and improving existing programs, in cooperation with Department Chairs, Program Directors, and faculty.
- b. To maintain a high level of student achievement and program improvement through an active assessment plan.

- c. To work closely with the Student Success Center for more effective program delivery.
- d. To work closely with Enrollment Management and Marketing and Communications for more effective recruitment.
- e. To support using technology for teaching and learning as appropriate.
- f. To work in conjunction with the University Librarian to develop a collection of learning resources appropriate to student needs.
- g. To be responsible for curricular and course planning standards of instruction and assessment of student instruction.

Management

- a. To coordinate faculty hiring, promotion, and tenure review in the college or school and to make the recommendations regarding reappointment, promotion, and tenure.
- b. To be responsible for hiring, supervision, evaluation, and retention of support staff for the office of the Department Chairperson.
- c. To recommend the appointment and to review the performance of department chairpersons.
- d. To recommend or approve appointment of faculty and academic personnel to University committees.
- e. To assist department chairpersons in the assignment of faculty teaching loads, academic advising responsibilities, and special assignments of faculty and academic personnel.
- f. To assist department chairpersons in implementing effective evaluation procedures for the faculty.
- g. To be responsible for faculty meetings and other avenues which will assist the Provost and Chief Academic Officer in communicating with faculty, and to forward minutes of each meeting to the Provost and Chief Academic Officer and to the faculty.
- h. To mediate differences that may arise within the departments, among students, staff, faculty and department chairpersons.
- i. To be responsible for advising the Registrar on all student requests for the approval of exceptions from University requirements for graduation.
- j. To coordinate the preparation of the course schedule for each academic term.
- k. To prepare and administer the budget of the college/school.
- l. To provide administrative continuity throughout the calendar year.
- m. To be a member of the academic affairs team, implement the strategic plan as a dynamic effort.
- n. To lead through participatory management.
- o. To be accountable for personnel and budget.
- p. To conduct annual reviews of faculty as part of merit compensation.
- q. To enable the development of new faculty, the continued growth of experienced faculty, and garner involvement of part-time faculty.
- r. To develop leadership opportunities for faculty and staff in the college/school.

Resource Development

- a. To become involved in fundraising which supports academic programs and the university.
- b. To work with the Office of Corporate, Foundation, and Government Grants to develop grants which support academic programs.
- c. To build relationships with external partners for new program opportunities.
- d. To foster cooperative relationships with other universities, organizations, businesses and agencies.

1.4.4.3 Evaluation

The Dean will be evaluated annually by the Provost and Chief Academic Officer and the college or school faculty.

1.4.4.4 Incapacity

In the event of the inability of the Dean to fulfill the administrative duties for a period of more than a month, the Provost and Chief Academic Officer will appoint an acting dean.

1.4.5 DEPARTMENT CHAIRPERSON

The Department Chairperson has the direct responsibility for coordinating the development of curriculum, for assessment of student learning and for supervising the faculty within the department. The department chair has time released from teaching duties. Normally, department chairs may not teach overload.

1.4.5.1 Appointment and Term

The Department Chairperson is appointed annually by the Dean upon the recommendation of the faculty of the department and the approval of the Provost and Chief Academic Officer. The term of office is normally for three years and may be continued for an additional term. Normally, department chairs are tenured and the position rotates within the members of the department.

1.4.5.2 Duties

The Department Chairperson is responsible for overseeing the completion of the duties listed below [note that not all duties are applicable to all department chairs due to the diversity of the departmental structure]

Curricular Management

- To establish and maintain high quality services and programs.
- To coordinate the design and implementation of curriculum for all programs in the department.
- To monitor that the department is using a variety of learning approaches to facilitate students learning outcomes.
- To be responsible for curricular and course planning standards of instruction and assessment of student instruction.
- To review and revise program learning goals and outcomes.
- To ensure the assessment of learning to develop communication, collaboration, teamwork, problem solving, and critical thinking.
- To ensure assessment of opportunities for students to develop professional values, ethical practices, leadership, and decisions-making skills.
- To ensure the curriculum includes interdisciplinary experiences.
- To organize and maintain offsite events or course offerings.
- To manage curricular needs for one or more distinct programs.
- To coordinate the development of courses and sequences within the disciplines of the department to serve the needs of students.
- To plan the course schedule for each term, including the assignment of faculty members.
- To prepare course and program descriptions.
- To supervise the preparation of course syllabi by departmental faculty.
- To examine syllabi for all departmental course offerings before distribution to students.
- To research, prepare and present proposals for any curriculum change.
- To work with Core Curriculum Committee as needed to provide information for core-designated courses.
- To review and update Major, Minor, Degree, and Certificate checklists.
- To track and monitor quality of independent studies and internships.
- To find tutors and/or graders when necessary or appropriate.
- To prepare program review and any accreditation documentation.

Student Management

- To supervise advising and registration of majors, minors, program, at-large, and core students in departmental programs in a manner consistent with the goals of the University.
- To create opportunities on campus for professional development for students enrolled in the program.
- To participate in advising events including Declare Your Major Day.
- To assess and apply course proficiency and life experience credits.
- To mentor or collaborate with student research projects.
- To create opportunities to honor student achievement.

Marketing and Recruiting

- To work with admissions staff in marketing and recruitment of students.
- To attend recruiting events as needed (Open House, Graduate Awareness Week, etc.).
- To recruit students into the program.
- To work with admissions on prospect files.

- To update admissions brochures.
- To meet with admissions staff as needed to explain program requirements and career opportunities.
- To create or proof departmental advertising from admissions or public relations offices.
- To work with campus publications to forward any significant departmental activity, promotional opportunities or outreach programming.
- To represent the department and university at department, university or community functions.

Administrative Duties

- To support the goals and implementation of the Strategic Plan.
- To assist in the development of the accreditation process and criteria development. (AQIP).
- To review program visions, missions and goals.
- To develop an annual department plan in consultation with departmental faculty.
- To monitor and guide achievement of short and long-term goals as enumerated in the departmental strategic plan.
- To prepare and administer the departmental budget for one or more programs.
- To coordinate the purchasing of course supplies and learning materials for the department.
- To coordinate the use of capital purchases.
- Raise endowment and scholarship funds for the department.
- To review documentation and award departmental scholarships.
- To give approval for any professional travel by departmental faculty.
- To monitor departmental inventory of necessary equipment or items.
- To prepare agenda for and preside at departmental meetings, and forward minutes to the Dean, the Departmental faculty, and the Provost and Chief Academic Officer.
- To prepare for and attend Dean/Department Chair meetings.
- To prepare for and attend Academic Council meetings.
- To prepare for and attend ad hoc subcommittees.
- To meet with the dean to work on program development and assessment of work on current issues of concern.
- To work with Human Resources to develop hiring advertisement of new faculty and staff as needed.
- To work through the hiring process with adjunct faculty.
- To interview new candidates for faculty positions as needed.
- To recommend the faculty staffing requirements of the department to the Dean and Provost and Chief Academic Officer.
- To recruit faculty members and to recommend new appointments to the Dean and Provost and Chief Academic Officer.
- To make teaching assignments for all departmental faculty.
- To assist faculty in curricular and administrative needs.
- To disseminate information from administrative meetings to other departmental faculty.
- To arrange substitutes in cases of prolonged absence of faculty members.
- To observe and evaluate faculty.
- To work with faculty to prepare their Faculty Goals Statement and their faculty goals statements [contained therein]
- To monitor and mentor probationary faculty.
- To provide annual review of probationary faculty.
- To promote the professional development of the departmental faculty.
- To evaluate the teaching, professional development, and university services of each departmental faculty member, based on the self-evaluation provided by the faculty member, and to make written recommendations regarding merit raises, reappointment, promotion and tenure.
- To monitor number of independent studies and overloads for any given faculty member.
- To review and assess student evaluations of faculty.
- To work with faculty on the assessment of their evaluations.
- To monitor room usage and enrollment numbers for sufficient numbers and add or cancel classes as needed.
- To work with interconnected or non-departmental programs with staffing or course needs

- To work with academic and campus services to provide appropriate teaching facilities and equipment for all courses offered in the department.
- To assist the University Librarian in the development of library holdings appropriate to the needs of the students.
- To assist the Chief Information Officer in the development of priorities and budget.
- To advise and assist in the development of learning resources in support of academic programs.
- To act as liaison with students, faculty, dean and/or Provost in cases of academic appeal or other student-teacher conflict.
- To attend to email, voicemail and other communications regarding departmental issues.
- To provide administrative continuity throughout the calendar year, including the summer session.
- To submit and continuously monitor implementation of course schedules.
- To oversee the timely ordering of textbooks and other course materials.
- To prepare and submit contract information for all departmental faculty.
- To edit transfer articulation guides and other transfer policy documents.
- To evaluate all information related to institutional articulation for departmental course offerings.
- To complete graduation audits.
- To award and track departmental scholarships and awards.
- To inform faculty in case of inclement weather.
- To archive departmental documents.
- To send thank you letters to donors.
- To schedule common finals (as needed).
- To oversee, guide, supervise, train and evaluate office assistant/support staff.
- To verify correct enrollment in prerequisite courses.
- To send letters to students not meeting requirements for enrollment or scholarships.
- To process paperwork including check requisitions, purchase orders, cash advances, key requests, email requests, IT requests, incompletes, independent studies, internships, etc.
- To research, prepare and submit external data requests.
- To provide an annual self-evaluation.
- To submit annual report to the Dean.

1.4.5.3 Evaluation

The Department Chairperson will be evaluated annually by the Dean and the department faculty. The results will be forwarded to the Provost and Chief Academic Officer.

1.4.5.4 Incapacity

In the event of the inability of the Department Chairperson to fulfill the administrative duties for a period of more than one month, the Dean will appoint an acting chairperson. When a department chairperson will be absent for a period of one month or less, the Department Chairperson will appoint a substitute.

1.4.6 ACADEMIC PROGRAM DIRECTOR

The Academic Program Director has the responsibility for coordinating the development of curriculum, for assessment of student learning and for supervising the faculty within the program. An Academic Program Director may report to a department chair or directly to a dean, depending upon the reporting structure within the individual college.

1.4.6.1 Appointment and Term

The Program Director is appointed annually by the Dean upon the recommendation the faculty of the program and the approval of the Provost and Chief Academic Officer. The term of office is normally for three years and may be continued for an additional term. Normally, program directors are tenured and the position rotates within the members of the program.

1.4.6.2 Duties

The duties of a Program Director are similar to those of a department chair. In cases where a program director reports to a department chair, the program director is not responsible for faculty evaluation or faculty review.

1.4.6.3 Evaluation

The Program Director will be evaluated annually by the Dean, the Department Chair, when appropriate, and the program faculty. The results will be forwarded to the Provost and Chief Academic Officer.

1.4.6.4 Incapacity

In the event of the inability of the Program Director to fulfill the administrative duties for a period of more than one month, the Dean will appoint an acting program director. When a program director will be absent for a period of one month or less, the Program Director will appoint a substitute.

1.4.7 UNIVERSITY LIBRARIAN

The University Librarian is responsible for overall administration of the library program, including planning, budgeting, collection development, staff supervision and evaluation, and public relations.

1.4.7.1 Appointment and Term

The University Librarian is appointed by the Provost and Chief Academic Officer following consultation with the faculty and utilizing a search committee that includes both regular faculty and professional librarians and with the approval of the President. The appointment is on an annual renewable basis.

1.4.7.2 Duties

- a. To prepare and administer the annual library budget including salaries, operating budget, materials budget, equipment, and facilities.
- b. To work with the Provost and Chief Academic Officer, the Deans and Departments in the development of library holdings appropriate to the needs of students.
- c. To work with the Library Committee to ensure that the library prioritizes its resources and services to be consistent with the needs of the students and the goals of the University.
- d. To plan and implement new services as needed.
- e. To formulate policies, rules, regulations, and practices for the most effective use of the library facilities.
- f. To be responsible for hiring, supervision, evaluation, and retention of librarians and library support staff, including annual performance reviews, for the office of the University Librarian.
- g. To promote the professional development of the librarians.
- h. To supervise the work of the library staff.
- i. To be responsible for publicizing the library's services to the campus community.
- j. To work with Provost and Chief Academic Officer and Chief Information Officer.
- k. To work with University and administration and faculty in development of long range plans.
- l. To be responsible for development and maintenance of special collections and University archives.

1.4.7.3 Evaluation

The University Librarian will be evaluated annually by the Provost and Chief Academic Officer with input from the faculty and the University's professional librarians.

1.4.7.4 Incapacity

In the event of the inability of the University Librarian to fulfill administrative duties, the Provost and Chief Academic Officer will appoint an acting director.

1.4.8 REGISTRAR

The Registrar is responsible for all aspects of student registration and academic records, and monitors all graduation requirements, degree certification, and athletic eligibility requirements.

1.4.8.1 Appointment and Term

The Registrar is appointed by the Provost and Chief Academic Officer following consultation with the faculty and utilizing a search committee and with the approval of the President. The appointment is on an annual renewable basis.

1.4.8.2 Duties

The Registrar has the following duties:

- a. To serve on the following committees:
 - Athletic Hardship Appeals Committee
 - Commencement Committee
 - Information Technology Advisory Committee
 - Waiver Advisory Committee
- b. To be responsible that the student records system is in compliance with the policies of the American Association of Collegiate Registrars and Admissions Officers (AACRAD).
- c. To be responsible for the interpretation and application of academic policies and regulations.
- d. To be responsible for the graduation audit review process.
- e. To be responsible for undergraduate final examination scheduling.
- f. To be responsible for the certification of student eligibility to participate in intercollegiate athletics, serving as the institutional certification of athletic eligibility.
- g. To be responsible for the certification of student eligibility for academic honors.
- h. To be responsible for providing academic departments and programs and faculty advisors with transcript information for advising purposes.
- i. To be responsible for all IPEDS reporting, serving as the institutional coordinator for IPEDS.
- j. To be responsible for referring undergraduate academic waiver requests and exceptions to University policy to the Waiver Advisory Committee for consideration.
- k. To be responsible for the final determination of transferable college credit.
- l. To serve as the editor for the Undergraduate and Graduate Catalogs.
- m. To be responsible for the end of the term processing in the academic administrative system.
- n. To be responsible for the awarding of credit to U.S. Military Veterans, and to be the contact with Service members Opportunity Colleges Organization (SOC).
- o. To be responsible for the release of all final course grades to students and approved third parties.
- p. To be the custodian of student academic files for compliance with subpoenas.
- q. To be responsible for the safekeeping and use of the University seal.

1.4.8.3 Evaluation

The Registrar will be evaluated annually by the Provost and Chief Academic Officer.

1.4.8.4 Incapacity

In the event of the inability of the Registrar to fulfill administrative duties, the Provost and Chief Academic Officer will appoint an acting registrar.

1.4.9 ORGANIZATIONAL CHARTS

Refer to Appendix 1.4.9.

1.5 GOVERNANCE

The successful operation of the University requires a clear understanding of how responsibility is shared for participation in the mission and achieving the goals of the institution. From these responsibilities is derived the authority to conduct the affairs of the University, and to implement the plans and activities intended to achieve these goals.

1.5.1 THE ROLE OF THE MEMBERS

The many and diverse activities directed toward the achievement of the goals of the University create an interdependence among the members who comprise the collegial community: Benedictine monks, trustees, the President and

administration, support staff, faculty, and students. This interdependence requires adequate communication among the members of the University, and appropriate participation in the planning and decision-making processes by them. The University shall be a membership corporation according to the laws of the State of Illinois. There are two classes of participants in the affairs of the University Corporation: that of Members of the Corporation; and that of Trustees of the Corporation. The rights and duties of each class are contained in the University By-Laws.

1.5.1.1 The Benedictine Members

The Board of Directors of St. Procopius Abbey has final authority with respect to the following matters:

- a. sale, mortgage, or encumbrance of any kind of any or all real estate owned by the University;
- b. merger, liquidation, or dissolution of the University;
- c. approval of changes or amendments of the Articles of Incorporation of the University and By-Laws, as presented by the Board of Trustees;
- d. election of Trustees.

The Board of Directors of St. Procopius Abbey [or who constitute any body which may hereafter be a successor to such Board of Directors] constitute the Members of the University Corporation.

1.5.1.2 The Board of Trustees

The Board of Trustees is the final authority in all matters except those reserved to the Benedictine members. The Board has a special obligation to assure that the Benedictine heritage and Catholic tradition of the University shall serve as a prelude and inspiration to the future.

1.5.1.3 Relationship of the Board of Trustees, President, Faculty, Administration, and Support Staff

The President is the chief executive officer of the University and is responsible for the overall administration of the University in accordance with the policies approved by the Board of Trustees. The President is responsible for implementing the policies of the Board of Trustees through operational standards and procedures that are consistent with sound academic practice. The President is responsible for the definition and attainment of institutional goals, for effective utilization and development of institutional resources.

In academic matters, the President consults with the Faculty. The President may also seek the advice of experts from outside the institution. The President ensures that faculty views, including dissenting ones, are presented to the Board of Trustees on academic matters and on those issues where responsibility is shared.

The Faculty has primary responsibility for those fundamental areas that are related to the educational process. The authority for making decisions in these matters is delegated to the Faculty, through the President, with the power of review and final decision residing in the Board of Trustees.

In matters where the Faculty has primary responsibility and the President does not concur with the Faculty judgment, reasons for the disagreement should be communicated to the Faculty. Following such communication, the Faculty should have the opportunity for further consideration and presentation of its views to the Board through the President.

The Administration and Support Staff have the responsibility for assisting the President in the management of the University. While participation of the Administration and of the Support Staff in academic governance is primarily through the President, the advice and assistance of the members of this group will be engaged where their knowledge and expertise is applicable.

1.5.1.4 The Students

Students participate in the governance of the University within the limits of attainable effectiveness. (For Additional Information, see the Student Handbook)

1.5.2 GOVERNANCE STRUCTURE

Governance at the University is based upon the following principles:

- a. Governance is defined here as the formulation of policy as distinguished from the implementation of said policy.
- b. The governance structure is such as to advance the mission and purposes of the university and foster communications among all segments of the institution, thereby increasing trust and spirit of community for all members.

- c. The University's mission informs its Academic Plan developed by a strategic planning process. The Academic Plan is at the center of the institution and serves as a blueprint for all budgetary and other institutional plans.
- d. The faculty has both a right and a duty to participate in institutional decisions at all levels, but especially concerning search committees, curriculum and program development and assessment, planning, budgeting, technologies, and facilities.
- e. Normally the role of faculty in governance is carried out through a committee structure (committee, council, taskforce, and other governing unit)
- f. Each committee structure must be clearly delineated in terms of its authority, its purpose, its limits, its duration, its membership, [the terms of memberships, the number of members, whether members are elected or appointed, and by whom], to whom the group reports, and to whom the group is accountable.
- g. The governing structure incorporates effective and representative University, intercollegiate, and College wide committee structures to discuss and hear reports and to make recommendations and decisions [as appropriate] on institutional initiatives, curricular, budgetary and resource allocation matters and other governance and academically related concerns subject to the guidelines established within this Handbook.
- h. The structure provides autonomy to the faculty and administration at the University, College, and Program levels to forward recommendations and decisions [as appropriate] to the Dean and/or Provost and Chief Academic Officer on matters including, but not limited to, curricular and program delivery and review, appointment of new faculty, assessment and evaluation of programs and student learning, program requirements, approaches to faculty and staff compensation, allocation of resources within Academic Affairs, the development of charters and procedures for advisory committees, as well as processes for faculty review, promotion, and tenure. The authority is delegated from the University level to the College level to the Program level as appropriate.

1.5.2.1 Provost's Council

1.5.2.1.1 Purpose

To advise the Provost and Chief Academic Officer on those matters about which he/she seeks advice and to inform him/her of the current issues facing the University in all areas under his/her jurisdiction.

1.5.2.1.2 Duties

- a. To provide the Provost and Chief Academic Officer with candid advice and to prepare for him/her reports on those matters he/she deems to be significant.
- b. To keep the Provost and Chief Academic Officer informed about issues and developments in those areas to which he/she has delegated responsibility.

1.5.2.1.3 Members

The members include the Deans, the University Librarian, the Registrar, the Director of International Programs, the Director of the Grants Office, the Assistants to the Provost, and the Associate Provost for Academic Operations, along with the Provost and Chief Academic Officer.

1.5.2.2 University Planning Council

1.5.2.2.1 Purpose

To make recommendations to the President on the University's Strategic Plan. To assist the President in the oversight of the strategic planning process and implementation of the University's Strategic Plan.

1.5.2.2.2 Duties

- a. To make recommendations to the President on the University's Strategic Plan
- b. To assist the President in the oversight of the strategic planning process
- c. To assist the President in the implementation of the University's Strategic Plan
- d. To communicate regularly with the faculty and solicit their input on matters the committee has under consideration.
- e. To assist the President in the formulation of the University's Financial Exigency Plan

- f. To serve as the Accreditation Steering Committee.
- g. To report to the President

1.5.2.2.3 Members

The following are voting members of the Council:

- The Chairperson of the Faculty Assembly
- One regular faculty member [excluding ex officio faculty] elected by the regular and term faculty
- Two Academic Deans selected by the members of the Provost's Council
- One regular faculty member [excluding the President and Provost and Chief Academic Officer] elected by the regular and term faculty
- Provost and Chief Academic Officer
- Vice President for Administration and Chief Financial Officer
- Vice President for Student Life
- Vice President for Admissions and Financial Aid
- Vice President for University Development
- Executive Director of Marketing and Communications
- Associate Provost for Academic Affairs
- Executive Director of University Planning and Research
- Chief Information Officer.

Two members will serve as co-chairs of the Council. One co-chair is elected from and by the members of the Council and will serve a one-year term. The second co-chair is the Executive Director of University Planning and Research.

1.5.2.3 Faculty Assembly

1.5.2.3.1 Purpose

The Faculty Assembly will provide opportunity for the faculty to meet together and discuss major issues affecting the institution.

1.5.2.3.2 Duties

- a. The Faculty Assembly will make recommendations on major changes in academic policies and programs presented by other University committees.
- b. The Faculty Assembly will receive and discuss on an on-going basis reports from the major University committees including but not limited to the University Planning Council, the Faculty Welfare Committee, Academic Council, the Graduate Curriculum and Standards Committee, and the Undergraduate Curriculum and Standards Committee.
- c. It may discuss matters that are contained in committee reports and, in turn, report the results of its deliberations to the appropriate committee(s).
- d. It may formulate and act on motions and, in turn, submit its recommendations to the Provost and Chief Academic Officer (including voting results).
- e. Meetings may be called by the Chairperson of the Assembly, the President of the University, the Provost and Chief Academic Officer or upon written request of at least five faculty members.
- f. Officers shall include a Chairperson, a Vice Chairperson and a Secretary. The officers shall comprise an Executive Committee which shall prepare and announce the agenda, and the date, time, and place of the meeting at least seven business days prior to the meeting. The Chairperson shall serve on the University Planning Council.
- g. It shall make its recommendations to the Provost and Chief Academic Officer.

1.5.2.3.3 Members

All regular, professional, term, and full-time associate faculty members are voting members. The Executive Committee is elected annually from and by the members [ex-officio, professional, and term faculty members may not serve on the Executive Committee].

1.5.2.4 Academic Council

1.5.2.4.1 Purpose

To recommend and advise on policy and procedural matters related to departmental governance, academic affairs and issues that have a demonstrable impact on two or more Colleges.

1.5.2.4.2 Duties

- a. To work with the Deans on the development of the University's policies and procedures regarding the assessment of student learning.
- b. To work with the Deans on academic leadership development.
- c. To develop the procedures used in the implementation of academic policy.
- d. The committee shall regularly communicate with the faculty and solicit their input on matters the committee has under consideration.
- e. It shall report to the Provost's Council.
- f. To communicate regularly with the faculty and solicit their input on matters the committee has under consideration.

1.5.2.4.3 Members

- Department Chairs.
- Program Directors who report directly to a Dean.
- Associate Deans who do not have department chairs or program directors reporting to them

The Council will elect two co-chairs from the members and the co-chairs will serve staggered two- year terms.

1.5.2.5 Graduate Curriculum and Standards Committee

1.5.2.5.1 Purpose

This committee shall make decisions on curricular issues and recommendations on academic standard issues at the graduate level. The committee reports to the Provost and Chief Academic Officer.

1.5.2.5.2 Duties

- a. The committee shall oversee the minimum requirements for degree and certificate conferral, transfer credit and course substitution policies, the grading system and the policies involving the issuance of grades, the satisfactory academic progress policy, academic dismissal and probation policies, minimum admissions standards, and other University wide issues. It shall regularly review these items and make recommendations for any changes as deemed appropriate.
- b. The committee shall regularly communicate with the faculty and solicit their input on matters the committee has under consideration.

1.5.2.5.3 Members

The Graduate Curriculum and Standards Committee will have one representative, a regular [excluding ex-officio] or full-time associate faculty, from each College elected by the regular [excluding ex-officio], professional, term, and full-time associate faculty of that College. The faculty must regularly teach students in the graduate programs and will serve staggered three-year terms. In addition, the Registrar and a representative from the Enrollment Center [selected by the Vice President for Enrollment Services in consultation with the Provost and Chief Academic Officer] will serve on the committee as non-voting members.

1.5.2.6 Undergraduate Curriculum and Standards Committee

1.5.2.6.1 Purpose

This committee shall make decisions on curricular issues and recommendations on academic standard issues at the undergraduate level. The committee reports to the Provost and Chief Academic Officer.

1.5.2.6.2 Duties

- a. The committee shall oversee the minimum requirements for degree and certificate conferral, transfer credit and course substitution policies, the grading system and the policies involving the issuance of grades, the satisfactory academic progress policy, academic dismissal and probation policies, minimum admissions standards, and other University wide issues. It shall regularly review these items and make recommendations for any changes as deemed appropriate.
- b. The committee shall regularly communicate with the faculty and solicit their input on matters the committee has under consideration.

1.5.2.6.3 Members

The Undergraduate Curriculum and Standards Committee will have one representative, a regular [excluding ex-officio] or full-time associate faculty, from each College elected by the regular [excluding ex-officio], professional, term, and full-time associate faculty of that College. The faculty must regularly teach students in the undergraduate programs and will serve staggered three-year terms. In addition, the Registrar and a representative from the Enrollment Center [selected by the Vice President for Enrollment Services in consultation with the Provost and Chief Academic Officer] will serve on the committee as non-voting members.

1.5.2.7 College Curriculum and Standards Committees

1.5.2.7.1 Purpose

This committee shall make decisions on curricular issues and recommendations on academic standard issues that pertain to the individual Colleges. The committee reports to the College Dean.

1.5.2.7.2 Duties

- a. The Committee will oversee the degree and certificate requirements specific to all programs within the College. It shall regularly review these items and make recommendations for any changes as deemed appropriate.
- b. The Committee will oversee the admissions requirements specific to the programs within the College. It shall regularly review these items and make recommendations for any changes as deemed appropriate.
- c. The Committee will review proposals from the formation of new programs within the College, modifications to existing programs within the College, and the discontinuance of programs within the College.
- d. The Committee shall regularly communicate with the faculty and solicit their input on matters the committee has under consideration.

1.5.2.7.3 Members

Refer to Appendix 1.5.2.7 for the membership of each College Curriculum and Standards Committee.

1.5.2.8 Faculty Appeals Committee

1.5.2.8.1 Purpose

This committee shall hear appeals from regular, professional, term, and adjunct faculty members concerning either a denial of promotion in rank, denial of tenure, denial of advancement within rank, or the denial of a professional development award. In addition, it shall hear appeals from faculty in cases of faculty discontinuance or suspension. The Committee reports to the President.

1.5.2.8.2 Duties

- a. It will hear an appeal based on process, when the appellant believes that the evaluation/recommendation process was not fair or complete.
- b. It will hear an appeal based on decision, when the appellant believes that the denial of promotion in rank, the denial of tenure, the denial of advancement within rank, or the denial of a professional development award was not justified.
- c. It will meet at the call of the Chairperson of the Committee at the request of the appellant.

1.5.2.8.3 Members

The Faculty Appeals Committee shall be a standing committee of six full-time regular faculty members. The Committee shall consist of three sitting members and three alternate members selected in the following manner: Three members, and three alternates, elected at-large from the regular faculty [excluding ex-officio faculty] by the regular [excluding ex-officio faculty], professional and term faculty. Each election may be conducted as an election to fill two positions (member and alternate). All elected members will serve staggered three-year terms.

The appellant has the right to replace one sitting member with an alternate of his/her choice. Some of the procedures to be followed by the Committee are set down in Section 2.27, *Faculty Handbook*.

1.5.2.9 Rank and Tenure Committee

1.5.2.9.1 Purpose

It shall make recommendations on promotion, tenure, and advancement within rank in regard to those faculty members who are eligible and make application. It shall make recommendations for those faculty members eligible for third-year review.

1.5.2.9.2 Duties

- a. In regard to promotion, it shall review the criteria as set down for each rank in Part 2, *Faculty Handbook*, and apply the appropriate criteria to each case up for consideration.
- b. In regard to tenure, it shall review the criteria for tenure as set down in Part 2, *Faculty Handbook*, and apply the criteria with concern for the long-term benefit of the University.
- c. In regard to advancement within rank, it shall review the criteria as set down in Part 2, *Faculty Handbook*, and apply the criteria to each case up for consideration.
- d. It shall study the application of each applicant.
- e. It shall meet at the call of the Chairperson.
- f. It shall conduct all its deliberations in the context of meetings called by the chairperson.
- g. It shall report and make recommendations to the Provost and Chief Academic Officer.

1.5.2.9.3 Members

One tenured faculty member, and alternate, from each College elected from the tenured faculty and by the regular and professional faculty of that College; and one regular non-tenured faculty member, and alternate, elected from regular non-tenured faculty and by the regular and professional probationary faculty. All elected members will serve staggered two-year terms. If there are fewer than three tenured faculty in a College, that College's representative may be regular non-tenured. The committee chairperson shall be elected from and by the members of the committee and serves a one-year term.

If an elected representative applies for tenure, promotion or advancement within rank, the representative's alternate will serve for that review cycle [promotion/tenure/advancement within rank is the fall cycle; third-year review/continuous appointment is the spring cycle]. If the elected representative is a department chairperson the year a member of that department applies for tenure, promotion or advancement, the department chair's alternate will serve for that review cycle.

If an elected representative is undergoing third year review, the representative's alternate will serve for that review cycle. If the elected representative is a department chairperson the year a member of that department is undergoing third year review, the department chair's alternate will serve for that review cycle.

If the elected representative and the alternate are both excluded from serving on the Rank and Tenure Committee as they apply for tenure, promotion, or advancement within rank, is undergoing third year review, or is a department chairperson the year a member of the department applies for tenure, promotion, or advancement within rank, is a department chairperson the year a member of the department is undergoing third year review, a special election will be held by the Faculty Welfare Committee to elect an alternate, by November 1st, for that review cycle.

Benedictine Monks who have achieved the rank of Associate Professor and who have at least seven years of college
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teaching experience with a minimum of four years at the University will be included in the tenured ranks for the purposes of representation, voting, and election to this committee.

1.5.2.10 College Faculty Review Panels

1.5.2.10.1 Purpose

These panels shall make recommendations on promotion, tenure, and advancement within rank in regard to those faculty members who are eligible and make application within their College. They shall make recommendations for those faculty members eligible for third-year review within their College.

1.5.2.10.2 Duties

- a. In regard to promotion, it shall review the criteria as set down for each rank in Part 2, *Faculty Handbook*, and apply the appropriate criteria to each case up for consideration.
- b. In regard to tenure, it shall review the criteria for tenure as set down in Part 2, *Faculty Handbook*, and apply the criteria with concern for the long-term benefit of the College.
- c. In regard to advancement within rank, it shall review the criteria as set down in Part 2, *Faculty Handbook*, and apply the criteria to each case up for consideration.
- d. It shall study the application of each applicant.
- e. In regard to third-year review of probationary faculty, it shall review the criteria as set down in Part 2, *Faculty Handbook*, and apply the criteria to each case up for consideration.
- f. It shall meet at the call of the Chairperson.
- g. It shall conduct all its deliberations in the context of meetings called by the chairperson.
- h. It shall report to the Dean and make recommendations to the Rank and Tenure Committee and the Dean.

1.5.2.10.3 Members

All tenured faculty [other than the department chair] in the program to which a faculty member under review is appointed will serve on the College Faculty Review Panel for that faculty member. An elected college representative to the Rank and Tenure Committee may not serve as a member of a College Faculty Review but may communicate information to the panel [for example, class observations]. Refer to Appendix 1.5.2.10 for the additional members of each College Faculty Review Panel.

1.5.2.11 College Faculty Handbook Revision Committees

1.5.2.11.1 Purpose

To receive and consider proposals for revision of the *Faculty Handbook* as specified in Section 2.28 as specifically related to the College specific sections of the *Faculty Handbook*.

1.5.2.11.2 Duties

It may initiate and shall receive and consider proposals for revision of the *Faculty Handbook* as specified in Section 2.28 (Procedures for Revision of the *Faculty Handbook*) as specifically related to the College specific sections of the *Faculty Handbook*.

1.5.2.11.3 Members

Refer to Appendix 1.5.2.11 for the membership of each College Handbook Revision Committee.

1.5.2.12 Faculty Welfare Committee

1.5.2.12.1 Purpose

To formulate and recommend to the Provost and Chief Academic Officer policies regarding faculty welfare.

1.5.2.12.2 Duties

- a. It shall study and make recommendations concerning matters affecting the morale and welfare of the faculty.

- b. It shall consult the faculty on a regular basis in order to learn of faculty concerns and determine the best means of addressing these concerns.
- c. It shall make an annual proposal to the Provost and Chief Academic Officer recommending salary and benefits for all faculty.
- d. It shall conduct elections for appropriate University-wide committee structures as enumerated in Section 1.5.2 and 1.6.2 of the Faculty Handbook and shall determine and interpret the appropriate membership criteria for elected faculty representation per the same section. It shall conduct the election of a replacement when an elected faculty member is unable to serve on or resigns from any of these committee structures. It shall resolve any University-wide election issues not specifically addressed in the *Faculty Handbook*.
- e. It may initiate and shall receive and consider proposals for revision of the *Faculty Handbook* as specified in Section 2.28 (Procedures for Revision of the *Faculty Handbook*).
- f. It shall initiate, in cooperation with the President and the Provost and Chief Academic Officer, the evaluation of academic administrators at the level of dean and above at least once every three years with broad input from the faculty. It shall communicate the results to those being evaluated and their appropriate superiors.
- g. It shall meet regularly during the academic year.
- h. It shall provide regular status reports to the faculty.
- i. It shall meet regularly with and report to the Provost and Chief Academic Officer.

1.5.2.12.3 Members

Two members elected from and by the tenured faculty; two members elected from and by the non-tenured faculty; and three members elected at-large from the regular [excluding ex-officio] faculty and by the regular [excluding ex-officio] faculty], professional, and term faculty. All elected members will serve staggered two-year terms.

1.5.2.13 University Academic Assessment Committee

1.5.2.13.1 Purpose

To oversee and coordinate academic and co-curricular assessment activities and to report on outcomes. Reports to the Provost and Chief Academic Officer annually on the progress of assessment plans, improvements implemented as a result of assessment, and support needed for assessment.

1.5.2.13.2 Duties

- a. To design and update the University-wide assessment framework and the Learning Guide, to offer assessment training, and to annually analyze data from Student Learning Outcomes Assessment (SLOA) Plans.
- b. To summarize assessment data from College Assessment Panels, General Education Curriculum Committee Assessment Panel, and other sources, as appropriate, and report back to the University community as appropriate.
- c. To communicate regularly with the faculty and solicit their input on matters the committee has under consideration.

1.5.2.13.3 Members

Associate Provost for Academic Affairs; Director, Center for Teaching and Learning Excellence; Director, General Education Curriculum; One Professional Librarian appointed by the University Librarian; One regular undergraduate faculty member elected from each College (College of Business, College of Liberal Arts, College of Science, College of Education and Health Services); Two faculty members whose previous teaching load consists of 50% or more in graduate programs elected at large; One professional faculty member from the Mesa Campus elected by the professional and term faculty members on the Mesa Campus. Each regular faculty member elected to the committee will also serve on his/her College's Assessment Panel. Members will serve three-year staggered terms.

1.5.2.14 Committee on Academic Advising

1.5.2.14.1 Purpose

To provide a line of communication between the Faculty and the Advising Center, and to promote best practices in academic advising.

1.5.2.14.2 Duties

- a. To keep conversation lines open between faculty and the Advising center.
- b. To provide resources and training on best practices in advising for all academic advisors.
- c. To recommend and advise on policy and procedural matters related to academic advising.
- d. The committee shall communicate regularly with the faculty and Academic Council and solicit their input on matters the committee has under consideration.
- e. The committee shall receive input from student government or from student surveys to assess advising and make recommendations based on the information received.
- f. It shall report to the Faculty Assembly.
- g. To work on retention of current students as related to advising.

1.5.2.14.3 Members

Faculty: 2 from COSH (1 each from science and health), 2 from COLA (1 each from humanities and social sciences), 1 from GCOB, 1 from Mesa, elected to staggered three-year terms.

Advising Center: Director of Advising and one College Advisor

Non-voting members: Associate Provost for Academic Affairs and Associate Provost for DEI, representative from Registrar's Office

1.6 UNIVERSITY COMMITTEES

1.6.1 COMMON COMMITTEE PROCEDURES

1.6.1.1 Responsibilities

Elections of committee members will be conducted by October 31 and the results reported to the Provost and Chief Academic Officer. Election or appointment to a University committee is confirmed in writing by the Provost and Chief Academic Officer. Recommendations for changes in membership will be forwarded to the Provost and Chief Academic Officer.

Each committee, board or group will be convened by the incumbent chairperson, or in unusual cases by the Provost and Chief Academic Officer. All standing committees, boards, and planning groups will generally hold their first meeting prior to September 30 of each year and establish a regular meeting schedule.

All committees or planning groups will keep minutes of meetings and copies will be sent to the Provost and Chief Academic Officer. Each committee will make an annual report with copies to the Provost and Chief Academic Officer. This report should contain a review of work accomplished, unfinished problems, and recommendations by the committee.

All committee structures must be clearly delineated in terms of its authority, purpose, limitations, membership [terms of membership, number of members, method of selection of members], to whom it reports and it is accountable. Normally, the method of selection of members to committees or planning groups is by election from the constituents.

For University and College Committees, ex-officio faculty are not eligible to hold nor vote for faculty positions elected from and by the faculty [unless otherwise specified in the *Handbook*].

1.6.1.2 Terms of Service

Faculty, Administration, and Support Staff: Appointment or election to a committee will normally be for a two-year term except where otherwise stipulated. Terms begin and end on November 1. When a term is cut short by a resignation, the replacement will serve for the remainder of the term.

Students: Appointments or elections are for one-year terms, beginning and ending with the Fall opening of school. Replacements, if any, will serve the remainder of the term.

Resignation: When a committee member permanently leaves the University, the resignation is effective on the last day of employment or enrollment at the University. Otherwise, a committee member wishing to resign will notify the

appropriate vice president and the chairperson in writing. If the resigning member was appointed, the appropriate vice president will appoint a replacement. If the resigning member was an elected faculty member, the Faculty Welfare Committee will conduct the election for a replacement.

1.6.1.3 The Committee Chairperson

Chairpersons are elected annually by the members of the respective committee, except where otherwise specified. Their duties will vary somewhat as required by the nature and responsibilities of each committee. Except for such differences, their responsibilities are as follows:

- a. To develop goals and a plan for the year's work of the committee.
- b. To develop and circulate in advance an agenda for each meeting.
- c. To arrange a time and place for each meeting and to give the members adequate advance notice of this.
- d. To preside at meetings, guiding discussion and moving it forward, bringing issues to a vote as necessary or requested. A formal vote is recommended on issues of unusual importance or controversy. The chairperson will remind the minority of their right to submit a minority report.
- e. To ensure the timely distribution of minutes to all appropriate parties.
- f. To implement all actions of the committee by referring them to appropriate offices and to ensure responses within a reasonable time. At each meeting the chairperson will report on the progress of actions previously decided.
- g. To submit the annual report of the committee to the appropriate administrator.
- h. To communicate regularly with the faculty and solicit their input on matters the committee has under consideration.

1.6.1.4 Procedure

All committee meetings are ruled by Standard Code of Parliamentary Procedure.

1.6.1.5 Application of Common Committee Procedures

These procedures will apply to all committees within the Academic Affairs unit, some of which are described in section 1.5.2.

1.6.2 COMMITTEES

1.6.2.1 Academic Appeals Board

Purpose:

The Academic Appeals Board will consider and make decisions on appeals from students who received sanctions resulting from a violation of the Academic Honesty Policy.

Duties:

Will consider appeals from students who received sanctions resulting from a violation of the Academic Honesty Policy and decide on whether to support the sanction, strengthen the sanction, or reduce the sanction imposed. The Board will consider appeals only after the appeal has been considered by the instructor and the department chair [or program director].

Members:

Seven faculty members shall be elected from and by the regular faculty. Six students appointed by the Provost and Chief Academic Officer, in consultation with the Associate Vice President for Student Affairs. One faculty member will be elected from and by the regular faculty affiliated with the graduate programs. One faculty member will be elected from the regular faculty affiliated with the adult program and elected by the regular faculty. One faculty member will be elected from the Professional Faculty (Teaching).

Reports to: Provost and Chief Academic Officer

1.6.2.2 Academic Honesty Oversight Committee

Purpose: To encourage academic honesty at Benedictine University.

Duties:

- a. Monitor implementation of the Academic Honesty Policy and recommend changes to the faculty as needed.
- b. Oversee introduction of the honesty policy to all new students and faculty.
- c. Inform the Benedictine University community about the Academic Honesty Policy.
- d. Encourage classroom management practices that reduce the opportunity for cheating.
- e. Encourage the use of anti-plagiarism software.
- f. Consider and encourage implementation of practices that would foster honest academic behavior.
- g. Report to the Faculty Assembly as needed.
- h. Meet regularly throughout the academic year and submit an annual report of its activities to the Provost and Chief Academic Officer.

Members:

One regular or full-time associate faculty member elected from and by the regular and full-time associate faculty of each College (faculty members shall serve staggered two-year terms); one representative from the student success center; one student representing the Student Government Association; and one graduate or non-traditional student. Both students will be appointed by the Provost and Chief Academic Officer in consultation with the Vice President for Student Life and will serve one-year terms.

Reports to: Provost and Chief Academic Officer

1.6.2.3 Academic Standing Committee

Purpose: To review and make decisions on appeals by graduate and undergraduate students who have been dropped for poor scholarship for readmission on continuing probation.

Members: Associate Provost for Academic Affairs, chairperson ex officio, the Academic Deans, the Vice President for Student Life, the Director of the Advising Center and one Learning Specialist from the Academic and Career Enrichment Center. The Academic Deans are the voting members of this committee.

Reports to: Provost and Chief Academic Officer

1.6.2.4 Faculty Athletic Representative**1.6.2.4.1 Faculty Athletic Representative, Lisle**

Purpose: "...To represent the institution and its faculty in the institution's relationships with the NCAA and its conference(s), if any." (1990-1991 NCAA Manual, p. 17.)

Members: One member elected from and by the regular [excluding ex officio] faculty for a three-year term and shall not hold an administrative or coaching position in the athletic department. The National Collegiate Athletic Association (NCAA) mandates that each member institution have a Faculty Athletics Representative (FAR). Primary among a FAR's concerns are student/athlete welfare and the academic and athletic integrity of its intercollegiate athletics programs. The FAR should promote a balance between academics, athletics, and the social lives of student/athletes, which affords them opportunities to enjoy the full range of collegiate experiences available to students generally. Also, the FAR plays a central role in developing a dialogue among the faculty, the administration, and the Department of Athletics.

Duties and Responsibilities: Represent BU athletic programs to the NCAA and to the athletic conference to which BU belongs, as appropriate; Sign-off on student-athlete eligibility after it has been approved by the registrar, and assist with resolutions of problems related to eligibility; Know the NCAA rules, especially those contained in NCAA Bylaws 14, 13, and 15 in that priority; Administer surveys as directed by the NCAA and perform other duties assigned by the NCAA; Meet regularly with the Athletic Director and other appropriate administrators to discuss issues related to the academic integrity and the personal well-being of student/athletes; Serve as an advisor to the President, Provost, and the Athletic Director with regard to any and all matters related to intercollegiate athletics; Attend initial in-season team meetings to meet student athletes and answer any questions they may have with regards to academic concerns; Support the Student-Athlete Advisory Council (SAAC) and Letterman's Club activities. This may include attending some of their meetings and/or events; Serve on the Athletic Department appeals committees according to the student-athlete handbook; Serve on Search Committees for head coaches and senior athletic administrators, or be represented by another regular faculty

member who does not hold a coaching position in the athletics department; Attend Athletic Department meetings; Regularly attend athletic competitions in a variety of sports; Attend Faculty Athletics Representative Association (FARA) meeting or the NCAA annual convention, at least once every four years; Regularly attend the Northern Athletic Conference (NAC) FAR meeting; Report annually to the Faculty Assembly.

1.6.2.4.2 Faculty Athletic Representative, Mesa

Members: The Mesa campus will have its own Faculty Athletic Representative (FAR), appointed by the chief executive officer of the institution, as stated in the NAIA manual. The FAR must be a regular faculty member and not serve as a coach.

Duties and Responsibilities:

- Assist students with tutoring, academic counseling and other academic resources.
- Oversee student-athlete grade check completion by faculty and submission to coaches/athletic department staff.
- Develop and maintain a “watch list” of at-risk students for each team/head coach.
- Monitor class attendance and class room related behavioral issues.
- Receive, review, and process Early Warning Notices than provide to head coach/athletic department staff.
- Oversee student-athlete active travel rosters: coordinate with coaches and post weekly to the University’s learning management system.
- Retain eligibility documentation for a minimum of five academic years. Best practice is to retain for seven academic years.

1.6.2.5 Faculty Development Committee

Purpose: To support a professional development program for regular, professional, term and adjunct faculty.

Members: One faculty member elected from the regular [excluding ex-officio] faculty of each College and by the regular, professional, term, and full-time associate faculty of each College. One non-tenured faculty regular faculty member elected at-large from and by the non-tenured regular faculty. Members will serve staggered two-year terms.

Duties:

- a. To develop guidelines for the utilization of faculty development funds.
- b. To develop and disseminate criteria for sabbatical leaves and other faculty development opportunities.
- c. To review applications for sabbatical leaves, faculty development funds, and other opportunities and to make recommendations to the Provost and Chief Academic Officer.

Reports to: Provost and Chief Academic Officer.

1.6.2.6 General Education Curriculum Committee

Purpose: The committee will oversee the general education curriculum required of all degree-seeking undergraduate students, including any and all co-curricular requirements, to ensure that they remain compatible with the mission of the University and the intellectual tradition in which it participates.

Duties:

- a. It shall set forth and disseminate to all stakeholders a philosophy of liberal arts education that will provide the rationale for the general education curriculum and its various components and requirements.
- b. It shall review and approve, in consultation with the appropriate academic departments and programs, all courses and co-curricular components that are part of the general education curriculum.
- c. It shall oversee the regular assessment of the general education curriculum, including co-curricular components, and in the process collect the data necessary to inform the ongoing revision and development of courses, co-curricular experiences, and programs that constitute the general requirements for degree-seeking undergraduates.

- d. It shall assess, evaluate, and implement the general education curriculum in relation to other undergraduate programs of study offered within the University, and shall make recommendations regarding the relationship and balance between general requirements and those pertaining to specific programs of study.
- e. It shall communicate regularly with the faculty concerning the role of general education curricula in undergraduates' programs of study; shall regularly report the results of its assessments of general requirements; and shall seek faculty support and participation in the development and improvement of the general education curriculum.
- f. Where it deems appropriate and beneficial, it shall communicate with non-faculty members of the University community and shall seek their support and participation in developing and improving elements of the general education curriculum.
- g. It shall oversee and facilitate transitions between versions of the University's undergraduate general education curriculum, at the behest of the Provost and with the approval of the faculty.
- h. It shall meet regularly throughout the academic year.

Members:

The Director of the general education curriculum shall serve ex officio as the Committee Chair (non-voting). Voting members will include:

Two members from the College of Education and Health Services; three members from the College of Liberal Arts; three members from the College of Science; two members from the College of Business; one member from Professional Faculty (Teaching).

Members from the Lisle campus will be elected from and by the regular full-time and associate faculty of their respective Colleges. Members from the Mesa will be an elected representative. All members will serve three-year terms.

In addition, three non-voting ex-officio members will advise the Committee as needed: a representative from the School of Graduate, Adult and Professional Education; the Director of the Academic and Career Enrichment Center; and the Director of Student Engagement and Leadership Development.

Reports to: Provost and Chief Academic Officer .

1.6.2.7 Honors Committee

Purpose: Selects candidates for the annual honors awards and from time to time studies the policies and method of selection of students for such honors, making needed recommendations.

Members: One regular or full-time associate faculty member elected from and by the regular and full-time associate faculty of each College; the Vice President for Student Life; and additional member from the area of Student Life nominated by the Vice President for Student Life and approved by the Provost and Chief Academic Officer. The faculty will serve staggered two-year terms.

Reports to: Provost and Chief Academic Officer.

1.6.2.8 Information Technology Advisory Committee

Purpose: A university-wide information technology governance body that meets monthly to:

- develop strategic initiatives in information technology
- approve policy recommendations of subcommittees
- oversee information technology including but not limited to administrative systems, personal computing, telecommunications, audio/video, and distance learning
- communicate to the university via email and other relevant venues
- plan and prepare the annual budget request
- develop the annual work plan

Members: Representatives appointed from key academic and administrative units.

Reports to: Vice President for Administration and Finance

1.6.2.9 Institutional Review Board, Human Subjects Committee

Purpose: To review and approve of all research involving human subjects, to review at least annually all research in progress on human subjects, to file an assurance with National Institutes of Health (NIH), Office for Protection from Research Risks (OPRR) that the Institutional Review Board will have established procedures and policies which follow the regulations set forth by NIH.

The Institutional Review Board (IRB) is an administrative body established to protect the rights and welfare of human research subjects recruited to participate in research activities conducted under the auspices of Benedictine University. The IRB has the authority to approve, require modification in, or disapprove all research activities that fall within its jurisdiction as specified by both the federal regulations and local institutional policy. Research that has been reviewed and approved by the IRB may be subject to review and disapproval by officials of the institution. However, those officials may not approve research if it has been disapproved by the IRB. The IRB will follow established policies and procedures set forth by the National Institute of Health.

Members: Provost and Chief Academic Officer, chairperson ex officio, who appoints the other members from the faculty, administration and community as appropriate.

Reports to: Provost and Chief Academic Officer

1.6.2.10 Institutional Review Board, Animal Care and Research Committee

Purpose: To review and approve of all research involving laboratory animals whether or not external funding is involved, to review at least annually all research in progress utilizing laboratory animals, and to review and approve the care and maintenance of animals kept on campus for research.

Members: Same as Institutional Review Board, and if possible should include a veterinarian.

Reports to: Provost and Chief Academic Officer

1.6.2.11 Institutional Review Board, Biohazards and Environmental Safety Committee

Purpose: To review and approve where appropriate all research where special safety precautions are required, especially those using recombinant DNA.

Members: Same as Institutional Review Board with additional members appointed because of their expertise. To be appointed as required.

Reports to: Provost and Chief Academic Officer

1.6.2.12 Interfaith Cooperation Committee

Purpose: The mission of the ICC is to deepen relationships, understanding, and respect among people of different religions and worldviews on campus, to unite the Benedictine community, and to promote interfaith hospitality and inclusion. ICC membership will be appointed, due to the unique expertise, identity, and commitment to dialogue which is needed by each individual committee member. In addition, the makeup of the committee as a whole must represent the diversity of faith identities present on our campus.

Members: Appointed by Chief Mission Officer, in collaboration with current members of the Interfaith Cooperation

Committee.

Reports to: Chief Mission Officer.

1.6.2.13 Library Committee

Purpose: To advise the University Librarian on the provision of services and acquisition of materials to meet the needs of the faculty and students.

Members: The University Librarian, chairperson ex officio; and one member elected from and by the regular faculty of each College. All elected members will serve staggered two-year terms. In addition, there will be three student representatives selected by the Student Government Association for one-year renewable terms.

Reports to: University Librarian.

1.6.2.14 Radiation Safety Committee

Purpose: Permits to use radioactive material are obtained through review by the Radiation Safety Committee of the investigator's credentials and intended use. Any submission must be provided to the University's Radiation Safety Officer.

Members: Faculty members are appointed by the Provost and Chief Academic Officer as appropriate.

Reports to: Provost and Chief Academic Officer

1.6.2.15 Scholars Program Council

Purpose: Advise the Scholars Program Director on all matters relating to the Scholars Program, in particular on curriculum, standards, recruiting, and portfolio review.

Members: The Director of the Scholars Program, chairperson ex officio; one faculty member elected from and by regular faculty of each College; one student member selected from each of the four classes of Scholars.

Reports to: Dean of the College of Liberal Arts

1.6.2.16 Student Publications Board

Purpose: The Publications Board exists mainly for the purpose of selecting the *Candor* Editor-in-Chief. The Board may be convened by the chair when a substantive issue regarding a campus media publication has been raised, such as conflicts between the faculty advisor and the Editor-in-Chief, cases of possible defamation, violations of advertising policies, or issues related to privacy, obscenity or copyright.

Members: Four faculty members, one of whom shall be elected chairperson, and four student members, appointed by the Provost and Chief Academic Officer and Vice President for Student Life.

Reports to: Provost and Chief Academic Officer and Vice President for Student Life

1.6.2.17 Teacher Education Committee

Purpose: Reviews and recommends applicants for student teaching to the Department of Education, and serves in an advisory capacity for the Department of Education.

Members: Faculty representatives, appointed by the Dean of the College of Education and Health Services from all programs that prepare students to teach, as well as the Chair of the Department of Education. The representatives of

various academic disciplines act as advisors for their students in the teacher education program.

Reports to: Chair of the Department of Education

1.6.3 SEARCH COMMITTEES

Search committees for Provost and Chief Academic Officer shall be composed of at least two-thirds regular [excluding ex-officio] and full-time associate faculty members, including one elected faculty member from each College. The search committee shall make its recommendation to the President.

Search Committees for the University Librarian and the Registrar shall be composed of at least two-thirds regular [excluding ex-officio] and full-time associate faculty members, including one elected faculty member from each College. The search committee shall make its recommendation to the Provost and Chief Academic Officer.

Search Committees for Deans shall be composed of at least three-quarters regular [excluding ex-officio] and full-time associate faculty from the College. The search committee shall make its recommendation to the Provost and Chief Academic Officer.

PART 2

2.0 TERMS AND CONDITIONS OF FACULTY EMPLOYMENT

This *Faculty Handbook* contains the approved policies and procedures concerning the terms and conditions of faculty employment. It is incorporated into the individual letter of appointment of each faculty member. Where the terms of the individual letter of appointment of a faculty member are inconsistent with the general policies contained herein, the provisions of the individual letter will supersede. Otherwise, the provisions of the Handbook are legally binding on all parties for the specific period covered by the letter of appointment and will not be changed during that period (other than in accordance with section 2.28). Should there be any misapplication, misinterpretation, or violation of the specific provisions of this *Handbook*, the faculty member may file an appeal under the Appeal Procedures found in Section 2.27.

Appendices to the *Handbook* are provided for information and may be changed by the University administration in accordance with section 2.28 of the *Handbook*, as applicable. They are not part of the contractual agreement unless stated in the individual letter of appointment of a faculty member.

2.1 FACULTY APPOINTMENT AND RANK

Faculty appointments at Benedictine University are classified as Regular, Professional, Term or Associate Faculty.

The ranks to which regular, professional, and term faculty are classified are: Instructor, Assistant Professor, Associate Professor, and Professor. The ranks to which adjunct faculty, who are associate faculty, are classified are: Lecturer, Senior Lecturer.

2.1.1 REGULAR FACULTY

A regular faculty member is a full-time or pro-rata tenured [continuous appointment] or tenure-track [probationary appointment] employee of the University who has been appointed to one of the four regular academic ranks: Instructor, Assistant Professor, Associate Professor, or Professor; or is ex officio. Each regular faculty member is assigned to one and only one classification (full-time, pro-rata, or ex officio).

2.1.1.1 Full-Time Faculty Tenured or Tenure-Track

A full-time tenured or tenure track faculty member is one who has the following characteristics:

- ordinarily has full-time teaching duties or has teaching and other duties (e.g., research, academic administration, counseling) equivalent to a full-time teaching load (see Section 2.20); and holds a tenure [continuous] or a tenure-track [probationary] appointment.
- fulfills the duties and responsibilities of a faculty member;
- holds academic rank as described in Section 2.1.4.

2.1.1.2 Pro-Rata Faculty Tenured or Tenure-Track

Pro-rata faculty are faculty members who are ranked as defined in Section 2.1.4 and who are given an appointment equivalent to half-time or more, but less than that of a full-time faculty member. These faculty may be employed on probationary or continuous appointments. Such pro-rata faculty have rights to promotion, tenure, sabbatical leave, and fringe benefits as described herein on a pro-rata basis. A pro-rata faculty member must have a three-quarters time or more appointment to be benefits eligible. They are full voting members of the faculty and have, on a pro-rata basis, responsibilities for advising, service on committees, and all other responsibilities of full-time faculty members as detailed herein.

Throughout this *Handbook*, reference to "years of service" will refer to service equivalent years of full-time service (two semesters or three quarters, not including summer). Any pro-rating will be done accordingly. For example, whereas a promotion from Assistant to Associate Professor requires six years of full-time teaching at the Assistant Professor level, a pro-rata faculty member with a half-time appointment would need twelve years of half-time teaching before becoming eligible for promotion.

2.1.1.3 Ex-Officio

An ex-officio faculty member is an administrator whose contract designates the person as regular faculty. Currently these are the President, the Provost and Chief Academic Officer, the Academic Deans, the Associate Provost, the University Librarian, and the Registrar.

2.1.2 PROFESSIONAL FACULTY

Professional Faculty are faculty members engaged in supporting instruction, curriculum, and evaluation of academic programs in which there is applied professional practice to enhance the quality of teaching and learning. Professional Faculty are classified into one of three categories: Clinical, Administrative, and Teaching. They are appointed to one of the following ranks: Instructor, Professional Faculty; Assistant Professor, Professional Faculty; Associate Professor, Professional Faculty; or Professor, Professional Faculty. Professional faculty are not eligible for consideration for tenure. Professional Faculty (Clinical) provide clinical and practical instruction, application of knowledge, supervision, and/or direction in the training of students for professional practice. Professional faculty (Administrative) perform administrative functions directly related to the management of activities which support the teaching and service missions of the institution, college, or department. Teaching may be included within the duties of Professional Faculty [Administrative]. Professional Faculty (Teaching) primarily have teaching duties while also having service duties that serve to support the institution. Professional Faculty (Teaching) are limited to faculty serving the Benedictine University campus at Mesa.

2.1.2.1 Full-Time Faculty Professional

A full-time Professional Faculty member is one who has the following characteristics:

- a. ordinarily has full-time teaching duties or has teaching and other duties (e.g., research, academic administration, counseling) equivalent to a full-time teaching load (see Section 2.20); and holds a renewable or probationary appointment.
- b. fulfills the duties and responsibilities of a faculty member;
- c. holds academic rank as described in Section 2.1.4.

2.1.2.2 Pro-Rata Faculty Professional

Pro-rata faculty are faculty members who are ranked as defined in Section 2.1.4 and who are given an appointment equivalent to half-time or more, but less than that of a full-time faculty member. These faculty may be employed on probationary or renewable appointments. A pro-rata faculty member must have a three-quarters time or more appointment to be benefits eligible. Such pro-rata faculty have rights to promotion, sabbatical leave, and fringe benefits as described herein on a pro-rata basis. They are full voting members of the faculty and have, on a pro-rata basis, responsibilities for advising, service on committees, and all other responsibilities of full-time faculty members as detailed herein.

Throughout this *Handbook*, reference to "years of service" will refer to service equivalent years of full-time service (two semesters or three quarters, not including summer). Any pro-rating will be done accordingly. For example, whereas a promotion from assistant to associate professor requires six years of full-time teaching at the Assistant Professor level, a pro-rata faculty member with a three quarters time appointment would need nine years of half-time teaching before becoming eligible for promotion.

A professional faculty member is one who performs the duties and responsibilities as specified in their letter of appointment. The first appointment is for one year. Contingent upon favorable evaluations by the department chair and the Dean and a Third-Year Review, the appointment may be renewed for up to five additional one-year appointments. Contingent upon a successful sixth-year review, a professional faculty member may be offered a five-year renewable appointment.

2.1.3 TERM FACULTY

A Term Faculty member is a full-time or part-time employee who is employed normally on an annual, temporary faculty appointment. They are appointed to one of the following ranks: Instructor, Assistant Professor, Associate Professor, or Professor. Term Faculty are not eligible for consideration for tenure. A Term Faculty member is one who has the following characteristics:

- a. ordinarily has full-time teaching duties or has teaching and other duties (e.g., research, academic administration, counseling) equivalent to a full-time teaching load (see Section 2.20).
- b. fulfills the duties and responsibilities of a faculty member;
- c. holds academic rank as described in Section 2.1.4.

The first appointment is for one year. Contingent upon a favorable evaluation by the department chair and the Dean, the appointment may be renewed for up to four additional one-year appointments.

2.1.4 CRITERIA FOR RANK CLASSIFICATION OF REGULAR, PROFESSIONAL, AND TERM FACULTY, FOR AWARDING TENURE, AND FOR ADVANCEMENT WITHIN RANK

Final determination of the rank received on first appointment to the regular, professional, or term faculty will be made by the Provost and Chief Academic Officer. Thereafter, rank changes are subject to the policies and procedures outlined in Section 2.12.

Throughout these sections on specific ranks, a college/university of "recognized standing" shall mean a college/university accredited by one of the six regional accrediting associations, e.g., The Higher Learning Commission or one that is a college/university of international standing.

The criteria for the four ranks, tenure, and advancement within rank at Benedictine University are described below.

2.1.4.1 Instructor

Appointment to the rank of Instructor ordinarily requires the following qualifications:

- a. possession of adequate training and preparation as evidenced by a relevant earned masters degree and by educational and/or professional experience;
- b. presumed teaching ability;
- c. possession of qualities of character and personality expected in a teacher and mentor of students

Appointment to the rank of Instructor, Professional Faculty, ordinarily requires the following qualifications:

- a. possession of adequate training and preparation as evidenced by a relevant earned masters or terminal degree and by educational and/or professional experience;
- b. presumed teaching ability for a professional faculty member whose letter of appointment includes teaching;
- c. possession of qualities of character and personality expected in a teacher and mentor of students.

An Instructor, Professional Faculty, is eligible for a five-year renewable appointment at the end of the sixth year. An Instructor, Professional Faculty, is eligible for promotion to the rank of Assistant Professor in the sixth year. A professional faculty member may remain at the Instructor rank indefinitely.

2.1.4.2 Assistant Professor

Appointment to the rank of Assistant Professor ordinarily requires the following qualifications:

- a. possession of adequate training and preparation as evidenced by a relevant earned terminal degree and by educational and/or professional experience;
- b. presumed teaching ability;
- c. possession of qualities of character and personality expected in a teacher and mentor of students; and
- d. potential of progress toward Associate Professorship according to the qualifications as outlined in Section 2.1.4.3

The first appointment is for one year. Contingent upon a favorable evaluation by the department chair and the Dean, the appointment may be renewed two more times. Contingent upon a favorable third-year review, three additional one-year contracts may be offered. An Assistant Professor, Regular Faculty, is eligible to apply for tenure and promotion to the rank of Associate Professor in the sixth year. Failure of Regular Faculty to be tenured in the sixth year of service as an Assistant Professor constitutes notice of non-reappointment following the seventh year of service. An Assistant Professor, Professional Faculty, is eligible for a five-year renewable appointment at the end of the sixth year.

Appointment to the rank of Assistant Professor, Professional Faculty, ordinarily requires the following qualifications:

- a. possession of adequate training and preparation as evidenced by a relevant earned masters or terminal degree and by educational and/or professional experience;
- b. presumed teaching ability for a professional faculty member whose letter of appointment includes teaching;
- c. possession of qualities of character and personality expected in a teacher and mentor of students; and
- d. potential of progress toward Associate Professorship according to the qualifications as outlined in Section 2.1.4.3.

The first appointment is for one year. Contingent upon a favorable evaluation by the department chair and the Dean, the appointment may be renewed two more times. Contingent upon a favorable third-year review, three additional one-year

contracts may be offered. An Assistant Professor, Professional Faculty, is eligible for a five-year renewable appointment at the end of the sixth year. An Assistant Professor, Professional Faculty, is eligible for promotion to the rank of Associate Professor, Professional Faculty, in the sixth year. A professional faculty member may remain at the Assistant Professor rank indefinitely.

2.1.4.3 Associate Professor

Appointment to the rank of Associate Professor ordinarily requires the following qualifications:

- a. possession of adequate training and preparation as evidenced by a relevant earned terminal degree and by educational and/or professional experience;
- b. clear evidence of teaching excellence; (Section 2.6.1.1)
- c. clear evidence of appropriate scholarly and professional involvement and achievement; (Section 2.6.1.2)
- d. clear evidence of appropriate service to the university, student body, and wider community; (Section 2.6.1.3)
- e. those qualities of character and personality expected in a teacher and mentor of students.

There may be circumstances that allow for this rank to be awarded upon appointment for exceptional scholarly or professional achievements, even in the absence of a terminal degree.

After five years of full-time teaching as Associate Professor, at Benedictine University or other colleges/universities of recognized standing, an Associate Professor, Regular Faculty, is eligible to apply for promotion to the rank of Professor. The Regular Faculty member may remain at the Associate Professor rank indefinitely provided that tenure has been granted (see Section 2.11).

Appointment to the rank of Associate Professor, Professional Faculty, ordinarily requires the following qualifications:

- a. possession of adequate training and preparation as evidenced by a relevant earned masters or terminal degree and by educational and/or professional experience;
- b. clear evidence of excellence in the performance of the duties specified in letter of appointment;
- c. clear evidence of teaching excellence for a faculty member whose letter of appointment includes teaching (Section 2.6.1.1);
- d. those qualities of character and personality expected in a teacher and mentor of students.

An Associate Professor, Professional Faculty, is eligible for a five-year renewable appointment at the end of the sixth year. After five years, an Associate Professor, Professional Faculty, is eligible to apply for promotion to the rank of Professor. A professional faculty member may remain at the Associate Professor rank indefinitely.

2.1.4.4 Professor

Appointment to the rank of Professor ordinarily requires the following qualifications:

- a. possession of adequate training and preparation as evidenced by a relevant earned terminal degree and by educational and/or professional experience;
- b. clear evidence of continuing excellence in teaching; (Section 2.6.1.1)
- c. clear evidence of consistent and appropriate scholarly and professional involvement and achievement; (Section 2.6.1.2)
- d. clear evidence of consistent and appropriate service to university, the student body, and the wider community; (Section 2.6.1.3)
- e. those qualities of character, and personality expected in a teacher and mentor of students.

Promotion to this rank is not based on seniority, but rather on distinctive and outstanding teaching, scholarship and professional involvement and achievement and university service in his or her academic area and to the university.

Appointment to the rank of Professor, Professional Faculty, ordinarily requires the following qualifications:

- a. possession of adequate training and preparation as evidenced by a relevant earned terminal degree and by educational and/or professional experience;
- b. clear evidence of continuing excellence in teaching for a faculty member whose letter of appointment includes teaching (Section 2.6.1.1);
- c. clear evidence of consistent excellence in the performance of the duties specified in letter of appointment;
- d. those qualities of character, and personality expected in a teacher and mentor of students.

2.1.4.5 Tenure

Policies and procedures regarding tenure may be found in Section 2.11. Only Regular Faculty members are eligible for tenure.

Awarding of tenure ordinarily requires the following qualifications:

- a. appointment to the rank of Associate Professor or Professor (typically, promotion to the rank of Associate Professor is awarded at the same time as tenure).
- b. possession of adequate training and preparation as evidenced by a relevant earned terminal degree and by educational and/or professional experience;
- c. clear evidence of excellence in teaching; (Section 2.6.1.1)
- d. clear evidence of appropriate scholarly and professional involvement and achievement; (Section 2.6.1.2)
- e. clear evidence of appropriate service to university, student body, and wider community; (Section 2.6.1.3)
- f. those qualities of character, and personality expected in a teacher and mentor of students.

There may be circumstances that allow for tenure to be awarded for exceptional scholarly or professional achievements, even in the absence of a terminal degree. Such arrangements must be detailed in the initial letter of appointment as a Regular Faculty member at the University. The final authority for the awarding of tenure rests with the Board of Trustees.

2.1.4.6 Advancement Within Rank

In order to encourage and recognize extraordinary work by Tenured Faculty and Professional Faculty on five-year renewable appointments after reaching the highest rank for which they are eligible based on their earned degrees, faculty at either the Associate Professor or Professor rank may apply for advancement within rank. A faculty member may receive advancement within rank any time after the latter of five years since:

- a. promotion; or
- b. advancement within rank.

2.1.5 ASSOCIATE FACULTY

Associate faculty members at Benedictine University are hired for terms specified in their letter of appointment. Full-time professional librarians, temporary administrators, and associate academic deans are full voting members of the faculty and do not normally have responsibilities for advising or serving on University wide committees.

2.1.5.1 Professional Librarians

Professional Librarians are those persons who hold an advanced degree in the field of Library Science or in a related area, and who hold one of the professional positions in the Library.

2.1.5.2 Temporary Administrators

Temporary Administrators are university administrators who hold regular faculty status at the time of their appointment (except for those administrators that are ex officio). They do not retain tenure unless this is specifically stated in their letters of appointment, nor does the time during which their main duty is not teaching count towards the acquisition of tenure.

2.1.5.3 Special Appointment Faculty

Special Appointment Faculty include: Visiting appointment faculty from other institutions, professors emeriti, persons distinguished in their fields, and persons holding the terminal degree who are hired to serve the University for a specific faculty assignment. Distinguished artists, writers, poets, or scholars have special faculty status of Artist/Writer/Scholar-In-Residence. All special appointments are for a limited period of time with no intent of on-going employment. Such appointments may be full-time or part-time depending on the needs of the University.

2.1.5.4 Associate Academic Deans

Associate Academic Deans are those persons who hold an advanced degree and serve as an associate dean in one of the Colleges. The Associate Dean is directly responsible for managing his/her academic unit, which typically consists of one or more degree programs. The Associate Dean supervises adjunct faculty, assesses student learning, coordinates curricula, oversees academic student services and evaluates staff in his/her area.

2.1.5.5 Distinguished University Fellows

Appointment as a Distinguished University Fellow is made by the President upon the recommendation of the Provost and Chief Academic Officer with the consultation of the faculty. Such appointments may be full-time or part-time.

2.1.5.6 Adjunct Faculty

Adjunct Faculty serve the University “at will.” They are hired to teach a specific course on a contract basis. Selection of adjunct faculty should be consistent with the academic standards of the University and be determined by the Department Chair, Program Director, or Associate Dean in consultation with the Dean. A person serving in this role should meet the requirements set forth for Instructor. In lieu of these requirements, considerable experience in an appropriate technical, artistic, or professional field may be substituted.

There are two ranks for Adjunct Faculty: Lecturer and Senior Lecturer. Promotion of a Lecturer to the rank of Senior Lecturer is not based on seniority, but rather on distinctive and outstanding teaching. The criteria for promotion to the rank of Senior Lecturer are set forth by the regular and term faculty of each College and may be found in Appendix 2.1.5.6.

2.1.5.7 Academic Support Professionals

Academic Support Professionals are those persons who hold an advanced degree in the field of reading, writing, math, science, or related areas, and who hold one of the professional positions in the University.

2.2 PROFESSOR EMERITUS

A Professor Emeritus is so designated and appointed by the Board of Trustees upon the recommendation of the President. A professor emeritus has made distinguished academic contributions to teaching and scholarship at Benedictine University; has been a member of the University community for at least fifteen (15) years and has taught at the University for a total of at least five years; is retiring at the end of the current academic year, has retired, or has died before retirement; and has held a tenured academic appointment at the rank of Associate Professor or Professor. Length of service, loyalty, and administrative contribution can be weighed heavily in assessing the contributions of a faculty person.

Designation as Professor Emeritus is not a recognition of seniority but of distinction in teaching, professional development, and University service.

The recommendation may be initiated by the department to which the faculty member was appointed or by a petition signed by ten (10) or more faculty members of the University. The recommendation should outline the reasons for the recommendation in terms of the above criteria. The recommendation will be considered by a committee, convened by the chairperson of the Faculty Welfare Committee, and composed of the majority of tenured faculty members with twenty (20) or more years of service at the University, with a voting quorum of a majority of the members. They will forward their recommendation to the Provost and Chief Academic Officer, who will seek input from the College Dean[s], comment and then refer the recommendation to the President for Board of Trustee action. The awarding of the designation will take place at the next commencement or other convocation following approval by the Board of Trustees.

A person designated as Professor Emeritus shall receive the following recognition and benefits:

- Listing in the University Catalog as Professor Emeritus,
- Parking permit as issued to faculty,
- ID card allowing use of the University’s athletic facilities and granting library borrowing privileges,
- Use of office space on the campus if available,
- Access to and use of University computing facilities either on campus or by remote connection, including an email account, and
- When hired by the appropriate department for adjunct teaching, may be compensated at a rate up to 150% of the normal adjunct credit hour rate, subject to the budget processes and hiring policies for adjunct faculty.

2.3 TYPES OF FACULTY APPOINTMENTS AND APPOINTMENT DEFINITION POLICIES

There are four types of faculty appointments at Benedictine University: temporary, probationary, renewable, and continuous.

2.3.1 TEMPORARY FACULTY APPOINTMENTS

Temporary faculty appointments are limited to the time period outlined in the letter of appointment. Temporary faculty appointments do not confer upon a faculty member any entitlement to continued employment after the time period specified in the appointment expires. Temporary faculty appointments may be renewed up to a maximum of five years full-time status.

2.3.2 PROBATIONARY FACULTY APPOINTMENTS

Probationary faculty appointments are issued to Regular Faculty members until a continuous appointment is attained, the probationary period expires, or the appointment is not renewed. Probationary faculty appointments will be for one year, subject to renewal. The probationary status gives individuals time to demonstrate their ability and also gives the University time to observe and evaluate them on the basis of their performance as faculty members. During this period, a faculty member has the same academic freedom as a tenured faculty member, and non-reappointment cannot be based on reasons that violate academic freedom. Non-reappointment, termination, dismissal, or suspension of a probationary, regular faculty member can occur only in accordance with the provisions of Section 2.19. Faculty members holding probationary appointments are evaluated for reappointment or non-reappointment on an annual basis by the Provost and Chief Academic Officer upon the recommendation of the Dean in consultation with the Department Chair [or Program Director].

Probationary faculty appointments are issued to Professional Faculty members until a five-year renewable appointment is attained, the probationary period expires, or the appointment is not renewed. Probationary faculty appointments will be for one year, subject to renewal. The probationary status gives individuals time to demonstrate their ability and also gives the University time to observe and evaluate them on the basis of their performance as faculty members. During this period, a faculty member has the same academic freedom as a professional faculty member on a five-year renewable appointment, and non-reappointment cannot be based on reasons that violate academic freedom. Non-reappointment, termination, dismissal, or suspension of a probationary, professional faculty member can occur only in accordance with the provisions of Section 2.19. Faculty members holding probationary appointments are evaluated for reappointment or non-reappointment on an annual basis by the Provost and Chief Academic Officer upon recommendation of the Dean in consultation with the Department Chair [or Program Director].

2.3.3 RENEWABLE FACULTY APPOINTMENTS

Five-year renewable faculty appointments are issued to Professional Faculty members after their sixth year of service to the University. As is the case of all academic appointments, faculty appointed under the renewable appointment system shall have academic freedom.

2.3.4 CONTINUOUS FACULTY APPOINTMENTS

Continuous faculty appointments are issued to Regular Faculty members who have attained tenure status as provided for in Section 2.11. Faculty members employed under continuous appointment are entitled to annual renewal in the form of a letter of appointment and will be subject to the terms and conditions of employment that exist at the time of each annual renewal by Benedictine University unless separated pursuant to the provisions of Section 2.19.

2.3.5 LOCUS OF APPOINTMENTS

The locus of each faculty appointment is the department[s] or program[s] that is[are] stated in the letter of appointment.

2.3.6 ISSUANCE AND RECEIPT OF LETTER OF APPOINTMENT

All Regular Faculty letters of appointment, except for faculty undergoing third-year, tenure, promotion, or advancement within rank review, are ordinarily issued on or before April 15, and are to be signed and returned within thirty (30) business days of receipt. All Professional Faculty letters of appointment are ordinarily issued on or before May 1, and are to be signed and returned within thirty (30) business days of receipt. Letters of appointment for faculty undergoing third-year, tenure, promotion, or advancement within rank review are ordinarily issued on or before May 21, and are to be signed and returned within thirty (30) business days of receipt. If a letter of appointment is not signed and returned within thirty (30) business

days or appealed within ten (10) business days of receipt, the offer will automatically expire except by special arrangement with the Provost and Chief Academic Officer. Failure to return a new annual letter of appointment within thirty (30) business days by faculty under continuous appointment will cause the expiration of the continuous appointment at the end of the current annual appointment. All term letters of appointment are issued on an individual basis as the necessity arises.

Ordinarily, appointment addenda including any salary adjustments for the current academic year's appointment are issued on or before November 1. Faculty members are to sign and return the appointment addendum within thirty (30) business days of receipt. If the appointment addendum is not signed and returned within thirty (30) business days or appealed within ten (10) business days of receipt, the offer will automatically expire except by special arrangement with the Provost and Chief Academic Officer.

2.3.7 APPOINTMENT APPEALS

2.3.7.1 Salary or Specific Responsibilities

A faculty member who considers that an offered appointment is unacceptable because of salary or specific responsibilities must submit a written appeal to the Dean of the faculty member's College within ten (10) business days of receipt of the letter of appointment or appointment addendum. If the issue cannot be resolved by the Dean, the Faculty Appeals Committee will review the appeal and recommend action to the Provost and Chief Academic Officer. The Provost and Chief Academic Officer will make the final decision and inform the faculty member of the decision no later than twenty (20) business days after the receipt of the recommendation from the Faculty Appeals Committee. The faculty member must return the signed letter of appointment or appointment addendum to the Provost and Chief Academic Officer within ten (10) business days after notification of the final decision or the offer will automatically expire.

2.3.7.2 Promotion, Advancement within Rank, and Tenure Provision

A faculty member who considers that an offered appointment is unacceptable because of promotion, advancement within rank, tenure or renewable appointment provisions must submit a written appeal to the Provost and Chief Academic Officer within ten (10) business days of receipt of the letter of appointment. The Faculty Appeals Committee will review the appeal and recommend action to the President. The President will make the final decision and inform the faculty member of the decision within twenty (20) business days after the receipt of the recommendation from the Faculty Appeals Committee. The faculty member must return the signed letter of appointment to the Provost and Chief Academic Officer within ten (10) business days after notification of the final decision or the offer will automatically expire.

2.4 FACULTY PERSONNEL POLICIES, SEARCH, AND APPOINTMENT

The recruitment of the faculty best-suited to support the needs of Benedictine University is a shared responsibility of the Provost and Chief Academic Officer, Deans, Department Chairs, and the Faculty.

The University gives notice of employment opportunities by appropriate publication and follows regular procedures in the evaluation of applicants. Applications from women and members of minority groups are encouraged.

2.4.1 PERSONNEL POLICIES

Refer to Appendix 2.4.1 for Personnel Policies

2.4.2 SEARCH

2.4.2.1 Authority to Hire

Authority to hire faculty is vested in the Provost and Chief Academic Officer. This authority is customarily exercised through the Deans by procedures established to assure adequate consultation with the faculty and full compliance with human rights norms.

2.4.2.2 Recruitment

The Dean will recommend that a new or existing faculty vacancy be filled. After Provost and Chief Academic Officer approval to fill the position, the Department Chair [or Program Director] will conduct a search for suitable candidates in consultation with the Dean. Recommendation of appointment is made by the Dean to the Provost and Chief Academic Officer.

2.4.3 APPOINTMENT

2.4.3.1 Regular, Professional, and Term Faculty

All appointments of Regular, Professional and Term faculty are made by the Provost and Chief Academic Officer upon the recommendation of the Dean. The rank offered new faculty members must be in accord with the requirements of that rank (see Section 2.1.4). For Regular and Professional faculty, initial appointments are probationary (see Section 2.3.2) and are for one year unless explicitly stated to the contrary in the letter of appointment. The Dean will offer an appointment to the candidate that will include the terms and conditions of appointment, including credit for academic service at other institutions. Partial-year appointments do not count toward promotion or tenure unless explicitly stated in the letter of appointment.

2.4.3.2 Adjunct and Special Appointment Faculty

Appointments of Adjunct and Special Appointment faculty are made by the Dean in consultation with the appropriate department chair, program director, and/or associate dean.

2.5 FACULTY CREDENTIAL FILE

It is essential that there be adequate and detailed documentation to support every action involving an individual faculty member. Basic documents retained in the official Faculty Credential Files by the Dean include:

- a. letters of application;
- b. appointment letters, acceptance letters, and appointment addenda;
- c. current official transcripts;
- d. updated resume (every five years);
- e. all faculty review recommendations and evaluations
- f. course evaluation reports
- g. information the faculty member wishes to place in this file on professional background or accomplishments.

Access to the Faculty Credential Files is restricted to the individual faculty member and University officials, as designated by the President and the Provost and Chief Academic Officer, except as follows:

- a. the records are within the scope of a lawful subpoena, warrant, or court order or are required by law to be produced for some other reason;
- b. disclosure of information is necessary to protect the health, safety, or property of any person;
- c. disclosure of information is necessary to protect the University's legal interests when it believes the actions of an employee violate the conditions of employment or threaten injury to the interests of the University;
- d. disclosure of information is required for purposes of institutional or program accreditation reviews.

Records made available under any of these exceptions should not be disclosed to other parties.

2.6 EVALUATION

The evaluation process at Benedictine University is a means by which members of the regular, professional, and term faculty can obtain constructive and balanced information that will enable them to better fulfill their academic responsibilities. All evaluation processes use the evaluative criteria delineated in Section 2.6.1.

An annual evaluation of each Regular Faculty member on probationary contract, each Professional Faculty member not on a five-year renewable appointment, and each Term Faculty member is done by the Department Chair [or Program Director] and the Dean. Results of this evaluation are shared with the faculty member in an annual interview and are used in updating

the Faculty Goals Statement. Section 2.6.2 provides details regarding this Prospectus. Section 2.7 describes the annual review process.

Formal evaluation by the Rank and Tenure Committee is carried out for a third-year review (or full-time equivalent), tenure review, promotion, five-year renewable appointments, and advancement within rank. Sections 2.10, 2.11, 2.12, and 2.13 describe these formal evaluations. The qualifications for faculty rank and tenure are outlined in section 2.1.4.

Tenured faculty members and professional faculty members on five-year renewable appointments are evaluated by their Department Chair [or Program Director] and Dean once every five years. Sections 2.16 and 2.17 describe the processes for this evaluation.

2.6.1 EVALUATIVE CRITERIA

The following criteria are used to evaluate the performance of Regular, Professional and Term faculty members for annual and formal evaluations. A Regular Faculty member should strive for a balance among these criteria, whereas a Term Faculty member should concentrate on teaching excellence. Professional Faculty should concentrate on their duties as specified in their letter of appointment.

2.6.1.1 Teaching Excellence

The paramount responsibility of each faculty member is teaching. Since many characteristics contribute to teaching excellence, documentation should demonstrate, but not necessarily be limited to, the following:

- a. Instructional Design Skills:
 - ability to plan a substantive, well-organized course;
 - choice of effective teaching methods and strategies, incorporating technology when appropriate;
 - implementation of a newly acquired teaching methodology;
 - contribution to curriculum design;
 - use of appropriate methods to evaluate students.
- b. Instructional Delivery Skills:
 - ability to stimulate and broaden student interest in the subject matter;
 - capacity to challenge students -- for example, to motivate independent work;
 - effective communication with students;
 - possession of the attributes of integrity, open-mindedness, and objectivity in teaching;
 - fair evaluation of student performance;
- c. Content Expertise:
 - mastery of one's subject;
 - knowledge of current developments in one's field;
 - knowledge of the relationship of one's field to the overall academic program;
 - ability to relate one's subject to other areas of knowledge.
- d. Course Management Skills:
 - reasonable availability to students;
 - fulfillment of administrative duties associated with instruction (grade books, book orders, class attendance, etc.).
- e. Departmental Advising:
 - effective communication with students;
 - ability to help students select a course of study appropriate to their interests, abilities and career goals;
 - ability to assist students in developing a balanced academic plan;
 - reasonable availability to students.
- f. Program Development
 - participate in development, evaluation, revision of courses and programs;
 - participate in assessment of student outcomes.

Teaching excellence is based on multiple sources of evidence generated by the following procedures or activities:

- a. self-evaluation;

- b. evaluations by Department Chair [or Program Director];
- c. peer evaluations;
- d. student evaluations;
- e. review of course syllabi and materials by peers inside or outside the University; and
- f. observation of classroom teaching by Department Chair [or Program Director] and/or peers, as designated by the department chair [or program director].

2.6.1.2 Scholarly and Professional Involvement and Achievement

Active involvement in intellectual, scholarly, and professional advancement in a field enhance effective teaching and the academic image of the university. Scholarly and professional activities, which may be disciplinary, cross-disciplinary or pedagogical, should be judged for their relevance to the mission of the University, their application to the classroom, and their quality and significance.

The activities for evidencing scholarly and professional involvement and achievement should be interpreted as minimal standards. Individual colleges/departments/programs may opt for additional requirements for promotion, tenure, advancement within rank, and/or successful third-year review based on current practices within their field and can be found in Appendix 2.6.1.2.

Excellence in scholarly and professional involvement and achievement may be assessed by evidence generated by, but not necessarily limited to the following:

- a. self-report of activities with particular attention to relevance of activities to the faculty member's role in the University;
- b. evaluation by Department Chair [or Program Director];
- c. evaluation or statements of professional peers, inside or outside Benedictine University;
- d. citations of research in other works.

Definition:

- a. Plenary Speaker: Plenary speaker is defined as an invited speaker at a conference for which dedicated time is scheduled and all members of the conference are invited. This speaker may also be called a keynote or opening general session speaker. Some larger conferences may have more than one plenary speaker. Concurrent session speaking opportunities are not considered plenary.

2.6.1.2.1. Third-Year Review of Regular Faculty

Clear evidence of appropriate scholarly and professional involvement and achievement for a successful Third-year Review includes:

- a. progress towards scholarly productivity demonstrated by presentations, research program development, grant applications, etc. resulting from the faculty member's creative endeavors,
and other activities that may include, but are not necessarily limited to the following:
- b. participation in and/or leadership of professional organizations;
- c. sharing of expertise with the University community;
- d. relevant consulting work in one's professional area;
- e. mentoring of student extracurricular work (research, presentations, exhibitions, performances).

2.6.1.2.2 Tenure and Associate Professor

Evidence used in the application for the awarding of tenure [Regular Faculty] and/or promotion to Associate Professor should be generated from activities performed during the time on a probationary appointment at Benedictine University. Clear evidence of appropriate scholarly and professional involvement and achievement for the awarding of tenure and/or for promotion to Associate Professor includes:

- a. scholarly productivity demonstrated by at least one juried/peer-reviewed/plenary scholarly work (publications, presentations, exhibitions, performances, externally funded grants), recognized in relevant fields; particular attention will be given to work that enhances teaching;
and other activities, which may include, but are not necessarily limited to the following:
- b. presentations at professional meetings;

- c. participation in and/or leadership of professional organizations;
- d. appointment or election to a state or national post related to one's field;
- e. sharing of expertise with the University community;
- f. relevant consulting work in one's professional area;
- g. development and implementation of innovative technology for pedagogical use;
- h. involvement in grants or other special projects;
- i. receipt of grants, prizes, or commendations;
- j. mentoring of student extracurricular work (research, presentations, exhibitions, performances).

Individual colleges/departments/programs may opt to specify the criteria by which an externally funded grant or publication will be considered peer-reviewed. These criteria can be found in Appendix 2.6.1.2.

2.6.1.2.3 Professor

Evidence used in the application for promotion to Professor should be generated from activities performed during the time since the appointment to Associate Professor at Benedictine University. Clear evidence of consistent and appropriate scholarly and professional involvement and achievement for promotion to Professor includes:

- a. scholarly productivity demonstrated by at least two additional scholarly works (publication, presentation, exhibition, performance, externally funded grants), one of which must be a juried/peer-reviewed (or a plenary in the case of a presentation), which are recognized in relevant fields; particular attention will be given to work that enhances teaching;

and other activities may include, but are not necessarily limited to the following:

- b. presentations at professional meetings;
- c. participation in and/or leadership of professional organizations;
- d. appointment or election to a state or national post related to one's field;
- e. sharing of expertise with the University community;
- f. relevant consulting work in one's professional area;
- g. development and implementation of innovative technology for pedagogical use;
- h. involvement in grants or other special projects;
- i. receipt of grants, prizes, or commendations;
- j. reviewing or judging of materials to be published, displayed, or performed;
- k. mentoring of student extracurricular work (research, presentations, exhibitions, performances).

Individual colleges/departments/programs may opt to specify the criteria by which an externally funded grant or publication will be considered peer-reviewed. These criteria can be found in Appendix 2.6.1.2.

2.6.1.3 University Service

Participation in the activities of the university, the student body, and the wider community is a significant benefit to the university and has an impact on the quality of the university. A faculty member is expected to contribute effective service at some level within the academic community commensurate with his/her academic stage at the university. As a faculty member advances through the ranks, the expectations of their commitment to service increases and their protracted, extensive service should form the basis of reward when documented.

Clear evidence of expected service includes:

- a. service within the department, attendance at department meetings, participation in decision-making, and participation in curriculum development;
- b. effective participation on University committees as listed in Sections 1.5 and 1.6
- c. assistance with university-sponsored student recruitment activities;

Evidence of other appropriate service may include, but are not necessarily limited to the following:

- d. participation on ad hoc committees;
- e. planning and/or participation in extra-curricular university activities;
- f. planning and/or participation in curriculum-related enrichment activities outside normal course offerings;
- g. acting as representative of the University to the local, regional, national, or international community;
- h. service in the community;
- i. service as advisor to a student organization;

- j. development and maintenance of cooperative relationships with corporations and agencies important to the University, department or program;

Evidence of exemplary, consistent and sustained service includes:

- k. effective leadership as department chairperson;
- l. effective leadership within a committee structure (committee, council, taskforce, etc.)
- m. effective leadership in some area of University life such as core curriculum, scholars, advising, etc.

University service may be assessed by evidence generated by the following procedures or activities:

- a. self-evaluation with particular attention to relevance to the faculty member's role in the University;
- b. evaluations by Department Chair [or Program Director];
- c. evaluation by committee chair or appropriate activity director;
- d. peer evaluations; and
- e. student evaluations.

2.6.1.4 Third-Year Review of Professional Faculty

Clear evidence of the performance of the duties as specified in the letter of appointment.

2.6.1.5 Initial Five-Year Renewable Appointment and Five-Year Appointment Renewal for Professional Faculty

Evidence used in the application for the awarding of a five-year renewable appointment and for five-year appointment renewal should be generated from activities performed during the time of the probationary appointment at Benedictine University. In particular, the application must cite clear evidence of performance of the duties as specified in the letter of appointment. A successful application would demonstrate that the faculty member meets the expectations of the major duties described in the letter of appointment.

2.6.1.6 Promotion to Associate Professor, Professional Faculty, or Professor, Professional Faculty

Evidence used in the application for the awarding of a promotion should be generated from activities performed during the time of the probationary appointment at Benedictine University. In particular, the application must cite clear evidence of the consistent performance of the duties as specified in the letter of appointment. A successful application would demonstrate that the faculty member exceeds expectations in a preponderance of the major duties described in the letter of appointment or in teaching excellence if the faculty member has a teaching assignment of 6 or more hours.

2.6.2 FACULTY GOALS STATEMENT

The Faculty Goals Statement (FGS) will be filed each year by every regular, professional, and term faculty member.

The Faculty Goals Statement (see Appendix 2.6.2) provides the faculty member an opportunity to briefly outline goals for the upcoming year and reflect upon accomplishments from the previous academic year, in consultation with their department chair [or program director], based upon the faculty member's professional goals and their departmental and university strategic plans. The department chair will create their own FGS in consultation with their Dean. All faculty members will present brief (1-2 sentences) descriptions of their goals in each of the three evaluative areas for the upcoming academic year. Faculty members who are not undergoing an evaluation during that academic year will submit a brief assessment of their activities (1-2 sentences) during the previous academic year.

Faculty members will submit their FGS to their department chair [or program director] by September 30.

2.7 ANNUAL REVIEW OF FIRST, SECOND, FOURTH, AND FIFTH-YEAR PROBATIONARY REGULAR FACULTY

An annual evaluation of each faculty member on a probationary appointment [excluding those undergoing third year review] and each term faculty member is conducted by the Department Chair [or Program Director] and the Dean.

2.7.1 ANNUAL REVIEW PROCESS

2.7.1.1 Annual Review File

The file compiled by the faculty member and the Department Chair [or Program Director] for the annual review will contain the following information:

- a. The faculty member's self-evaluation of performance in teaching excellence, scholarly and professional involvement and achievement, and service to the student body, University, and wider community including necessary documentation.
- b. Information deemed useful by the Department Chair [or Program Director] and the Dean in showing evidence of the faculty member's performance in teaching, professional development, and university service.

2.7.1.2 Procedures

For first, fourth, and fifth year probationary faculty, the faculty member's self-evaluation of performance will be submitted to the Dean no later than January 15 each year. For second-year probationary faculty, the self-evaluation is due no later than November 1. The Department Chair [or Program Director] will prepare a written evaluation and discuss it with the faculty member. The Department Chair's [or Program Director's] written evaluation will be submitted to the Dean no later than February 5, except for second-year probationary faculty when the Department Chair's [or Program Director's] written evaluation must be submitted to the Dean no later than November 22.

2.7.1.3 Action

Following the annual review the Department Chair [or Program Director] will make one of the following recommendations to the Dean:

- a. that the faculty member be reappointed; or
- b. that the faculty member be reappointed with warning of deficiencies;
- c. or that the faculty member not be reappointed.

2.7.1.4 Appeal

Unresolved disagreements regarding annual review procedures or provisions may be taken to the Dean who will resolve the issues between the faculty member and Department Chair [or Program Director].

2.8 ANNUAL REVIEW OF PROBATIONARY PROFESSIONAL FACULTY

An annual evaluation of each Professional Faculty member on a probationary appointment is conducted by the Department Chair [or Program Director] and the Dean.

2.8.1 ANNUAL REVIEW PROCESS

2.8.1.1 Annual Review File

The annual review file compiled by the Professional Faculty member and the Department Chair [or Program Director] for the annual review will contain the following information:

- a. The Professional Faculty member's self-evaluation of performance in regards to their appointment as Professional Faculty, including necessary documentation;
- b. Information deemed useful by the Department Chair [or Program Director] and the Dean in showing evidence of the faculty member's performance in regards to their appointment as Professional Faculty.

2.8.1.2 Procedures

For Professional Faculty, the faculty member's self-evaluation of performance will be submitted to the Dean no later than March 1 each year. The Department Chair [or Program Director] will prepare a written evaluation and discuss it with the faculty member. The Department Chair's [or Program Director's] written evaluation will be submitted to the Dean no later than March 22.

2.8.1.3 Action

Following the annual review the Department Chair [or Program Director] will make one of the following recommendations to the Dean:

- a. that the faculty member be reappointed; or
- b. that the faculty member be reappointed with warning of deficiencies;

- c. or that the faculty member not be reappointed.

2.8.1.4 Appeal

Unresolved disagreements regarding annual review procedures or provisions may be taken to the Dean who will resolve the issues between the faculty member and Department Chair [or Program Director].

2.9 ANNUAL REVIEW OF TERM FACULTY

An annual evaluation of each Term Faculty member is conducted by the Department Chair [or Program Director] and the Dean.

2.9.1 ANNUAL REVIEW PROCESS

2.9.1.1 Annual Review File

The annual file compiled by the Term Faculty member and the Department Chair [or Program Director] for the annual review will contain the following information:

- a. The Term Faculty member's self-evaluation of performance in teaching excellence, scholarly and professional involvement and achievement, and service to the student body, University, and wider community including necessary documentation.
- b. Information deemed useful by the Department Chair [or Program Director] and the Dean in showing evidence of the Term Faculty member's performance in teaching, professional development, and university service.

2.9.1.2 Procedures

For Term Faculty, the faculty member's self-evaluation of performance will be submitted to the Dean no later than March 1. The Department Chair [or Program Director] will prepare a written evaluation and discuss it with the faculty member. The Department Chair's [or Program Director's] written evaluation will be submitted to the Dean no later than March 22.

2.9.1.3 Action

Following the annual review the Department Chair [or Program Director] will make one of the following recommendations to the Dean:

- a. that the faculty member be reappointed; or
- b. that the faculty member be reappointed with warning of deficiencies;
- c. or that the faculty member not be reappointed.

2.9.1.4 Appeal

Unresolved disagreements regarding annual review procedures or provisions may be taken to the Dean who will resolve the issues between the faculty member and Department Chair [or Program Director].

2.10 THIRD-YEAR REVIEW OF PROBATIONARY FACULTY

The third-year review of Regular Faculty members on probationary appointments provides information regarding faculty members' potential for achieving tenure and progress toward promotion. The third-year review of Professional Faculty members on probationary appointments provides information regarding the faculty members' potential for achieving a five-year renewable appointment.

2.10.1 REQUIREMENT FOR THIRD-YEAR REVIEW

Faculty members with probationary appointments are reviewed by the Rank and Tenure Committee in their third-year [or full-time equivalent in the case of pro-rata faculty] unless they have been previously reviewed by the Rank and Tenure Committee. The faculty member will submit their application file to their Department Chair by February 1.

2.10.2 RECOMMENDATIONS FOLLOWING THIRD-YEAR REVIEW

Rank and Tenure Committee recommendations following third-year review, as well as those of the Dean, will be submitted to the Provost and Chief Academic Officer. These recommendations will include what action should be taken regarding appointment renewal, conditions for continuation of probationary appointment, and areas that require improvement before subsequent reviews. The Provost and Chief Academic Officer notifies the faculty member, in writing, on the status of

appointment renewal. The Dean provides the faculty member with the details contained in the Rank and Tenure Committee and Dean recommendations. In cases of reappointment, any conditions and/or areas that require improvement should be addressed in subsequent annual reviews.

2.11 TENURE POLICIES

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

Tenure may be granted, with the approval of the Board of Trustees, on appointment to a faculty member who has been tenured or has held equivalent faculty status elsewhere. Ordinarily, however, tenure is granted after a probationary period of teaching at Benedictine University.

Tenure is granted by the Board of Trustees on the recommendation of the President and the Provost and Chief Academic Officer, who are guided by the judgment of the Rank and Tenure Committee and the Dean. In addition to the qualifications of the candidate, other considerations that enter into an individual decision include particular needs within a department or program and the financial resources of the University.

Conferral of tenure entitles a faculty member to a continuous appointment with subsequent annual letters of appointment until retirement or resignation, unless there is proof of adequate cause (see Section 2.19.2.1), changes in the educational program (see Section 2.19.2.2), enrollment emergency (see Section 2.19.2.3), or financial exigency (see Section 2.19.2.4).

A faculty member may request, with no penalty, an extension so that the evaluation for tenure occurs one year later than scheduled under the initial letter of appointment. The request will be in writing to the Provost and Chief Academic Officer with supporting documentation from the faculty member's Dean and Department Chair. The request for an extension must be completed before the date that the faculty member's tenure application is due. If the request for an extension occurs before the faculty member's third-year review, the third-year review will occur in year four. An approval to stop the tenure clock and the approval of a leave of absence [Section 2.21] are not synonymous nor are they decisions directly related to one another.

The locus of each faculty member's tenure is the department[s] or program[s] that is[are] stated in the letter of appointment.

2.11.1 ELIGIBILITY FOR TENURE

Regular faculty members having a probationary appointment are eligible for tenure provided they have completed six years of college teaching and ordinarily have compiled at least three years of service as a Regular Faculty member at Benedictine University (for pro-rata faculty, see Section 2.1.1.2). The precise terms of any credit given for previous teaching experience will be stated in writing at the time of the initial appointment and will be incorporated into the initial letter of appointment (see Section 2.4.3.1).

The tenure review will occur during the year prior to tenure eligibility. The Provost and Chief Academic Officer will notify each faculty member of their eligibility at the appropriate time (See Section 2.11.2). In order to be considered for tenure status, the individual must formally request tenure review at the time of notification by the Provost and Chief Academic Officer of eligibility.

The University criteria for tenure are described in Section 2.1.4 and Section 2.6.

A Regular Faculty member who is a monk of St. Procopius Abbey is subject to reassignment to duties outside the University by the Abbot. These faculty members are not eligible for tenure.

2.11.2 ACTION ON TENURE

Recommendations with regard to tenure are made by the Rank and Tenure Committee and the Dean to the Provost and Chief Academic Officer. The Committee recommendation includes the vote of the Committee and a summary of the reasons for its recommendation. The Provost and Chief Academic Officer makes a recommendation to the President. The President

makes a final recommendation to the Board of Trustees, who grant tenure.

The Provost and Chief Academic Officer notifies the faculty member, in writing, of the final decision. The summary of reasons for the Committee recommendation will be sent to the faculty member in writing by the Dean within ten (10) business days of the communication from the Provost and Chief Academic Officer. A faculty member who has been denied tenure may request a conference with the Provost and Chief Academic Officer to be advised of reasons that have contributed to an adverse decision. A faculty member may also request a written statement of these reasons. He or she will be advised by the Provost and Chief Academic Officer if there might be possible unfavorable consequences of such a written statement.

When tenure is granted to a faculty member, a continuous letter of appointment will be issued for the academic year following the tenure review. When tenure is denied to a faculty member, a terminal letter of appointment will be issued for the academic year following the tenure review, accompanied by a notice of non-renewal.

2.12 PROMOTION POLICIES

Promotion in academic rank is a means by which the University encourages, recognizes, and rewards regular faculty members for excellence in the performance of their duties.

2.12.1 ELIGIBILITY FOR PROMOTION REVIEW

Faculty members are promoted on the basis of their fulfillment of the qualifications discussed in Section 2.1.4 and in Section 2.6. The precise terms of any credit given for previous teaching experience will be stated in writing at the time of the initial appointment and will be incorporated into the letter of appointment. See Section 2.4.3.1.

2.12.2 ACTION ON PROMOTION

Recommendations with regard to promotion are made by the Rank and Tenure Committee and the Dean to the Provost and Chief Academic Officer. The Committee recommendation includes the vote of the Committee and a summary of the reasons for its recommendation. The Provost and Chief Academic Officer makes the final decision and reports this decision to the President and the faculty member, in writing. The summary of reasons for the Committee recommendation will be sent to the faculty member in writing by the Dean within ten (10) business days of the communication from the Provost and Chief Academic Officer.

When an application for promotion is approved, the change in rank will take effect with the beginning of the next regular appointment.

2.13 ADVANCEMENT WITHIN RANK POLICIES

In order to encourage and recognize extraordinary work by tenured faculty and professional faculty on five-year renewable appointments after reaching the highest rank for which they are eligible based on their earned degrees, faculty at either Associate Professor or Professor rank may apply for Advancement within Rank. Recognition of advancement within rank would be made in application as in the case of promotion and tenure. Advancement should represent a culmination of extraordinary efforts or projects that have not been previously acknowledged by promotion or a prior Advancement within Rank award. Extraordinary work must be thoroughly documented and in at least one of the three areas normally evaluated for promotion: teaching excellence, scholarly and professional involvement and achievement, and university service. It is expected that extraordinary work in any single area is matched with documented consistent and appropriate performance in the other two areas. Section 2.6 of the Faculty Handbook states guidelines for evaluation.

2.13.1 Eligibility for Advancement Within Rank

A faculty member may apply for Advancement within Rank during or after the 4th year since his or her last promotion or advancement within rank.

2.13.2 Action on Advancement Within Rank

Recommendations with regard to advancement are made by the Rank and Tenure Committee and the Dean to the Provost

and Chief Academic Officer. The Committee recommendation includes the vote of the Committee and a summary of the reasons for its recommendation. The Provost and Chief Academic Officer makes a recommendation to the President. The President recommends action to the Board of Trustees who make the final decision. The Provost and Chief Academic Officer reports this decision to the faculty member, in writing. The summary of reasons for the Committee recommendation and the Dean's recommendation will be sent to the faculty member in writing by the Dean within ten (10) business days of the communication from the Provost and Chief Academic Officer

When an application for advancement is approved, the increase in the faculty member's base salary will take effect with the beginning of the next regular appointment.

2.14 PROCEDURES FOR THIRD-YEAR, TENURE, RENEWABLE APPOINTMENT, PROMOTION, AND ADVANCEMENT WITHIN RANK REVIEW

The Provost and Chief Academic Officer will prepare by April 30 each year a list of all faculty members who will be reviewed [third-year, tenure, renewable appointment] or eligible for promotion during the next academic year. This list will be sent to all current faculty. Any faculty member who believes that he or she has been improperly omitted from or included in the list of faculty scheduled for third-year review should make this known to the Provost and Chief Academic Officer. In the event that the Provost and Chief Academic Officer and the faculty member cannot reach a mutually satisfactory agreement, the Provost and Chief Academic Officer in consultation with the Faculty Appeals Committee will decide whether or not the faculty member in question is scheduled for review.

No later than May 31 of the year previous to review, the Dean will notify all faculty members who are scheduled for third-year and tenure or new renewable appointment review of their responsibility for compiling an application file which must be submitted to the Dean no later than September 15 for tenure or new renewable appointment review and no later than February 1 for third year review. Faculty members applying for promotion or advancement within rank must submit the application file to the Dean no later than September 15.

Faculty members must inform the Provost and Chief Academic Officer in writing of their intention to apply for promotion or advancement within rank by August 15 of the year of the review. The Rank and Tenure Committee and the Dean will conduct the Reviews.

2.14.1 Review Files

The Dean and the Rank and Tenure Committee recommendations will be based solely on evidence contained in the Application File and the Committee File. The faculty member prepares the Application File and the Dean compiles the Committee File.

2.14.1.1 The Application File

The Application File should contain a current curriculum vita, a current statement of teaching philosophy, evidence of teaching effectiveness, evidence of scholarly and professional involvement and achievement (tenure and tenure track faculty only), evidence of fulfillment of duties as outlined in the letter of appointment (professional faculty only), and evidence of University service. In the case of third-year review for tenure-track faculty, a current research/scholarly development plan is also required. The main body of the Application File should cite the evidence and appendices should contain example artifacts of the evidence (e.g. syllabi, sample course artifacts, selected student open-ended evaluations, abstracts of papers, additional internal or external recommendations, etc.). After the Application File has been submitted, no other materials will be accepted for this file, unless anticipated additions are documented in advance and approved by the Dean.

2.14.1.2 The Committee File

In addition to the Application File, the Committee File will consist of the Department Chair's [or Program Director's] evaluation, the recommendation from the College Faculty Review Panel, previous recommendations and letters by Deans, Department Chair [or Program Director] and the Rank and Tenure Committee, current student evaluation data, current load forms, and any formal response by the faculty member under evaluation. The Dean will solicit the Department Chair's [or Program Director's] evaluation, supply student evaluation data, and initiate the College Faculty Review Panel review. To prepare the evaluation, the faculty member's application file and previous recommendations and letters by Deans,

Department Chair [or Program Director] and Rank and Tenure Committee, current student evaluation data, current load forms, and any emendations by the faculty member under evaluation will be made available to the Department Chair [or Program Director]. Similarly, to prepare their recommendation, the faculty member's application file, previous recommendations and letters by Deans, Department Chair [or Program Director] and Rank and Tenure Committee, current student evaluation data, current load forms, and any emendations by the faculty member under evaluation and the Department Chair's [or Program Director's] evaluation will be made available to the College Faculty Review Panel. The faculty member has the right to read both the Department Chair's [or Program Director's] evaluation and the College Faculty Review Panel recommendation and, furthermore, the faculty member has the right to write a formal response to any evaluation and for inclusion in this file. No unsolicited material will be accepted for this file.

2.14.1.3 External Review of Scholarly/Professional Development

In cases where the Dean and Department Chair [or Program Director], in consultation with the faculty member, determine that there is insufficient internal expertise to review the scholarly/professional development of the faculty member, an external review of the faculty member's scholarly/professional development will be conducted. The determination for an external review should be made by September 1. In such instances, the faculty member and Department Chair will provide the Dean with a list of four potential external reviewers with expertise in the faculty member's area of scholarly/professional development from comparable institutions. The Dean will select two individuals from this list and coordinate the external review. The Dean will place a document in the Committee File indicating that an external review has been established along with the names of the external reviewers. The review will be conducted in the context of the University, College, Department, and/or Program criteria for Scholarly/Professional Development [section 2.6.1.2 and appendix 2.6.1.2]. The external review should be completed by October 7. After eliminating all information that could be used to identify the reviewer, the external reviews will be placed into the Committee File. The faculty member will have the right to submit a formal response to the external reviews within seven calendar days of receipt of the external review for inclusion in this file.

2.14.2 COLLEGE FACULTY REVIEW PANEL EVALUATION

For each faculty member under review, the appropriate Dean will initiate the evaluation by the College Faculty Review Panel. All tenured faculty members of the program will serve on the College Faculty

Review Panel for that faculty member. The composition of the College Faculty Review Panel is specified by the faculty and Dean of each College [refer to Appendix 1.5.2.11].

The College Faculty Review Panel will make a recommendation, including a vote, in writing and that recommendation will be forwarded to the Dean for inclusion in the Committee File.

2.14.3 CONFIDENTIALITY OF THE REVIEW

At no time will the Review Files be available to anyone other than the faculty member, the members of the Committee, the appropriate Dean, the appropriate Department Chair [or Program Director], the Provost and Chief Academic Officer, the President, the College Faculty Review Panel during the review period and the Faculty Appeals Committee in the case of an appeal. Upon completion of the review process, the Application File will be returned to the faculty member and the Committee Files will be retained in the office of the Dean.

The deliberations of the College Faculty Review Panel, the Rank and Tenure Committee, and the Dean are held in the utmost confidentiality. At no time during the deliberations should materials not presented in the faculty member's Review Files be discussed or considered. However, the Panel/Committee/Dean may interview the faculty member and/or the Department Chair [or Program Director] to clarify any concerns.

2.15 PROCEDURES FOR REVIEW OF PROFESSIONAL FACULTY APPLYING FOR A FIVE YEAR RENEWABLE APPOINTMENT

See 2.14 PROCEDURES FOR THIRD-YEAR, TENURE, RENEWABLE APPOINTMENT, PROMOTION, AND ADVANCEMENT WITHIN RANK REVIEW

2.16 FIFTH-YEAR REVIEW OF TENURED FACULTY

Tenured faculty members are reviewed once every five years. This review provides an opportunity for appraisal of the faculty member's continuing development measured by performance in the evaluative areas outlined in Section 2.6.1.

2.16.1 PROCEDURES FOR FIFTH-YEAR REVIEW

The Provost and Chief Academic Officer will prepare no later than April 30 each year a list of all faculty members who will be reviewed during the next academic year. This will be sent to all current faculty. Any faculty member who believes that he or she has been improperly omitted from or included in the list of faculty scheduled for fifth-year review should make this known to the Provost and Chief Academic Officer. In the event that the Provost and Chief Academic Officer and the faculty member cannot reach a mutually satisfactory agreement, the Provost and Chief Academic Officer in consultation with the Faculty Appeals Committee will decide whether or not the faculty member in question is scheduled for review.

No later than May 31, the Dean will notify all faculty members who are scheduled for fifth-year reviews of their responsibility for compiling a self-evaluation file that must be submitted to the Dean no later than October 1.

The Dean will conduct the fifth-year reviews.

2.16.2 FIFTH-YEAR REVIEW FILE

The fifth-year review will be based on evidence contained in a review file incorporating the faculty member's self-evaluation, previous recommendations and letters by Deans, Department Chair [or Program Director] and Rank and Tenure Committee, current student evaluation data, current load forms, and any formal responses by the faculty member under evaluation for the time period under review and the evaluation completed by the Department Chair [or Program Director] or Dean. The Department Chair [or Program Director] will have access to the faculty member's self-evaluation and previous recommendations and letters by Deans, Department Chair [or Program Director] and Rank and Tenure Committee, current student evaluation data, current load forms, and any formal responses by the faculty member under evaluation for the time period under review in order to prepare his/her evaluation of the faculty member. Assessment will use the criteria of Section 2.6.1.

2.16.3 ACTION FOLLOWING FIFTH-YEAR REVIEW

The Dean's evaluation of a faculty member's performance will be discussed with the faculty member in an interview and summarized in written recommendations.

2.17 FIFTH-YEAR REVIEW OF PROFESSIONAL FACULTY ON RENEWABLE APPOINTMENTS

Professional Faculty members on renewable appointments are reviewed once every five years. This review provides an opportunity for appraisal of the faculty member's continuing development measured by performance in the appropriate evaluative areas outlined in Section 2.6.1.

2.17.1 PROCEDURES FOR FIFTH-YEAR REVIEW

The Provost and Chief Academic Officer will prepare no later than April 30 each year a list of all Professional Faculty members who will be reviewed during the next academic year. This will be sent to all current Professional Faculty. Any faculty member who believes that he or she has been improperly omitted from or included in the list of faculty scheduled for fifth-year review should make this known to the Provost and Chief Academic Officer. In the event that the Provost and Chief Academic Officer and the faculty member cannot reach a mutually satisfactory agreement, the Provost and Chief Academic Officer in consultation with the Faculty Appeals Committee will decide whether or not the faculty member in question is scheduled for review.

No later than May 31, the Dean will notify all faculty members who are scheduled for fifth-year reviews of their responsibility for compiling a self-evaluation file that must be submitted to the Dean no later than October 1.

The Dean will conduct the fifth-year reviews.

2.17.2 FIFTH-YEAR REVIEW FILE

The fifth-year review will be based on evidence contained in a review file incorporating the faculty member's self-evaluation, previous recommendations and letters by Deans and Department Chairs [or Program Director], current student evaluation data, current load forms, and any formal responses by the faculty member under evaluation for the time period under review and the evaluation completed by the Department Chair [or Program Director] or Dean. The Department Chair [or Program Director] will have access to the faculty member's self-evaluation and previous recommendations and letters by Deans and Department Chairs [or Program Directors], current student evaluation data, current load forms, and any formal responses by the faculty member under evaluation for the time period under review in order to prepare his/her evaluation of the faculty member. Assessment will use the appropriate criteria of Section 2.6.1.

2.17.3 ACTION FOLLOWING FIFTH-YEAR REVIEW

The Dean will make a recommendation to the Provost and Chief Academic Officer regarding the issuance of another five-year renewable appointment of the faculty member. The Dean's evaluation of a faculty member's performance will be discussed with the faculty member in an interview and summarized in written recommendations.

2.18 TIMELINES FOR FACULTY REVIEW

Refer to Appendix 2.18 for the details regarding the faculty review process. NOTE: if a deadline falls on a weekend or holiday, it is moved to the next business day.

2.19 SEPARATION FROM THE UNIVERSITY

A faculty member may be separated from the University through non-renewal of probationary appointment, termination for cause of tenure, renewable, or probationary appointment during the appointment period, termination for program discontinuance, termination for enrollment emergency, termination for financial exigency, suspension, resignation, or retirement.

2.19.1 NON-RENEWAL OF PROBATIONARY AND RENEWABLE APPOINTMENTS

In cases of non-renewal of probationary appointments, a Regular Faculty member will be notified in writing (including the reasons which contributed to the decision) no later than March 1 of the first year, December 15 of the second year, and 12 months prior to the expiration of the appointment in subsequent years. A faculty member may appeal the decision in writing to the Faculty Appeals Committee no later than 10 business days following notification. The Faculty Appeals Committee will review the appeal with respect to the faculty member's right to academic freedom, to non-discrimination, and to adequate consideration.

In cases of non-renewal of probationary appointments, a Professional Faculty member will be notified in writing (including the reasons which contributed to the decision) no later than May 15 of each year. A faculty member may appeal the decision in writing to the Faculty Appeals Committee no later than 10 business days following notification. The Faculty Appeals Committee will review the appeal with respect to the faculty member's right to academic freedom, to non-discrimination, and to adequate consideration.

In cases of non-renewal of renewable appointments, a Professional Faculty member will be notified in writing (including the reasons which contributed to the decision) no later than December 15 of the final year of the renewable appointment. A faculty member may appeal the decision in writing to the Faculty Appeals Committee no later than 10 business days following notification. The Faculty Appeals Committee will review the appeal with respect to the faculty member's right to academic freedom, to non-discrimination, and to adequate consideration.

2.19.1.1 Allegation of Violation of Academic Freedom or Discrimination

If the faculty member alleges that non-renewal is a violation of academic freedom or violation of policies concerning appointments without prejudice with respect to race, sex, religion, national origin, age, physical handicap, veterans status,

marital status, or any other legally protected category, the allegation will be given preliminary consideration by the Faculty Appeals Committee, which will seek to settle the matter by informal methods. The allegations will be accompanied by a statement that the faculty member agrees to the presentation, for the consideration of the Faculty Appeals Committee, of such reasons and evidence as the University may allege in support of its decision. If the difficulty is unresolved at this stage, the matter will be heard in the manner set forth in Section 2.27, except that the faculty member making the complaint is responsible for stating the grounds upon which the allegations are based, and the burden of proof will rest upon the faculty member. If the faculty member succeeds in establishing a prima facie case, it is incumbent upon those who made the decision against reappointment to come forward with evidence in support of their decision.

2.19.1.2 Allegation of Inadequate Consideration

Insofar as the faculty member alleges that the decision against renewal was based on inadequate consideration, the Faculty Appeals Committee will determine if that is the case in terms of the relevant standards of the University, using the procedures set forth in Section 2.27. The Faculty Appeals Committee will not substitute its judgment on the merits for that of those responsible for making the non-renewal decision. If it judges that adequate consideration was not given, it will request reconsideration by those making the decision, indicating the respects in which it believes consideration may have been inadequate. It will provide copies of its findings to the faculty member, to those responsible for the original decision, and to the Provost and Chief Academic Officer for final decision.

2.19.2 TERMINATION

Termination of a continuous appointment, of a probationary appointment, of a renewable appointment, or an annual appointment before the end of the specified term, may occur only for adequate cause or reason. Adequate cause or reason will be related, directly and substantially, to a person's fitness as a faculty member, or based on valid reasons for discontinuing a program or department of instruction, or based on enrollment emergency, or based on financial exigency. In cases of termination, all written communications from the University to the faculty member will utilize certified mail, return receipt requested or hand-delivered as appropriate.

2.19.2.1 Termination for Lack of Fitness as a Faculty Member

2.19.2.1.1 Specific Causes

The University may initiate proceedings for termination of tenured appointments, of renewable appointments or of probationary appointments during the appointment period for the following causes:

- a. Grave irresponsibility in discharging faculty obligations as set forth in Sections 2.6, 2.20, and 2.22.
- b. Incompetence in carrying out teaching responsibilities according to Sections 2.6 and 2.20.
- c. Prolonged inactivity in professional development or University service as set forth in Section 2.6.
- d. Substantial misrepresentation of facts relevant to faculty status, such as false claims to academic degrees or serious misrepresentation of previous academic or professional experience.
- e. Immoral, unprofessional, or criminal action damaging the reputation of the individual or the University.
- f. Other causes deemed appropriate by the University.

2.19.2.1.2 Pre-hearing Procedures for Termination for Cause

Dismissal of a faculty member with continuous tenure, with a renewable appointment, or with a special or probationary appointment before the end of the specified term will be preceded by discussion, informal inquiry, and a statement of charges. At this time, the President or the President's designee may suspend the faculty member pending termination with compensation until the termination process is complete. Notice of the suspension shall be given in writing and sent by certified mail or hand-delivered to the faculty member. This notice shall set forth the reasons for the suspension and shall include notice to the faculty member of the rights described in this section (2.19.2.1) provided, however, that in the case of such a suspension the notice of the suspension shall constitute the statement of the charges pursuant to section 2.19.2.1.2.3; neither discussion nor informal inquiry (as provided for by sections 2.19.2.1.2.1 and 2.19.2.1.2.2, respectively) shall be required; and the formal adjudicative hearing on the charges before the Faculty Appeals Committee shall be conducted on an expedited basis and set for two (2) business days after the date of the notice of suspension, which shall state the date and time of the hearing (notwithstanding any other provision of section 2.19.2.1).

2.19.2.1.2.1 Discussion

Discussions between the faculty member and appropriate administrative officers will seek a mutually agreeable settlement.

In the case of those serious causes for termination of a tenured faculty member or of a professional faculty member on a renewable appointment set out above in which there is a reasonable basis for belief that such a cause or causes can be removed, remedied, or changed by the faculty member after discussion, the Provost and Chief Academic Officer shall meet with the faculty member before any proceedings for termination are instituted. The Provost and Chief Academic Officer shall confer with the faculty member setting out with specificity any basis for termination and shall afford such faculty member a reasonable opportunity to explain his or her position and to remedy or rectify any deficiencies. A written account of the matters discussed at the meeting shall be sent by certified mail or hand-delivered to the faculty member.

2.19.2.1.2.2 Informal Inquiry

If the dismissal process is not terminated at this point, the Faculty Appeals Committee should examine the case to determine whether in its view formal proceedings for termination should be instituted. It should forward its recommendation to the Provost and Chief Academic Officer who is free to accept or reject the Committee's recommendation.

2.19.2.1.2.3 Charges

If the Provost and Chief Academic Officer chooses to proceed with the case, a statement of charges will be sent by certified mail or hand-delivered to the faculty member by the Provost and Chief Academic Officer. Following the statement of charges, the faculty member will have the right to a formal hearing by the Faculty Appeals Committee. The faculty member must deliver the request for a formal hearing to the Provost and Chief Academic Officer within ten (10) business days of the receipt of the statement of the charges.

2.19.2.1.3 Formal Adjudicative Hearing

The Faculty Appeals Committee's procedures shall be as follows:

- a. Members deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of one party or on their own initiative. Each party will have one challenge without a stated cause.
- b. The Faculty Appeals Committee may, with the consent of the parties concerned, hold joint prehearing meetings with the parties in order to (i) simplify the issues, (ii) elicit stipulations of facts, (iii) provide for the exchange of documentary or other information, and (iv) achieve such other appropriate prehearing objectives as will make the hearing fair, effective and expeditious.
- c. Service of notice of hearing with specific charges in writing will be made at least twenty (20) business days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges or asserts that the charges do not support a finding of adequate cause, the Committee will evaluate all available evidence and rest its recommendation upon the evidence in the record.
- d. The Faculty Appeals Committee, in consultation with the Provost and Chief Academic Officer and the faculty member, will exercise its judgment as to whether the hearing should be public or private.
- e. During the proceedings the faculty member will be permitted to have an academic advisor and/or counsel of his or her choice. If the faculty member brings counsel, the University must be notified in advance so that the University may have counsel present.
- f. At the request of either party or the Committee, a representative of a responsible educational association shall be permitted to attend the proceedings as an observer.
- g. A verbatim record of the hearing or hearings will be taken and a typewritten copy will be made available to the faculty member without cost, at the faculty member's request.
- h. The burden of proof that adequate cause exists rests with the University and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
- i. The Committee may, at its discretion, grant adjournments to enable either party to investigate evidence about which a valid claim of surprise is made.
- j. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the Committee in securing witnesses and making available documentary and other evidence.
- k. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the

witnesses cannot or will not appear, but the Committee determines that the interests of justice require admission of their statements, the Committee will identify the witnesses, disclose their statements, and if possible provide for interrogatories.

- l. In any hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.
- m. The Committee will not be bound by strict rules of legal evidence, and may admit any evidence that is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
- n. The findings of fact and decision will be based solely on the hearing record.
- o. Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the Board of Trustees. The President and the faculty member will be notified of the decision in writing and will be given a copy of the record of the hearing.
- p. If the Committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the President. If the President rejects the report, reasons for doing so will be stated in writing to the Faculty Appeals Committee and to the faculty member, and provide an opportunity for response before transmitting the case to the Board of Trustees.

2.19.2.1.4 Action by the Board of Trustees

If dismissal is recommended, the President will, on request of the faculty member filed within twenty-one (21) business days of the notice of dismissal, transmit to the Board of Trustees the record of the case. The Board's review will be based on the record of the Faculty Appeals Committee hearing, and it will provide opportunity for argument, oral or written or both, by the principals at the hearings or by their representatives. If the faculty member brings counsel, the University must be notified in advance so the University may have counsel present. The recommendation of the Faculty Appeals Committee will either be sustained, or the proceeding returned to the Committee with the specific objections. The Committee will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board will make a final decision only after study of the Committee's reconsideration.

2.19.2.1.5 Severance Pay

In case of termination for cause, the Faculty Appeals Committee will recommend to the President whether or not severance pay appears justified.

2.19.2.1.6 Non-termination Decision

If the final decision of the Board of Trustees with respect to a faculty member who has been suspended pending termination pursuant to section 2.19.2.1.2 is that the faculty member shall not be terminated, the faculty member shall be reinstated with full rights and privileges present before the termination proceedings began.

2.19.2.2 Termination for Curricular Discontinuance

A faculty member's appointment may be terminated as a result of discontinuance of a curricular requirement, program, or department of instruction. If a decision is made to discontinue, this decision will be based essentially upon educational considerations, which may involve financial matters. Educational considerations and financial matters do not include cyclical or temporary variations in enrollments, but must reflect the long-range judgments that the educational mission of the University as a whole will be maintained or enhanced by discontinuance.

2.19.2.2.1 Procedures for Termination Because of Discontinuance

- a. Any proposal to discontinue a program of instruction or an academic department shall be evaluated by the appropriate College Curriculum and Standards Committee. The College Curriculum and Standards Committee will advise, in writing, the College faculty, the Dean, and the Provost and Chief Academic Officer concerning the proposed discontinuance. Final decision on matters of program discontinuance is made by the Board of Trustees upon the recommendation of the Provost and Chief Academic Officer and the President.
- b. Before the administration issues notice of termination because of discontinuance, it will make a reasonable, documented effort to place any faculty member affected in another suitable position for which the person is qualified. If such placement would be facilitated by a reasonable period of training not to exceed approximately one year, financial and other support will be proffered. If no position is available within the University with or without retraining, the faculty member's appointment may then be terminated, but only with the provision for severance salary equitably adjusted [determined at the sole discretion of the University] to the faculty member's length of past and potential service.

- c. A faculty member may appeal a proposed relocation or termination resulting from a discontinuance and has the right to a full hearing before the Faculty Appeals Committee in which the essentials of an on-the-record adjudicative hearing are observed. The issues in this hearing will include the question of the University's failure to satisfy any of the conditions of this section. In such a hearing the determination of the College Curriculum and Standards Committee that a program or department is to be discontinued will be considered presumptively valid, but the burden of proof of other procedural issues will rest on the administration.

2.19.2.3 Termination Because of Enrollment Emergency

The President, after consultation with the Provost and Chief Academic Officer and the Faculty Welfare Committee, will make the declaration of a state of enrollment emergency to the University.

Enrollment emergency is defined as either a sudden or unplanned progressive decline in student enrollment, the detrimental financial effects of which are too great or too rapid to be offset by normal procedures.

2.19.2.3.1 Procedures for Termination Because of Enrollment Emergency

- a. Any proposal for a declaration of enrollment emergency shall be evaluated by the University Planning Council. The University Planning Council will advise, in writing, the Board of Trustees, the President and the Faculty Assembly concerning the declaration. Final decision on a declaration of a state of enrollment emergency is made by the Board of Trustees.
- b. Before the administration issues notice of termination because of enrollment emergency, it will make a reasonable, documented effort to place any faculty member affected in another suitable position for which the person is qualified. If such placement would be facilitated by a reasonable period of training not to exceed approximately one year, financial and other support will be proffered. If no position is available within the University with or without retraining, the faculty member's appointment may then be terminated, but only with the provision for severance salary equitably adjusted [determined at the sole discretion of the University] to the faculty member's length of past and potential service.
- c. A faculty member may appeal a proposed relocation or termination resulting from an enrollment emergency and has the right to a full hearing before the Faculty Appeals Committee in which the essentials of an on-the-record adjudicative hearing are observed. The issues in this hearing will include the question of the University's failure to satisfy any of the conditions of this section. In such a hearing the determination of the University Planning Council that a program or department is to be discontinued will be considered presumptively valid, but the burden of proof of other procedural issues will rest on the administration.

2.19.2.4 Termination Because of Financial Exigency

A faculty member's appointment may be terminated for financial exigency under extraordinary circumstances because of a demonstrably imminent financial crisis which threatens the survival of the institution and which cannot be alleviated by less drastic means.

2.19.2.4.1 Procedures for Termination for Financial Exigency

The University Planning Council, in cooperation with the University administration, shall formulate criteria for (a) identifying a state of financial exigency, and (b) determine proper institutional response to such a condition, which shall include guidelines for identifying faculty members to receive notice of termination, should this be necessary. The University Planning Council shall act expeditiously in formulating these criteria and guidelines, and shall review these criteria and guidelines on a continuing basis, but no less than once every three (3) years subsequent to their adoption.

- a. If the President in consultation with the Board of Trustees determines that a condition of financial exigency may be imminent, the University Planning Council shall hear all evidence that a state of financial exigency exists or is imminent based upon established criteria, and shall issue a written report regarding the existence and extent of the condition to the President and to the Faculty Welfare Committee. If the University Planning Council determines that a state of financial exigency exists or is imminent, it shall investigate and make recommendations, based upon the established criteria, concerning alternative institutional responses to the condition. These recommendations of the University Planning Council shall be known as the Financial Exigency Plan. The Faculty Welfare Committee may request in writing that the University Planning Council reevaluate its recommendations if it is determined that the criteria established by the University Planning Council were improperly applied in the formulation of the Financial Exigency Plan.

Following review of the Financial Exigency Plan, a Declaration of Financial Exigency is made by the Board of Trustees.

If, after receipt of the Declaration of Financial Exigency, the President judges that the condition of financial exigency is serious enough to warrant termination of continuous appointments or cancellation of probationary appointments during the appointment period, the President shall order implementation of the guidelines established for identifying faculty members to receive notice of termination. The President shall provide each faculty member affected with a written statement of the basis for the initial decision to terminate, which shall include a description of the manner in which the decision to terminate was reached, and of the faculty member's right to a hearing before the Faculty Appeals Committee.

- b. If the President issues notice to a particular faculty member of an intention to terminate the appointment because of financial exigency, the faculty member will have the right to a full hearing before the Faculty Appeals Committee. In this hearing, the essentials of an on-the-record adjudicative hearing will be observed. Issues in this hearing may include, but will not be limited to, the following:

(1) The existence and extent of the condition of financial exigency. If the Faculty Welfare Committee has accepted the Financial Exigency Plan of the University Planning Council as conforming to established criteria and guidelines, the recommendations embodied in the Financial Exigency Plan shall be considered presumptively valid, such that the burden of proof will rest on the President or the affected faculty member if either disagrees with the determination of the University Planning Council in this situation.

(2) The validity of the remedy implemented by the administration. The recommendations given by the University Council shall be given the greatest weight in reaching a conclusion on this matter.

(3) The proper application of all criteria and guidelines established by the University Planning Council in identifying faculty members to receive notice of termination.

2.19.2.4.2 Integrity of the Academic Program

If the University, because of financial exigency, terminates tenured appointments or cancels renewable or probationary appointments before the end of the appointment period, it will not at the same time make new appointments except in extraordinary circumstances where a serious distortion in the academic program would otherwise result. A faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the academic program would otherwise result.

2.19.2.4.3 Other Suitable Positions

Before terminating an appointment because of financial exigency, the University, with faculty participation, will make a reasonable, documented effort to place the faculty member concerned in another suitable position within the University.

2.19.2.4.4 Offer of Reinstatement

In all cases of termination of appointment because of financial exigency, the position of the faculty member concerned will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reinstatement and at least thirty (30) business days in which to accept or decline the offer.

Faculty members whose appointments are terminated due to financial exigency shall be retained on a recall list for a period of one year from the last date of employment [as defined in the letter of appointment] with the University.

Individuals on the recall list will be given first right of refusal for any faculty position at the University which is opened for hiring by the University provided that the individual is qualified to perform the duties of the position as determined by the Provost and Chief Academic Officer after comparing the position description and the vita of the individual.

If more than one individual is qualified for the position, the Provost and Chief Academic Officer will offer the position first to the best-qualified individual, as determined by his/her discretion. If the offer is declined, the position will be offered to the next best qualified individual in descending order until the position is accepted or until all qualified individuals have been offered the position, whichever occurs first. If one or more individuals are equally qualified, the position will be offered first

to the individual with greater length of tenured service to the University as determined by the Provost and Chief Academic Officer.

Offers shall be presented to individuals on the recall list in writing to their last known address as contained in the Personnel Services Office of the University. The offer must be accepted by written notification to the Provost and Chief Academic Officer no later than the close of business on the thirty-first calendar day after delivery of notice to the individual, as evidenced by postal receipt.

Any individual who is offered a position under this provision and who declines the offer, or fails to properly respond, or respond at all, shall be removed from the recall list and all his/her rights under this provision shall end.

Individuals on the recall list shall be obligated to maintain on file with the Personnel Services Office at all times during the recall period their current mailing address, telephone number, and vita.

An individual who is reemployed under this provision shall be restored to the rank, tenure status, and salary that he/she held at the time of termination.

2.19.2.4.5 Severance Pay

If possible, faculty members whose appointments are terminated because of financial exigency will receive severance salary equitably adjusted [determined at the sole discretion of the University] to the faculty member's length of past and potential service.

2.19.3 SUSPENSION FROM EXERCISE OF FACULTY RESPONSIBILITIES

A suspension occurs when a faculty member is temporarily relieved of faculty responsibilities by the President or the President's designee. In the event of a suspension, the procedures established below will be followed expeditiously, and the compensation of the faculty member shall be continued during the period of the suspension.

- a. Notice of a suspension shall be given in writing, and sent by certified mail or hand-delivered to the faculty member affected. This notice shall set forth the reasons for the suspension, and shall include notice to the faculty member of the rights described in this section.
- b. Suspension for medical reasons shall be based upon a preponderance of medical evidence that the faculty member cannot continue to fulfill the terms and conditions of appointment. The decision to suspend will be reached only after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed suspension and has been afforded an opportunity to present the faculty member's position and to respond to the evidence. If the faculty member so requests, the evidence will be reviewed by the Faculty Appeals Committee. The Committee will make written recommendations concerning the propriety, the length and the other conditions of the suspension to the appropriate University official and to the faculty member concerned. Faculty members under suspension for medical reasons are entitled to salary benefits of the latest signed regular academic year appointment (excluding summer appointments) for a period of six (6) months from the beginning of the suspension or until the onset of disability benefits, whichever period comes first.
- c. Excepting medical reasons presented above, only when the President judges that serious, immediate harm would come to a faculty member, whether tenured or not, to students, or to the University through the continued teaching or professional activity of the faculty member, may the faculty member be immediately suspended. The reasons for such suspension must be communicated in writing to the Faculty Appeals Committee that will render a judgment on the propriety, the length, and the other conditions of the suspension. The Committee will make a written recommendation as to its judgment to the President and will provide a copy of these recommendations to the affected faculty member.

Suspension is subject to appeal under the Faculty Appeal Procedures of Section 2.23.

2.19.4 RESIGNATION

Resignation is a separation action by which a faculty member voluntarily seeks to be released from a appointment with the University. Because of the extreme hardship that is often caused by untimely resignation, it is requested that all faculty members provide the earliest possible written notice of a request to resign. All resignations are subject to approval by the University. Ordinarily, a faculty member is expected to give notice to the Department Chair [or Program Director], Dean, or Provost and Chief Academic Officer not later than thirty (30) business days prior to the end of the academic year. It is expected that, except in unusual circumstances, resignation will be effective at the end of the academic year.

2.19.5 RETIREMENT

In compliance with the *1986 Amendments to the Age Discrimination in Employment Act*, a faculty member may continue to work past the age of seventy (70). The University does not maintain a mandatory retirement age.

2.20 FACULTY RIGHTS AND RESPONSIBILITIES

2.20.1 GENERAL RESPONSIBILITIES

In accepting a position as a professional in the academic community, the faculty member assumes certain responsibilities together with the rights associated with those responsibilities. Among these are responsibilities for the intellectual development of students, the advancement of knowledge, and the improvement of society. Faculty must order and evaluate their activities in terms of their commitment to these goals, as well as in terms of their personal and professional development.

Moreover, the faculty of Benedictine University have a special obligation to understand the nature of this institution and to appreciate its unique characteristics, its philosophy and objectives.

A faculty member's overall responsibilities generally include: teaching, which is paramount; academic advising; scholarship, which sustains and enriches teaching; research and publication or performance or production of creative work where appropriate; participation in university governance, including serving on search committees, and service to the institution and university community. Section 2.6 states the criteria for evaluation.

It is the right and responsibility of the faculty to be involved in the evaluation process of academic administrators in accordance with Section 1.4 Academic Administrative Structure. Faculty involvement in the evaluation process shall include a formal evaluation process, initiated by the Faculty Welfare Committee, undertaken at least once every three years with broad input from the faculty and appropriate communication of the results to those being evaluated and to the faculty.

2.20.2 TEACHING DUTIES

A full-time Regular Faculty member shall maintain a basic load of 24 hours per academic year. This is usually scheduled as 12 load hours per semester or 8 load hours per quarter. For purposes of load computations, 1 semester hour = 1 load hour and 1 quarter hour = 2/3 load hour. Regular Faculty members may carry a maximum of 30 load hours per academic year. Within the basic load, a Regular Faculty member shall have no more than 15 contact hours per week, excluding courses in accelerated format programs. Courses in accelerated formats may be included in load computations at one course per term in load and one course per term out of load.

A full-time Professional or Term Faculty member shall maintain a basic load of 30 hours per academic year. This is usually scheduled as 15 load hours per semester or 10 load hours per quarter. For purposes of load computations, 1 semester hour = 1 load hour and 1 quarter hour = 2/3 load hour. Professional Faculty members normally teach a maximum of 9 load hours per semester or 6 load hours per quarter. Professional and Term Faculty members may carry a maximum of 36 load hours per academic year.

The basic load may be reduced for faculty serving in administrative positions (e.g. Department Chairs, Program Directors, etc.) and/or working on special projects,

Faculty teaching assignments are the responsibility of the Department Chair [or Program Director], subject to the approval of the Dean. The Department Chair [or Program Director] is in the best position to weigh the many factors in making teaching assignments. The following factors should be considered in determining the individual faculty loads:

- a. Within the basic load, a regular faculty member shall normally prepare no more than 3 distinct courses per term. Laboratory sections, including a pre-lab lecture, are considered to be preparations distinct from the associated lecture course. Multiple sections of the same course count as one preparation. Recitations (discussion sessions in addition to lecture) are not considered a preparation.
- b. Within the basic load, a regular faculty member shall normally not generate more than 720 student credit hours per year.
- c. Probationary faculty members shall only teach a basic load. In particular, new hires with fewer than 4 years of full-time teaching experience shall teach a basic load of 18 hours in their first year at Benedictine University. In addition, probationary faculty shall teach a basic load of 18 hours during the academic year two years prior to the year in which their application for tenure must be submitted [in the case of a full-time probationary faculty member, this is normally in his/her fourth year].
- d. Supervision of practica, internships, fieldwork, student teaching, independent study, thesis supervision, and student research should be considered. Load credit (or possibly stipend) for these activities should be based on the number of students, the time commitment, and other relevant variables.
- e. The number of students for which the faculty member is the primary advisor.

All faculty members are expected to be available to teach courses scheduled throughout the range of times of course offerings by the department or program (morning, afternoon, evening, and week end).

Included in teaching duties is the academic advising of students enrolled in the department or program.

Faculty members are expected to be available for consultation in their offices, labs, studios, or other designated campus locations [approved by the department chair/associate dean] on a regular, announced basis at reasonable times to accommodate students. Faculty shall hold a minimum of one-half hour of office hours per credit hour taught. Normally, this shall be interpreted as six office hours per week for regular faculty with a full-time teaching load.

All regular University employees who have contracts to teach as Adjunct Faculty will be allowed to teach only one (1) class per semester, term or quarter. For module classes only one (1) course may be taught within the University's traditional semester or quarter, which will be based on the start date of the class. The hours spent teaching cannot interfere with the employee's regular work time. An employee may teach one (1) class during their regular workday hours, but this time must be made up.

2.20.3 PROFESSIONAL DEVELOPMENT

Regular and Professional Faculty members are responsible for consistent and appropriate professional development including research, writing, artistic performances, participation in professional societies, and other means of professional self-improvement.

2.20.4 UNIVERSITY SERVICE

Regular and Professional Faculty members are responsible for participation in University, College, faculty, and department or program meetings, committee activities, and convocations.

2.20.5 ACADEMIC FREEDOM

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

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 faculty member in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

- a. The faculty member is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
- b. The faculty member is entitled to freedom in the classroom in discussing the subject, but the faculty member should be careful not to introduce into one's teaching controversial matter that has no relation to the subject.
- c. The university faculty member is a citizen and a member of a learned profession. When speaking, writing or contributing to public and academic discourse as a citizen, the faculty member should be free from institutional censorship or discipline without interference. Such activities may include, but are not limited to, public lectures, media appearances, op-eds (opposite the editorial page) and other types of columns or interviews in periodicals and other media, creative works, performances, academic conferences and scholarly publications. However, one's special position in the institution imposes special obligations. The faculty member should remember that the public may judge the profession and the institution by one's utterances. Hence the faculty member 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 one is not an institutional spokesperson. Professional identification as faculty at Benedictine University when conducting such activities shall not be construed as representing a University position, but merely as identifying professional status in the course of such activities.

Adapted from the AAUP 1940 Statement on Academic Freedom and Tenure

In the exercise of academic freedom, each faculty member is expected to support the institutional goals of the University. The way of supporting these goals will vary according to each one's faith and conscience. Each faculty member has the right to hold and express personal religious beliefs though these may vary from Catholic doctrine. However, it would be a violation of one's professional dignity and integrity to join the faculty of the University and then, in the classroom or while engaged in other University activities, deride the beliefs of any religious faith. This does not inhibit the scholarly and relevant criticism of Catholic organizations, leaders, activities, or particular theological opinions.

While affirming academic freedom as a right, the University recognizes that, in some circumstances, the question of academic freedom becomes enmeshed in questions of professional incompetence or irresponsibility. In the effort to distinguish between these sometimes confused issues, the guiding principle is that charges of professional incompetence or irresponsibility shall not be used to limit academic freedom, nor shall appeals to academic freedom be accepted as a shield for professional incompetence or irresponsibility.

Disputes involving a charge that a faculty member's rights or academic freedom has been abrogated are to be settled through the established Grievance Procedures (see Section 2.27).

2.20.6 ACADEMIC FREEDOM FOR LIBRARIANS

Academic freedom, as defined above, is accorded to all Professional Librarians because they are often present at the point of student contact with ideas. Librarians are free from fear of dismissal or reprisal for carrying out job-related tasks such as those listed below, particularly those carried out in consultation with the regular faculty:

- a. The selection of publications, the discarding of materials from existing collections, and the determination of what to accept or reject from donors;
- b. determination of restrictions on circulation of or on access to library materials;
- c. the determination of the degree of prominence in the shelving of selected materials;
- d. the issuance of bibliographies that might include controversial publications; and
- e. the advising of students on the selection of materials for reading or study.

Disputes involving a charge that a librarian's rights or academic freedom has been abrogated are to be settled through the established Faculty Appeals Procedures (see Section 2.27).

2.20.7 PROTECTION OF RIGHTS

Each faculty member is enjoined to protect the rights to which every other member of the University community is justly entitled.

All members of the University community have a right to expect University action prohibiting on-campus activities of students, faculty or administrators that would interfere with the exercise of their civil rights or performance of their duties and responsibilities.

Membership in the academic community imposes on faculty members, students, administrators and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways that injure individuals or damage University facilities or disrupt the classes of one's colleagues.

Students are entitled to an atmosphere conducive to learning and to equitable treatment in all aspects of the teacher-student relationship. Faculty members may not refuse to enroll or teach students on the grounds of their beliefs or the possible uses to which they may put the knowledge to be gained in the course. No student should be forced by the authority inherent in the instructional role to make particular personal choices as to political action or his or her own part in society. Evaluation of students and the award of credit must be based on academic performance professionally judged and not on matters irrelevant to that performance, whether of personality, race, religion, other legally protected categories, degree of political activism, or personal beliefs.

Disputes involving a charge that a faculty member's rights have been abrogated are to be settled through the established Faculty Appeals Procedures (see Section 2.27).

2.20.8 CODE OF PROFESSIONAL ETHICS

Although no set of rules or professional code can take the place of the faculty member's personal integrity, the University believes that the *Statement of Professional Ethics* promulgated by the AAUP in 1987 may serve as a guide to the various obligations inherent in the academic profession. The University endorses this statement and expects its faculty to adhere to it.

The Statement

I. 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 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.

II. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals, and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to assure that their evaluations of students reflects 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.

III. As colleagues, professors have obligations that derive from their 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 debts and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

IV. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of the 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.

V. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

Adapted from the AAUP, *Statement on Professional Ethics*, 1987

Disputes involving a charge that professional ethics have not been maintained are to be settled through the established Faculty Appeals Procedures (see Section 2.27).

2.20.9 HARASSMENT

Refer to Appendix 2.20.9.

2.20.10 FACULTY-STUDENT RELATIONSHIPS

Refer to Appendix 2.20.10.

2.20.11 RESEARCH POLICIES AND PROCEDURES

Use of animals, involvement of human beings, use of biological material, and use of radioactive materials all require notification/approval of the appropriate committee of the institutional review board (see Sections 1.6.2.9, 1.6.2.10 and 1.6.2.11), whether or not external funding is involved. All research involving human subjects must be approved by the Institutional Review Board (IRB). Submit the Institutional Review Board Protocol, the consent form, and other appendices and supporting material to the IRB chair by the first Tuesday of the month in which the IRB review is desired.

2.20.12 RESPONSIBILITY FOR USE OF COPYRIGHTED MATERIALS

Faculty members are responsible for knowing and observing the laws concerning the use of copyrighted material. Refer to Appendix 2.20.12.

2.20.13 INSTITUTIONAL RESPONSIBILITY FOR FACULTY LIABILITY

Benedictine University provides indemnification insurance that covers all faculty members acting within the scope of their employment.

2.20.14 ACCEPTABLE USE OF THE UNIVERSITY TECHNOLOGY RESOURCES

Refer to Appendix 2.20.14.

2.21 FACULTY DEVELOPMENT

Benedictine University expects and encourages faculty members to engage in continuing development in research and teaching in areas related to their roles in the University. Such development includes presenting scholarly works, further study in the faculty member's field, study to enhance teaching and learning, study to enhance advising skills, participation in professional organizations, and renewal or research through sabbatical or academic leaves.

2.21.1 ROLE OF FACULTY DEVELOPMENT COMMITTEE

The Faculty Development Committee develops guidelines for utilization of University funds allocated to faculty development and considers applications for sabbatical leaves. See Section 1.6.2.5.

2.21.2 PROFESSIONAL MEETINGS

All faculty members are encouraged to attend professional meetings, workshops, and conferences in their fields of study.

2.21.2.1 Eligibility, Application, and Selection

The Faculty Development Committee develops guidelines for utilization of University funds allocated to faculty development, considers applications for sabbatical leaves, and makes recommendations regarding sabbatical leaves to the Provost and Chief Academic Officer.

2.21.3 PROFESSIONAL SOCIETY MEMBERSHIPS

Each Regular and Professional faculty member is encouraged to participate in professional organizations in his/her field. The University will pay for one professional membership per year. Department Chairs [or Program Directors] include such membership fees in their annual budget. If a faculty member wishes to belong to more than one professional organization, it is expected that the individual will continue additional memberships at his/her own expense.

2.21.4 SABBATICAL LEAVES

Sabbatical leaves are intended to enhance the academic quality of the University by providing the faculty member with an opportunity for professional growth over an extended and uninterrupted period. Such opportunities allow the faculty member to engage in full-time scholarly research, specialized study related to one's field, writing, participation in programs designed to improve teaching, or other scholarly activities.

The number of sabbatical leaves granted for any one academic year will be based on the academic feasibility of releasing the faculty member for the period requested and by the funds available for granting such leaves.

The Faculty Development Committee determines criteria and establishes procedures upon which it bases its decisions. Criteria include:

- 1) objectives as they relate to improving the instructional program and enhancing the professional development of the applicant;
- 2) where other institutions are involved, evidence of acceptance of the faculty member's program or project by the institution offering advanced study or research;
- 3) record of the faculty member's accomplishment of goals and objectives as documented in the Dean's recommendation;
- 4) Consideration of given outcomes of previous leaves, time elapsed since the last leave, and number of previous leaves;
- 5) distribution of applicants by academic area. If there is more than one application in a given academic area, the Dean, in consultation with the Department Chair/Program Director, will assign a priority ranking based on the above four criteria.

2.21.4.1 Eligibility

- a. A Regular Faculty member with tenure;
- b. a Regular Faculty member with six or more consecutive years of full-time equivalent service as a regular faculty member at Benedictine University;
- c. a sabbatical leave may be granted to the same person no more than once in any six years.

2.21.4.2 Compensation

A Regular Faculty member whose appointment is for two semesters per year may receive one semester of sabbatical leave at full salary for that term or two semesters leave at two-thirds of full annual appointment salary.

A Regular Faculty member whose appointment is for three quarters per year may receive one quarter of sabbatical leave at
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full salary for that quarter, two quarters leave at three-fourths salary for each of those quarters, or three quarters leave at two-thirds of full annual appointment salary.

2.21.4.3 Application and Decision

A Regular Faculty member may apply when eligible for sabbatical using the following procedure:

- a. The objectives of the sabbatical are to promote faculty development and to stimulate scholarship and teaching excellence at the University. It may include a detailed plan for formal study at an institution other than Benedictine University, full-time research, full-time writing or other experiences. Rationale for how the sabbatical will improve the quality of service of the faculty member should be stated. If a substantive work (article, book, artistic production, etc.) will result, it should be described.
- b. Eligible faculty developing a proposal for a sabbatical should follow guidelines issued by the Faculty Development Committee.
- c. The application must include a statement from the Department Chair and Dean supporting or opposing the sabbatical leave and detailing the need for replacement personnel.
- d. The application, including the proposal is due November 1. (*See Proposal Guidelines*, Office of the Provost and Chief Academic Officer) Applications are submitted to the Office of the Provost and Chief Academic Officer for consideration. Deadline for receipt of applications is no later than November 1 of the year prior to the academic year in which the leave would occur.
- e. The Faculty Development Committee will review applications, request information, and make its recommendation to the Provost and Chief Academic Officer no later than December 1.
- f. The Provost and Chief Academic Officer will make a final decision no later than December 15, notifying the Dean, Department Chair, and faculty member.
- g. Faculty members are encouraged to apply for external funding. Such funding will strengthen your application.
- h. The University's policy on sabbaticals is that the institution makes certain sacrifices in order to subsidize the time for sabbaticals at full pay for one semester or 2/3 pay for one year. This release time is the University's contribution to the faculty member's professional development. It is University policy that you cannot apply for faculty development funding during your sabbatical.

2.21.4.4 Acceptance of Sabbatical Leave

Accepting a sabbatical leave imposes certain obligations on the recipient and on the University as described herein.

2.21.4.4.1 Outside Employment

A faculty member on sabbatical leave may accept fees without special approval for a few lectures or a few days consulting. No substantial work for remuneration should be undertaken without prior approval of the Dean and the Provost and Chief Academic Officer. However, a faculty member may accept a fellowship or grant provided the acceptance of such a stipend does not impose upon the recipient duties and obligations that would be incompatible with the purpose for which the sabbatical leave was granted.

2.21.4.4.2 Return to the University

A faculty member accepting a sabbatical leave agrees to remain in the service of the University for at least one year following completion of the sabbatical leave or to refund the full salary and institutional costs of fringe benefits received while on leave. If a faculty member returns, but fails to perform the full year return-to-service obligation, then his/her repayment obligation shall be prorated. Any repayment obligation shall be due in full, one calendar year after the end of the leave period or any subsequent, successive leave periods. A faculty member who cannot perform the return-to-service obligations due to death or permanent or total disability, shall be released of all repayment obligations.

2.21.4.4.3 Status of Appointment

Upon return from sabbatical leave, faculty members will be granted salary increases that were given during their leave. They shall maintain tenure, insurance, and all other accrued benefits. The leave time will be counted toward time in rank for purposes of promotion.

2.21.5 ACADEMIC LEAVE

Academic leaves are intended to enhance the academic quality of the University by providing the faculty member with an opportunity for professional growth over an extended and uninterrupted period. Academic leaves are to be used for cases in which the sabbatical policy does not apply because of eligibility of the faculty member or the type of activity proposed. Examples of situations in which academic leave would apply might include but not be limited to the following:

- a. a unique opportunity for professional growth is available and would ordinarily qualify as a sabbatical activity, but the faculty member has not had six years since the last sabbatical;
- b. a faculty member has the opportunity to participate in a faculty exchange program;
- c. it is in the best interests of the University to support an educational or professional activity for any Regular Faculty member, including those on probationary contracts.

2.21.5.1 Application and Decision

The applicant for academic leave should present to the Dean a detailed plan describing the activity and rationale for how it will improve the quality of service of the faculty member. The application should generally be submitted on or before January 2 for leaves planned during the following academic year. It should be accompanied by statements from the Department Chair [or Program Director] in support or opposition of the leave and detailing the need for replacement personnel.

The Dean will make a recommendation to the Provost and Chief Academic Officer who will make the final decision including terms and conditions of the leave.

2.21.5.2 Compensation

The salary of the faculty member on academic leave will be the regular salary less the maximum amount necessary to adequately staff the position with replacement personnel.

2.21.5.3 Appointment Status and Other Conditions

Terms and conditions of the leave will be stated by the Provost and Chief Academic Officer in the academic leave agreement.

2.22 ACTIVITIES BEYOND THE SCOPE OF THE APPOINTMENT

Faculty have special rights in *academe*. Among these special rights are those pertaining to academic freedom, tenure, and the right of latitude in self-motivation and self-governance in work efforts. While it is usual for faculty to enjoy input into scheduling of classes taught, and to schedule office hours, research time, and other academic work activities to utilize personal work habits most effectively, there is the tacit assumption that each Regular, Professional and Term Faculty member devotes sufficient time and effort to faculty responsibilities each week while under appointment so as to be *de facto* a full-time employee of the University. While it is valid for Regular, Professional and Term Faculty members to vary the parceling of work efforts among activities such as research, committee work, student-related activities, etc., it is never acceptable to slight these responsibilities in favor of outside employment or other activities not directly related to professional academic responsibility.

Members of the Regular, Professional and Term Faculty are required to devote their major time and attention to University duties while under appointment except when on leave or otherwise officially excused in writing.

The University recognizes the right of a faculty member to serve as an expert witness or consultant, or to engage in professional activities consistent with University commitments, since these activities can be a valuable adjunct to faculty development.

No member of the Regular, Professional or Term Faculty shall be engaged in any activity that, in the judgment of the Dean, interferes with the thorough, efficient, and earnest performance of his or her appointment duties. The Provost and Chief Academic Officer has the authority to make the final decision in these matters.

Permission for activities beyond the scope of the appointment, including paid overload teaching on campus, must be requested in writing from the Dean. As a general rule, permission will only be given for activities that are professional in nature and that do not require more than approximately one day per week of a faculty member's time.

2.22.1 USE OF UNIVERSITY FACILITIES AND SERVICES

University facilities may be used by faculty members in connection with the academic or scholarly activities described in Sections 2.20 without being subject to any requirement of prior approval.

While faculty members may utilize the services of the support staff of their respective departments/programs to assist in the preparation of professional articles, papers, reviews, etc., such assistance will be secondary to preparation of instructional materials and department work.

Except for the use of office space assigned to a faculty member and available library services, University facilities (including computers and other equipment) may be used by faculty members in connection with outside activities only after written approval by the Department Chair [or Program Director], the Dean, and the person responsible for operating the facility or equipment. In all cases, the faculty member or his or her outside employer or sponsor will pay the rate established by the University for the use of the facility, equipment, materials, or services.

2.22.2 USE OF THE UNIVERSITY NAME AND SEAL

The University's name and seal are the exclusive property of the University and, consequently, may not be used in connection with goods or services offered by any outside organization without the prior permission of the Provost and Chief Academic Officer.

Official University stationery may not be used in connection with outside activities except with respect to those academic and professional activities described in Section 2.20.

No report or statement relating to outside activities may use the name of Benedictine University. The use of official University titles for personal gain or publicity is prohibited without the written approval of the Provost and Chief Academic Officer.

2.22.3 UNIVERSITY ASSUMES NO RESPONSIBILITY

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

2.22.4 POLITICAL ACTIVITY

Faculty members, as citizens, are free to engage in political activities. Faculty must not, however, act or speak on behalf of the University regarding any personal, political or social beliefs they hold. Any member of the Regular, Professional or Term Faculty who wishes to engage in direct political activity which will involve a substantial amount of time away from the performance of his or her University responsibilities (e.g., holding or running for political office, managing a campaign, directing group action on behalf of a political candidate or issue) is expected to work out a mutual agreement for leave of absence with the Department Chair [or Program Director] and the Dean before undertaking such activity.

The terms of such leave of absence will be set forth in writing (see Section 2.24.2), and the leave will not affect unfavorably the tenure status of a faculty member, except that time spent on such leave will not count as probationary service unless otherwise agreed to.

2.22.5 COMPLIANCE AND ENFORCEMENT

The Dean and Department Chair [or Program Director] are available for advance consultation with respect to potential

conflicts between a faculty member's primary responsibility and outside activities. The University expects faculty members to seek advice from these sources. If the Department Chair [or Program Director] or the Dean is concerned about whether a faculty member is meeting the standards of this policy, the Chairperson [or Program Director] will discuss this with the faculty member. If a satisfactory resolution cannot be reached, the Chairperson [or Program Director] will advise the Dean. The Dean will meet with the faculty member to resolve the issue.

2.23 WORKING CONDITIONS

2.23.1 ACADEMIC YEAR

Faculty service corresponds to the regular academic calendar issued by the Registrar and approved by the Provost and Chief Academic Officer. An individual appointment may amend these terms. The regular academic year includes the Fall, Winter, and Spring terms.

The major appointment obligation for a Regular, Professional and Term Faculty member begins no later than the appropriate Opening Faculty Meeting and concludes with the appropriate Commencement Convocation or the last day of the spring term/session in which the faculty member's assigned classes are scheduled, whichever finishes last.

2.23.2 CREATIVE WORKS

2.23.2.1 Interest in Creative Works

It is the policy of Benedictine University not to interfere with the rights of the faculty and staff to write, create, produce, or otherwise generate works or products that are copyrightable, patentable, or of commercial value, on their own initiative. Any such materials written, created, produced, or otherwise generated by a member of the faculty or staff shall remain the exclusive property of the faculty or staff member, and that person shall have the sole right of ownership and disposition, unless the materials are written, created, produced, or otherwise generated "for hire."

Materials written, created, produced, or otherwise generated "for hire" are defined as inventions, creations, manuscripts, or other works or things of commercial value which are written, created, produced, or otherwise generated by faculty and staff members who are: engaged by the University specifically to write, create, produce, or otherwise generate such materials or to conduct the research or other activity which produced anything included in the material(s); are released from other University responsibilities in order to write, create, produce, or otherwise generate the materials; or, engage a substantial use of University resources in the writing, creation, production, or generation of the materials. Any copyrightable, patentable, or otherwise commercially valuable materials written, created, produced, or otherwise generated "for hire" will belong completely and exclusively to the University subject to this policy.

Copyrightable materials include but are not limited to books, pamphlets, brochures, or other printed materials; films, video or audio tapes; computer programs or computer-based instructional materials; musical compositions; and any and all copyrightable materials covered by the copyright laws of the United States or any foreign government, as amended. Patentable works include but are not limited to inventions, creations, and any and all things patentable under the patent laws of the United States or any foreign government, as amended. Materials of commercial value are any materials that the University, in its sole discretion, determines to have commercial value.

Materials written, created, produced, or otherwise generated pursuant to or under the sponsorship of an outside agency or governmental grant shall be subject to the copyright, patent, and exploitation terms and conditions of said grant, contract, or agreement. If no such terms and conditions are stated, then the materials produced by the faculty or staff member shall be subject to the terms of this policy.

Faculty or staff members who write, create, produce, or otherwise generate copyrightable, patentable, or other commercially valuable materials using University resources shall be governed by the following principles in determining what constitutes substantial use of resources:

- a. The following resources may be used by faculty and staff members for their creative and/or intellectual pursuits at institutionally authorized levels without accounting for "substantial use" under this policy:

1. Personal office space.
 2. Local telephone calls.
 3. Personal computers.
 4. Library facilities.
 5. Other faculty or staff members as consultants.
- b. Additional University resources or resources included in Section (a) used at greater than institutionally authorized levels, when used by the faculty or staff members for the writing, creation, production, or generation of copyrightable, patentable, or other commercially valuable materials using University resources constitutes substantial use of University resources and the faculty or staff member shall keep accurate and detailed records reflecting his/her use of the resources. Records of utilization must include actual hours or quantity of use and estimated or actual cost or value of each resource used.

Any faculty member who writes, creates, produces, or otherwise generates any copyrightable, patentable, or potentially commercially valuable materials while in the employ of the University shall submit a written statement to the Provost and Chief Academic Officer describing the circumstances under which the University resources have been or will be utilized, the extent of the utilization, and the necessity of the use.

The Provost and Chief Academic Officer will, within thirty (30) business days following submission of the written description, make a decision and notify in writing the faculty member whether the materials were written, created, produced, or otherwise generated "for hire". If the Provost and Chief Academic Officer finds that the materials were written, created, produced or otherwise generated as works "for hire," the material then shall become the property of the University according to the terms and conditions of this policy. The faculty member shall assign all of his/her rights to the University by a written assignment and, in the case of a refusal to sign, does appoint as a condition of employment, the President of the University, as his/her attorney-at-fact, to execute an assignment of behalf of the faculty member in accordance with the terms of this policy. The faculty member, upon such assignment of rights, shall be entitled to receive 20% of the net profits, if any, derived from the commercial exploitation or dissemination of the materials.

When the University has obtained rights of whatsoever kind of nature in copyrightable, patentable, or commercially valuable materials which have been written, created, produced, or otherwise generated by faculty members, then the terms and conditions of this policy shall be binding upon all parties in regard to the copyrightable, patentable, or commercially valuable materials until all of the following conditions have been met:

- a. for a minimum of five (5) calendar years from the date of assignment;
- b. until such time as the University has recovered all the expenses and costs attributable to the writing, creation, production, generation, and/or exploitation of the materials;
- c. for so long as the faculty member is employed by the University plus an additional three (3) calendar years from the calendar date of cessation of employment for whatever reason; and
- d. until the University's copyright, patent, or contract rights expire.

2.23.2.2 Policy Revisions

Copyright and patent law is a constantly changing area of expertise. Due to changes in the laws which may occur, this policy may undergo revision from time to time in order to adapt to the legislative changes or differing interpretations of the laws. The policy shall be reviewed by the Provost and Chief Academic Officer who shall recommend necessary changes to the Faculty Welfare Committee. All faculty will receive updated information on the changes as they occur.

2.23.3 HAZARDOUS WASTE DISPOSAL

Refer to Appendix 2.23.3

2.23.4 FUND-RAISING POLICY

Refer to Appendix 2.23.4

2.23.5 DRUG-FREE WORKPLACE

Refer to Appendix 2.23.5

2.23.6 SMOKING ON CAMPUS

Refer to Appendix 2.23.6

2.23.7 WORKPLACE VIOLENCE

Refer to Appendix 2.23.7

2.23.8 WHISTLEBLOWER PROTECTION POLICY

Refer to Appendix 2.23.8

2.23.9 CONFLICT OF INTEREST POLICY

Refer to Appendix 2.23.9

2.23.10 RESEARCH MISCONDUCT POLICY

Refer to Appendix 2.23.10

2.23.11 PREGNANCY RIGHTS NOTICE

If you are pregnant, recovering from childbirth, or have a condition related to pregnancy, you have the right to ask for a reasonable accommodation. This includes bathroom breaks, assistance with heavy lifting, a private space for expressing milk, or time off to recover from your pregnancy. For more information regarding your rights on Pregnancy in the Workplace, download the Illinois Department of Human Rights fact sheet at www.illinois.gov/dhr, or refer to the posted “Pregnancy Rights Notice.”

2.24 LEAVES OF ABSENCE

This section deals with leaves of absence that are not sabbatical or academic leaves (see Sections 2.21.4 and 2.21.5). In all cases below, business days refer to days within the academic year defined for the particular faculty member requesting leave. Leave requests will be administered in compliance with the provisions of the law through the Office of the Academic Affairs and the Human Resources Department. Faculty should contact the Human Resources Department in connections with the inception and conclusion of any leave. Family and Medical Leave Act of 1993 (FMLA) provisions, where applicable, take effect where short term leave with pay provisions do not apply.

Leave of absence without pay may be granted to a regular or professional faculty member at the discretion of the Provost and Chief Academic Officer generally for one year but not to exceed two years.

Requests for short term leaves with pay are submitted in writing to the Provost and Chief Academic Officer through the Dean. When possible, reasonable advance notice should be given to allow arrangements to be made to cover the faculty member’s responsibilities. The requirement for advance request may be waived by the Provost and Chief Academic Officer in emergency situations. Leaves must be approved in writing by the Provost and Chief Academic Officer.

Faculty members on short term leave will be considered eligible for rank and tenure considerations, with no breaks of service and will return to the same position and rank in the same department with responsibilities similar to those held prior to the leave. Time spent on leaves with pay shall count toward tenure or promotion and is credited toward time in service for sabbatical leave unless the individual and the University agree in writing prior to the beginning of the leave. Fringe benefits are not affected by such leaves. All non-contributory coverage will remain in place for the duration of the leave. The faculty member is required to continue contributions to those coverages for which contributions are normally required, if coverage is desired.

Faculty members on short term leave may accept fees without special approval for a few lectures or a few days consulting. However, no substantial work for remuneration should be undertaken without prior approval of the Dean and the Provost and Chief Academic Officer.

2.24.1 MILITARY LEAVE (USERRA)

Military leave will be granted as provided by law for military services whether voluntary or involuntary. Whenever possible, request military leave at least two weeks in advance before the date the leave will begin. The request should be accompanied by a copy of the order. Please contact Human Resources for further information.

2.24.2 CIVIL DUTY

A Regular, Professional or Term Faculty member summoned to involuntarily serve as a juror or subpoenaed to appear before a judicial, legislative, or administrative body with civil power to compel attendance, shall receive short leave. It is expected that the faculty member will make every reasonable effort to schedule such duties to avoid interruption of faculty responsibilities.

2.24.3 BEREAVEMENT

A Regular, Professional or Term Faculty member may request short leave with pay for up to seven (7) business days to make arrangements for and/or attend the funeral of an immediate family member. "Immediate family member" shall be defined to mean spouse, children, step-children, father, mother, brother, sister, mother-in-law, father-in-law, niece, nephew.

2.24.4 PATERNAL AND ADOPTION LEAVE

The University is committed to supporting paternity and adoption leaves for all benefit eligible employees. This leave is intended to provide employees up to six (6) weeks of continuous leave to provide paternal care immediately following the birth of a child or to provide parental care immediately following the adoption of a child. Please contact the Director of Human Resources for further information.

2.24.5 PERSONAL EMERGENCY LEAVE

A Regular, Professional or Term Faculty may request short leave with pay up to fourteen (14) business days for a personal emergency. It is expected that the faculty member will make a demonstrable effort to help avoid interruption of faculty responsibilities.

2.24.6 FAMILY CARE LEAVE

After two (2) years of service at the University, a Regular or Professional Faculty member may be granted a family care leave. The Family Care Leave policy is intended to be flexible to meet the needs of both the faculty member and the University. It is expected that the faculty member will make arrangements as far in advance as possible, to limit the interruption of University activities. Written application for family care leave should be made to the Dean, to be forwarded to the Provost and Chief Academic Officer. Final approval of any leave rests with the Provost and Chief Academic Officer.

A faculty member may be granted a family care leave to care for a dependent child under the age of twelve (12) months, or to care for a member of his/her immediate family who suffers from a serious medical or psychological condition, as documented by an appropriate physician. This leave will be granted for up to a full semester (or equivalent), for full salary less the actual amount necessary to staff the position with part-time per course replacement personnel. This leave may be taken immediately after a short-term disability leave due to maternity, after the disability ceases, or after an paternal and adoption leave (see Section 2.24.4). Written application may be made to the Dean for extension of the family care leave or a leave without pay.

A faculty member on family care leave may accept fees without special approval for a few lectures or a few business days consulting. However, no substantial work for remuneration should be undertaken without prior approval of the Dean and the Provost and Chief Academic Officer.

A faculty member on family care leave will be considered eligible for rank and tenure considerations, with no breaks in service and will return to the same position in the same department with responsibilities similar to those held prior to the leave, unless the position is no longer available [refer to section 2.19.2.2 regarding processes for termination of faculty]. All non-contributory insurance coverages will remain in place for the duration of the leave. The faculty member is required to continue contributions to those coverages (dependent health, basic and/or voluntary retirement, etc.) for which contributions are normally required, if coverage is desired.

2.24.7 FAMILY AND MEDICAL LEAVE ACT (SHORT TERM LEAVE WITHOUT PAY)

The Family and Medical Leave Act (FMLA) enacted by Congress in 1993 provides eligible employees up to twelve (12) weeks of unpaid, job-protected leave per year for family and medical reasons. Please contact the Director of Human Resources for further information.

2.25 BENEFIT OPPORTUNITIES

Refer to Appendix 2.25

2.26 COMPENSATION POLICIES

2.26.1 FACULTY SALARIES

The Faculty Welfare Committee will make annual recommendations for adjustments to faculty salaries to the Provost and Chief Academic Officer on behalf of the faculty.

2.26.2 SUMMER SCHOOL FACULTY SALARY SCHEDULE

Refer to Appendix 2.26.2.

2.26.3 OVERLOAD COURSES

Regular, Professional and Term Faculty who teach additional courses as an overload for additional compensation will be compensated by the appropriate Part-Time Per Course Faculty Salary Schedule.

2.26.4 COMPENSATION FOR ADMINISTRATIVE ASSIGNMENTS

Faculty members may be compensated for administrative assignments through stipends, released time, and additional salary. The amount of additional compensation associated with a particular administrative position will be stated in the letter of appointment.

2.26.5 PROMOTION AND ADVANCEMENT WITHIN RANK

When a faculty member is promoted or receives advancement within rank, the faculty member's base salary for the new rank will be increased 11.1%.

2.26.6 THIRD-YEAR REVIEW

When a Regular faculty member receives a successful third-year review, the faculty member's base salary for the following probationary appointment will be increased 5.55%.

2.26.7 DISTINGUISHED FACULTY AWARDS

The Benedictine University Distinguished Faculty awards recognize and celebrate significant achievements of the faculty in the areas of teaching, research, and service, which serve as models for all faculty members. Normally, a maximum of one award for teaching, one award for research, and one award for internal or external service may be made each year. An honorarium, a public citation, a press release, an appropriate addition to a University plaque, and presentation at a University Awards Convocation will celebrate the honorees' achievements.

2.26.7.1 Eligibility

All full-time Regular, Professional and Term Faculty members are eligible to receive these awards.

2.26.7.2 Nomination

Any member of the Benedictine University community may nominate a faculty member for these awards. A faculty member may nominate him or herself. Nominations must include a cover letter detailing the nominee's exemplary accomplishments in teaching, research, or service, and three (3) additional letters of recommendation. In addition, the Chair of the nominee's department and the Dean of the nominee's college have the opportunity to support or object to a nomination. Such recommendations will not in itself block a nomination but will be considered in the decision process.

If the nomination is for teaching, the nomination must include at least one letter from a student or group of students attesting to the nominee's teaching excellence, and at least one letter from a Benedictine faculty member, also attesting to the nominee's teaching excellence. Also, the nomination letter must include, as attachments, all the summary results of the student evaluations for the nominee's courses for the previous two semesters/quarters.

If the nomination is for research, the nomination must include at least one letter from a faculty reviewer at another university, at least one letter from a Benedictine University faculty member in the same or a related department, and at least one letter from a Benedictine University faculty member in a non-related department, all attesting to the significance and value of the nominee's research.

If the nomination is for internal service (i.e., service within the Benedictine University community), the nomination must include at least one letter from a member of the Benedictine University community who worked with the nominee, attesting to the leadership and collegiality displayed by the nominee.

If the nomination is for external service (i.e., service to those outside the Benedictine University community), the nomination must include at least one letter from someone outside the Benedictine University community, who worked with the nominee, attesting to the leadership and collegiality displayed by the nominee.

If the nomination is for internal or external service, the nomination must include at least one letter from a member of the served population, attesting to the significance and value of the service.

All nominations are due to the Office of the Provost and Chief Academic Officer by March 31.

2.26.7.3 Decision Criteria

Decisions for the Faculty Awards will be based on significant achievements in the areas of teaching, research, and service, which serve as models for all faculty.

2.26.7.4 Decision Process

The Deans may choose from among all complete nominations received by the deadline (a nomination is complete if it includes all the information described above under Nomination). By April 15, the Deans will make recommendations to the Provost and Chief Academic Officer, who will make the final decision.

2.26.7.5 Action on Faculty Awards

The Office of Academic Affairs will inform the University community at the Employee Recognition celebration.

2.26.9 SALARY PAYMENTS

Salary payments are issued according to appointment provisions. This is usually semi-monthly over a twelve-month period for regular and term faculty, unless other appointment arrangements have been made. Salary payments for adjunct faculty are specified in the letter of appointment

2.26.9 WAGE INFORMATION

The amount of a faculty member's earnings is considered confidential and is to be treated accordingly by all University personnel.

2.27 FACULTY APPEALS PROCEDURES

2.27.1 INTENT

The University recognizes and endorses the importance of academic due process and of considering appeals properly without fear of prejudice or reprisal. Accordingly, the University agrees to use its best efforts to encourage the informal and prompt settlement of the appeal, and the orderly processes hereinafter set forth are designed to protect academic due process, academic freedom, and tenure. It is the intent of the University that these processes be the sole method for the resolution of all appeals.

When a complaint substantially similar to an appeal under this procedure has been filed with an outside agency, the Faculty Appeals Committee shall not hear the matter, unless there is evidence that such a hearing would facilitate resolution of the complaint. However, any such complaint that has been filed and resolved by an outside agency cannot then be presented as an appeal.

2.27.2 FACULTY APPEALS COMMITTEE

Section 1.5.2.8 describes the Faculty Appeals Committee that will serve as the review committee for any appeal.

2.27.3 PROCEDURE FOR HANDLING APPEALS

2.27.3.1 Termination for Lack of Fitness as a Faculty Member

The Faculty Appeals Committee procedures for formal adjudicative hearings in case of termination for lack of fitness as a faculty member are described in Section 2.19.2.1.

2.27.3.2 Procedures for Appeals of Decisions Regarding Denial of Promotion or Tenure or Advancement Within Rank, Denial of Faculty Development Funds, or Placement of the Faculty Member Within the Salary Schedule

If a faculty member alleges that a decision regarding denial of promotion or tenure or advancement within rank, denial of faculty development funds or placement of the faculty member within the salary schedule was based on inadequate consideration in terms of the relevant standards set forth in this Faculty Handbook, the Committee will not substitute its judgment on the merits for that of the deciding person or persons. If the Committee believes that adequate consideration was not given to the faculty member's qualifications, it may request reconsideration by the deciding person or persons, indicating the respects in which it believes the consideration may have been inadequate.

Refer to sections 2.3.7 for details regarding the appeal procedures for denial of promotion or tenure or advancement within rank, or placement within the salary schedule.

A faculty member who considers the denial of faculty development funds is unacceptable must submit a written appeal to the Provost and Chief Academic Officer within ten (10) business days of receipt of the letter informing the faculty member of the denial of the funds. The Faculty Appeals Committee will review the appeal and recommend action to the Provost and Chief Academic Officer. The Provost and Chief Academic Officer will make the final decision and inform the faculty member of the decision within twenty (20) business days after the receipt of the recommendation from the Faculty Appeals Committee.

2.27.3.3 Procedures for Appeals of Non-Renewal of Probationary Appointments, or Termination Because of Discontinuance or Enrollment Emergency, or Suspension

2.27.3.3.1 Step I - Informal Resolution

Upon receipt of an appeal, the Faculty Appeals Committee will send, within five (5) business days, a copy of the appeal to all named respondents. The Committee will attempt to settle the appeal by informal methods. In the course of doing this, the

Committee will collect all pertinent documents and will conduct informal discussions with and/or between the concerned parties, at all times preserving the confidentiality of its proceedings.

When an appeal is resolved by these informal methods, the resolution shall be put in writing by the Committee and given to the appellant and the President of the University. Such resolutions shall not constitute a binding precedent in the disposition of similar appeals. No offer of settlement of an appeal by either party or a suggested resolution by the Committee shall be admissible as evidence in formal appeal proceedings or elsewhere.

If the appeal cannot be resolved by informal methods, the Faculty Appeals Committee will determine if a formal appeal hearing shall be conducted.

2.27.3.3.2 Step II – Notice of Hearing

When a formal appeal hearing is to be conducted, the Faculty Appeals Committee will notify the parties involved and will conduct the hearing.

- a. Written notice will be given to the President of the University and all of the parties to the appeal that a formal appeal hearing is to take place.
- b. The Committee will set a date, time, and place for the appeal hearing that is agreeable to all parties concerned. The arrangements should be completed within fifteen (15) business days after receipt of the appeal by the Committee.
- c. The appeal hearing will begin no more than thirty (30) business days after completion of the arrangements.

2.27.3.3.3 Step III – Hearing Procedure

The Faculty Appeals Committee's procedures shall be as follows:

- a. Members deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of one party or on their own initiative. Each party will have one challenge without a stated cause.
- b. The Faculty Appeals Committee may, with the consent of the parties concerned, hold joint prehearing meetings with the parties in order to (i) simplify the issues, (ii) elicit stipulations of facts, (iii) provide for the exchange of documentary or other information, and (iv) achieve such other appropriate prehearing objectives as will make the hearing fair, effective and expeditious.
- c. Service of notice of hearing with specific charges in writing will be made at least twenty (20) business days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges, the Committee will evaluate all available evidence and rest its recommendation upon the evidence in the record.
- d. The Faculty Appeals Committee, in consultation with the Provost and Chief Academic Officer and the faculty member, will exercise its judgment as to whether the hearing should be public or private.
- e. During the proceedings the faculty member will be permitted to have an academic advisor and/or counsel of his or her choice.
- f. At the request of either party or the Committee, a representative of a responsible educational association shall be permitted to attend the proceedings as an observer.
- g. A verbatim record of the hearing or hearings will be taken and a copy will be made available to the faculty member without cost, at the faculty member's request.
- h. The burden of proof that adequate cause exists rests with the University and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
- i. The Committee will grant adjournments to enable either party to investigate evidence about which a valid claim of surprise is made.
- j. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the Committee in securing witnesses and making available documentary and other evidence.
- k. The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the Committee determines that the interests of justice require admission of their statements, the Committee will identify the witnesses, disclose their statements, and if possible provide for interrogatories.
- l. In any hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.
- m. The Committee will not be bound by strict rules of legal evidence, and may admit any evidence that is of probative value

in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.

- n. The findings of fact and decision will be based solely on the hearing record.
- o. Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the Board of Trustees. The President and the faculty member will be notified of the decision in writing and will be given a copy of the record of the hearing.
- p. In all cases except dismissal or suspension, the burden of the proof shall be on the grievant. In any case of dismissal or suspension, the burden of proof that adequate cause exists for the action shall be on the University, which proof shall be by clear and convincing evidence. If the Committee concludes that adequate cause for dismissal has not been established by the evidence in the record, it will so report to the President. If the President rejects the report, reasons for doing so will be stated in writing to the Faculty Appeals Committee and to the faculty member, and provide an opportunity for response before transmitting the case to the Board of Trustees.

2.27.3.3.4 Step IV – Report and Decision

The Committee will present its report in writing within five (5) business days of the conclusion of the hearing to both parties and the President of the University. The President will make the decision within ten (10) business days after receipt of the report.

2.27.3.3.5 Step V – Appeal of the President's Decision

The appellant[s] may file an appeal in writing within ten (10) business days of the receipt of the President's decision. Such an appeal is filed with the Chairperson of the Board of Trustees. The Executive Committee of the Board of Trustees will then review the record of the case at its next meeting and will render a final decision on the grievance within ten (10) business days of that meeting to all parties. In case of any discussion over Presidential involvement the Executive Committee of the Board of Trustees shall be the sole judge of such involvement.

2.27.4 GENERAL PROVISIONS

The filing or pendency of any appeal under the provisions of this Section shall not prevent the University from taking the action complained of, subject however, to the final decision on the appeal.

Failure at any step of this procedure to communicate the decision on the appeal within the specified time limits, or such additional period of time as shall be mutually agreed upon in writing, shall permit the appellant to proceed to the next step.

Failure at any step of this procedure to continue an appeal to the next step within the specified time limits, or such additional period of time as may be mutually agreed upon in writing, shall be deemed to be acceptance of the decision rendered at the step.

Extensions of time will normally be granted for good and sufficient reasons (e.g., illness) by mutual agreement.

2.28 PROCEDURE FOR REVISION OF THE *FACULTY HANDBOOK*

The authority for final approval of *Faculty Handbook* revisions is vested in the Board of Trustees. However, the faculty enjoys the right of participation in deliberations concerning revision of the contractual portions of this *Handbook*. For sections of the *Handbook* that deal with University-wide issues, this participation is implemented by faculty membership on the Faculty Welfare Committee, and by Faculty Assembly consideration of proposed *Handbook* revisions prior to final consideration by the Board of Trustees. For sections of the *Handbook* that deal with College-specific issues, this participation is implemented by the College faculty's consideration of proposed *Handbook* revisions prior to final consideration by the Board of Trustees. Moreover, each Regular, Professional or Term Faculty member may introduce suggested changes to the *Handbook* according to the procedure set forth below.

The following procedure is adopted as an orderly and a timely process for the initiation and consideration of revisions for Part 2 Sections [excluding sections 2.4.1, 2.20.9, 2.20.12, 2.20.14, 2.23.3 (and successive subsections of 2.23 as mandated

by federal compliance statutes), 2.24.3, 2.24.6, and 2.25] of this Faculty Handbook, along with all appendices associated with those sections. In addition, Part 1, Sections 1.5 and 1.6 of the Faculty Handbook, along with all appendices associated with those sections, will be revised using this procedure. The Provost and Chief Academic Officer, or his/her designee, will work with Human Resources to ensure that any changes in the *Employee Manual* are included in proposed changes to the *Faculty Handbook* for inclusion into the *Handbook* prior to the issuance of faculty letters of appointment.

When appropriate, all proposed revisions to the *Faculty Handbook* will be approved by the University's legal counsel.

2.28.1 PROPOSED REVISIONS

Proposals for revising the Sections of the *Faculty Handbook* listed above can be made by the Board of Trustees, the President, the Provost and Chief Academic Officer, the Faculty Welfare Committee, or any person or quasi-person (i.e., committee, council) connected with the University.

While the manner of making such proposals is a matter of individual style and custom, it is recommended that:

- a. proposals be made in the form of texts intended to replace, in whole or in part, some current section of the *Faculty Handbook*;
- b. a particular proposal contain no more than one alteration or substitution;
- c. a brief explanation of the rationale for proposing the revision accompany the proposal; and
- d. recognized governing bodies or committees pass upon such proposed revisions by their own procedures or by a simple majority vote of the voting membership of such a body or committee.
- e. Proposals should be submitted in a timely fashion

When legal compliance issues may render existing policies out of compliance or when changes in the administrative governance structure affect existing policies and procedures, revisions to the *Handbook* may take effect immediately upon approval of the Board of Trustees after the procedures called for in Section 2.28 have been followed.

2.28.2 PROCESSING OF PROPOSALS

2.28.2.1 Modifications to University-Wide Sections

The following procedure shall apply to standing committees and ad-hoc committees that intend to propose policy revisions in the University-wide sections of the *Faculty Handbook*. These proposals will be processed as stated in Section 2.28 Procedure for Revision of the *Faculty Handbook* of the *Faculty Handbook*. For purposes of this procedure, timely shall be defined as thirty (30) business days. If any action at any point under this procedure cannot be considered in a timely manner or according to a timeline, extensions may be requested, with reasons, to the Provost and Chief Academic Officer. Such extensions shall normally be given and a date specified for completion.

- a. For ad-hoc committees, the charge, procedures to conduct business, and responsibilities of committee members shall be set forth in writing. The committee will conduct its affairs in accordance with Section 2.28 Procedure for Revision of the *Faculty Handbook* of the *Faculty Handbook*. A timeline for the completion of committee activities and work according to the charge of the committee shall be discussed with appropriate faculty, Deans and Chairs and agreed upon. A copy of the charge shall be forwarded to the Provost and Chief Academic Officer.

The committee members will be appointed with appropriate expertise, diversity, balance between faculty and administrators, and balance between various Colleges and related matters. An effort shall be made to review committee membership with appropriate faculty, Chairs, Deans/Directors, the President, if warranted, and the chair of the Faculty Welfare Committee and Faculty Assembly. The Provost and Chief Academic Officer shall make the final committee appointments based on recommendations from individuals referred to in this paragraph. This appointment process itself shall be concluded in a timely manner.

The chairperson of the committee is responsible for all communications between the committee and other parties including dissenting opinions.

- b. The committee proposal in handbook language with suggested section numbers with the Faculty Handbook including a rationale for each *Faculty Handbook* revision within the proposal shall be made to the Provost and Chief Academic Officer through agreed upon committee procedures (which shall include review with appropriate faculty, Deans and other individuals who possess appropriate expertise). The Provost and Chief Academic Officer shall review and discuss such proposed policy changes with committee members and other constituents or individuals as appropriate. Proposals shall be made in accordance to the committee's timeline.
- c. Following consultation, discussion and possible amendment of the proposal, the Provost and Chief Academic Officer shall forward the proposal to the Chair of the Faculty Welfare Committee (FWC) within thirty business days of receipt. The FWC shall consider the proposal and transmit the *Faculty Handbook* language and the recommended course of action to the Provost and Chief Academic Officer in a timely manner.
- d. Should the FWC wish to alter or amend the proposal in any manner, the Chair of the FWC shall, alone, or with a committee of the FWC, or the entire committee itself, discuss all specific alterations or amendments to the proposal with the Chair of the Committee as set forth in a above. Such discussions may include other members of the committee and shall be completed in a timely manner. Following such consultation and review of all issues and concerns that may arise, the FWC chair and the Chair of the Committee as set forth in a shall meet with the Provost and Chief Academic Officer and provide background on discussions. The Committee as set forth in a and the FWC shall reconsider the altered or amended proposal and communicate the recommended course of action to the Provost and Chief Academic Officer in a timely manner.
- e. The Provost and Chief Academic Officer shall consider and review, with appropriate individuals, the proposal from the FWC and the Committee as set forth in a in a timely manner. The chair of the FWC, or a designee of the chair of the FWC, the chair of the Committee as set forth in a (or designee) and the Provost and Chief Academic Officer (or designee) shall meet and finalize the actual proposal. A signed proposal indicating positions of the parties involved on the proposal shall be sent to the Faculty Assembly for approval. Any substantial alterations or amendments resulting from this meeting shall be referred back to the Committee as set forth in A and the FWC for approval as covered in d.
- f. Following the meeting as set forth in e above, the Faculty Assembly shall vote on the proposal in a timely manner. The results of the vote shall be communicated to the Provost and Chief Academic Officer who shall make a final determination on the status of the proposal in accordance with Section 2.28.2.3 Role of the Provost and Chief Academic Officer of the *Faculty Handbook*.

2.28.2.2 Modifications to College-Specific Sections

The following procedure shall apply to standing committees and ad-hoc committees that intend to propose policy revisions in the College-Specific sections of the *Faculty Handbook*. These proposals will be processed as stated in Section 2.28 Procedure for Revision of the *Faculty Handbook* of the *Faculty Handbook*. For purposes of this procedure, timely shall be defined as thirty (30) business days. If any action at any point under this procedure cannot be considered in a timely manner or according to a timeline, extensions may be requested, with reasons, to the Dean. Such extensions shall normally be given and a date specified for completion.

- a. For ad-hoc committees, the charge, procedures to conduct business, and responsibilities of committee members shall be set forth in writing. The committee will conduct its affairs in accordance with Section 2.28 Procedure for Revision of the *Faculty Handbook* of the *Faculty Handbook*. A timeline for the completion of committee activities and work according to the charge of the committee shall be discussed with appropriate faculty and Chairs and agreed upon. A copy of the charge shall be forwarded to the Dean.

The committee members will be appointed with appropriate expertise, diversity, balance between faculty and administrators, balance between departments/programs within the College, and related matters. An effort shall be made to review committee membership with appropriate faculty, Chairs, and Directors. The Dean shall make the final committee appointments based on recommendations from individuals referred to in this paragraph. This appointment process itself shall be concluded in a timely manner.

The chairperson of the committee is responsible for all communications between the committee and other parties including dissenting opinions.

- b. The committee proposal in handbook language with suggested section numbers with the Faculty Handbook including a rationale for each *Faculty Handbook* revision within the proposal shall be made to the Dean through agreed upon committee procedures (which shall include review with appropriate faculty and other individuals who possess appropriate expertise). The Dean shall review and discuss such proposed policy changes with committee members and other constituents or individuals as appropriate. Proposals shall be made in accordance to the committee's timeline.
- c. Following consultation, discussion and possible amendment of the proposal, the Dean shall forward the proposal to the Chair of the College's Handbook Revision Committee (CHRC) within thirty (30) business days of receipt. The CHRC shall consider the proposal and transmit the Faculty Handbook language and the recommended course of action to the Dean in a timely manner.
- d. Should the CHRC wish to alter or amend the proposal in any manner, the Chair of the CHRC shall, alone, or with a committee of the CHRC, or the entire committee itself, discuss all specific alterations or amendments to the proposal with the Chair of the Committee as set forth in a above. Such discussions may include other members of the committee and shall be completed in a timely manner. Following such consultation and review of all issues and concerns that may arise, the CHRC chair and the Chair of the Committee as set forth in a shall meet with the Dean and provide background on discussions. The Committee as set forth in a and the CHRC shall reconsider the altered or amended proposal and communicate the recommended course of action to the Dean in a timely manner.
- e. The Dean shall consider and review, with appropriate individuals, the proposal from the CHRC and the Committee as set forth in a in a timely manner. The chair of the CHRC, or a designee of the chair of the CHRC, the chair of the Committee as set forth in a (or designee) and the Dean (or designee) shall meet and finalize the actual proposal. A signed proposal indicating positions of the parties involved on the proposal shall be sent to the College faculty for approval. Any substantial alterations or amendments resulting from this meeting shall be referred back to the Committee as set forth in A and the CHRC for approval as covered in d.
- f. Following the meeting as set forth in e. above, the College faculty shall vote on the proposal in a timely manner. The results of the vote shall be communicated to the Provost and Chief Academic Officer who shall make a final determination on the status of the proposal in accordance with Section 2.28.2.3 Role of the Provost and Chief Academic Officer of the *Faculty Handbook*.

2.28.2.3 Role of the Provost and Chief Academic Officer

The Provost and Chief Academic Officer may accept or reject the proposal with respect to the proposed revision.

Should the Provost and Chief Academic Officer disagree with the recommendation of the Faculty Assembly [in the case of a University-wide section revision] or the College faculty [in the case of a College-specific section revision], the Provost and Chief Academic Officer and the Faculty Welfare Committee or the College's Handbook Revision Committee, respectively, will meet to discuss the next steps, which may include further study and/or modification for resubmission or withdrawal of the proposal by the appropriate faculty body.

Proposals approved by Provost and Chief Academic Officer and the appropriate faculty body will be submitted to the President in a timely manner.

The Provost and Chief Academic Officer shall keep the appropriate faculty body informed on the status of all proposed changes to the *Faculty Handbook*.

2.28.2.4 Timeframe for Revision of *Faculty Handbook*

Normally, action on revisions by the Board of Trustees will take place prior to the issuance of letters of appointment.

2.28.3 BOARD OF TRUSTEES APPROVAL

If the President supports the proposed recommendation, the President will seek legal advice and take the recommendation to the Board of Trustees for consideration. If the President does not support the recommendation, the President will meet with the Provost and Chief Academic Officer to discuss the next steps, which may include further study and/or modification for resubmission or withdrawal of the proposal by the appropriate faculty body.

The revision process is concluded in accordance with the action of the Board of Trustees. This action is either an approval and promulgation or a rejection of the proposed revision.

2.28.4 RULES OF IMPLEMENTATION

Normally, any amendments of the provisions contained in the *Faculty Handbook* will take effect and be a part of the next offer of employment extended to any faculty member by the University. For faculty on appointment periods other than the academic year, the amendment will be effective for and incorporated into any offer of employment scheduled to commence after the beginning of the academic year in which the amendment was adopted.

A copy of the *Faculty Handbook* with current revisions will be available on the University's share drive.

Administration Organization**Academic Affairs – Provost**

1. Colleges of: Business, Education and Health Services, Liberal Arts, Science
2. School of Graduate, Adult, and Professional Education
3. Library
4. Registrar
5. Center for Teaching and Learning Excellence
6. International Partnerships and Student Service
7. Advising Center
8. Academic and Career Enrichment Center
9. Institutional Research
10. Mesa Campus

Administration and Finance – Vice President for Administration and Finance, Chief Executive Officer [CFO]

1. Auxiliary Enterprises
2. Business Services and Systems
3. Compliance and Legal Counsel
4. Department and Grant Accounting
5. General Accounting
6. Human Resources
7. Facilities Management and Planning
8. Budget Planning and Analysis
9. Information Technology

Enrollment and Student Development: Lisle Campus – Vice President of Enrollment Management and Student Development

1. Undergraduate Admissions
2. International Admissions
3. Financial Aid
4. Marketing and Communications
5. Student Life

President's Office

1. Mission Integration
2. Community Relations
3. Strategic Planning

University Development – Vice President for University Development

1. Major Gifts
2. Alumni Relations
3. Annual Giving
4. Research and Development
5. Special Events

1.5.2.7 College Curriculum and Standards Committees

Daniel L. Goodwin College of Business

- Members: the Chair of each department and one Regular or Term Faculty member elected from and by the Regular and Term faculty in each department, and announced to the College by the Dean. Elected members serve staggered three-year terms.

College of Education and Health Services Curriculum and Standards Committee

- Members: the Department Chairs in the college comprise the committee. In cases where Program Directors do not directly report to a Department Chair, the Program Directors also become members of the committee.

College of Liberal Arts Curriculum and Standards Committee

- Purpose: To review proposals for new programs and other major changes in the College of Liberal Arts curriculum
- Members: Three Regular Faculty members elected from and by the College Assembly. They will serve two year terms and select a chair at the first meeting of each academic year. The first members will be elected to a 1, 2, or 3 year term. In subsequent years, the term of service will be two years.
- Reports to: College Assembly

College of Science Curriculum and Standards Committee

- Members: the Department Chair from each department [Biological Sciences, Mathematical and Computational Sciences, Physical Sciences]; one Regular, full-time faculty member elected from and by the department faculty from each department [the elected members serve staggered three-year terms].

1.5.2.10 College Faculty Review Panels

Daniel L. Goodwin College of Business Faculty Review Panel

- Members: All tenured faculty members (other than the chair) of the department of the faculty member under review. If desired by the faculty member under review, additional tenured Benedictine University faculty members may be added to the faculty review panel, in consultation with the department chair. Each faculty review panel must have a minimum of four members; additional members will be added to the panel if necessary to meet this requirement, using the process defined in the previous sentence. The Dean will notify the faculty member under review of the members of the Faculty Review Panel when the panel is constituted.

College of Education and Health Services Faculty Review Panel

- Members: All tenured faculty (other than the department chair) in the program to which a faculty member under review is appointed will serve on the COEHS Faculty Review Panel for that faculty member. In cases where the program has fewer than four tenured faculty, the additional faculty members are identified in consultation with the department chair/program director and Dean. Tenure-track and/or outside consultants are eligible to serve in consultation with the department chair/program director and Dean. Benedictine Monks who have achieved the rank of Associate Professor and who have at least seven years of college teaching experience with a minimum of four years at the University will be included in the tenured ranks for the purposes of representation and voting on this committee.

College of Liberal Arts Faculty Review Panel

- Purpose: To provide peer evaluation of College of Liberal Arts faculty applying for promotion and / or tenure
- Members: Five tenured faculty members selected by the candidate, in consultation with the department chair and the dean, to include all tenured faculty in the applicant's program, excluding the department chair. If there are fewer than five such faculty, additional members will be selected from outside the department. Members of the committee need not come from the College of Liberal Arts. The Review Panel's members will select a chair at their first meeting. Membership ends with submission of the Group's report
- Reports to: Dean

College of Science Faculty Review Panel

- Members: all tenured faculty from the program; a faculty member from outside the program, identified by the faculty member in consultation with the department chair. Each faculty review panel must have a minimum of four members. In cases where the program has fewer than three tenured faculty, the additional faculty members are identified by the department chair in consultation with the faculty member.

1.5.2.11 College Handbook Review Committees

Daniel L. Goodwin College of Business Handbook Review Committee

- Members: One Regular or Term Faculty member elected from and by the regular and term faculty in each department, and announced to the College by the Dean. Members serve staggered three-year terms.
- Mechanism for approval of recommendations from the College of Business Handbook Review Committee will be a discussion of the Regular and Term faculty members of the College of Business (informally, formally in College and/or ad hoc meetings, electronically – as determined by the faculty members), followed by a vote of the Regular and Term faculty members. A simple majority of those voting is required for approval.
- The College of Business Handbook Review Committee will maintain a list of members of the College of Business Handbook Review Committee and the College of Business Curriculum and Standards Committee, including when the elected members' terms expire. It will initiate a nomination and election process for both Committees. The election for the College of Business Handbook Review Committee and the College of Business Curriculum and Standards Committee will be held in the fall and spring, respectively.

College of Education and Health Services Handbook Review Committee

- Members: Three Regular (tenure-track or tenured) Faculty members elected from and by the Regular Faculty from the COEHS. Members serve three (3) years. Members serve staggered terms. [For 1st voting period 2008-2009, person with highest number of votes will serve three (3) years, next highest number of votes will serve two (2) years, and least number of votes will serve one (1) year]
- Mechanism to approve handbook changes in COEHS: the Regular College Faculty discuss and vote electronically. Approval by simple majority.

College of Liberal Arts Handbook Review Committee

- Purpose: To review sections of the Faculty Handbook affecting the College of Liberal Arts and to recommend changes to COLA's portion of the Handbook
- Members: Three Regular Faculty members elected from and by the College Assembly. They will serve a two (2) year term and select a chair at their first meeting. The first members will be elected to a one (1), two (2), or three (3) year term. In subsequent years, the term of service will be two years.
- Reports to: College Assembly

College of Science Handbook Review Committee

- Members: the Regular Faculty member elected from and by the Regular Faculty in each department [Biological Sciences, Mathematical and Computational Sciences, Physical Sciences]. Members serve staggered three-year terms.
- Mechanism to approve handbook revisions: the Regular College Faculty discuss and vote electronically. Approval by simple majority.

2.1.5.6 College Criteria for Promotion to the Rank of Senior Lecturer [Adjunct Faculty Appointment]

Daniel L. Goodwin College of Business

Any Adjunct Faculty member who meets the following criteria may be nominated for Senior Lecturer:

- Length of service
 - At least five (5) academic years teaching at Benedictine University
 - At least ten (10) semester or fifteen (15) quarter courses taught in that period
- Evidence of teaching excellence
- Continued professional development

The consideration of a candidate for Senior Lecturer is initiated by letter of nomination from a Regular (excluding ex officio) or Term Faculty member in the Daniel L. Goodwin College of Business; self-nomination is also permitted. All nominations received by October 15 are considered by the committee of the whole of the Regular (excluding ex officio) and Term faculty in the College of Business. A simple majority of those voting is required.

College of Education and Health Services

Any Adjunct Faculty member who meets the following **criteria** may be nominated for Senior Lecturer in the College of Education and Health Services:

- a. Length of service (must meet both criterion):
 - At least five (5) academic years teaching at Benedictine University. Years do not have to be consecutive.
 - At least ten (10) semester or fifteen (15) quarter courses taught in that period. Courses may vary in the number of credits.
- b. Teaching excellence. Evidence for the most recent courses taught meeting the credit hour criteria under section 'a' must include:
 - The aggregate IDEA results will be reviewed with the expectation of average to above average teaching effectiveness. This means IDEA raw scores ratings at or above the 'Similar' ratings (gray area) in the 'Converted Average' table on the Summary Evaluation Column.
 - Self-reflection on contributions to teaching excellence (e.g., describe examples of continuous improvement of course delivery methods such effectiveness of in-class activities, development and effectiveness of assessment tools such as rubrics, rationale for changes to content, etc.)
 - Written report of teaching observation by the respective Department/Program Chair, or his/her designee. Teaching observations are normally completed in the month following the candidate's application, but may be requested by candidates during the preceding year.
 - Optional, but may be required by specific Departments or Programs - supporting qualitative comments (from IDEA or other tools) and/or results of supplemental class surveys.
- c. Current in field of study. Provide supporting evidence for list of professional development activities relevant to the subject matter being taught, Evidence may include artifacts, certificates, and/or itemized list of continued professional development. The expectation is participation in an average of at least two activities annually over the past five years:
 - Professional seminars, training, and/or webinars.
 - On-site training activities (e.g., D2L, writing) or seminars offered through Benedictine University.
 - Research outcomes (articles, books, dissertations, publications, or other scholarly measures).
 - Delivering professional presentations (seminar, conferences, webinars, workshops, etc.).
 - Other professional activities
- d. Recent service activity to the department, college, and/or university. These may include, but are not limited to, at least one service activity within the past five years:

- Active member of the department, program, college, or university Advisory Board, or actively serves on committee(s) or task force(s).
- Contribution to department assessment efforts beyond the course taught. Examples may include, the development of key assessment tool used in the program, or written comparison of student achievement of learning outcomes across several years in the same course.
- Peer reviewer for multi-year Accreditation Reports.
- With approval of Department or Program Chair, serve as Faculty mentor to 'new' lecturers.
- Volunteer preceptor/supervisor of students (e.g., practicum, internship, club).
- Participation/attendance in student presentations (e.g., capstone, portfolio, research, honor society activities, club activities, Homecoming booth).

Process: The consideration of a candidate for Senior Lecturer is initiated by a written nomination from a Regular (excluding ex officio) Faculty member, Term Faculty member, Department Chair, or Program Chair. Self-nomination is also permitted. Upon nomination, the nominee will submit a his/her current curriculum vitae, self-reflection of teaching (and any supplemental materials), and evidence of professional development activities to his/her respective Department or Program Chair within the COEHS by October 15. The nomination packet will be reviewed by the members of his/her respective department. A simple majority vote by all Regular (excluding ex officio) Faculty members, Term Faculty members, and Department/Program Chairs will approve the promotion to Senior Lecturer. This final vote will be accomplished by November 15. The respective Department or Program Chair will forward the approved nomination(s) with supporting evidence to the Dean by November 30. Every five years the Dean's Office will determine if reaffirmation of status should occur, with input from the respective Departments/Programs.

College of Science

Criteria

Any Adjunct Faculty member who meets the following criteria may be nominated for Senior Lecturer in the College of Science:

- a. Length of service:
 - At least five (5) academic years teaching at Benedictine University
 - At least ten (10) semester or fifteen (15) quarter courses taught at Benedictine University
- b. Clear demonstration of teaching excellence, as described below.

Process

The consideration of a candidate for Senior Lecturer is initiated by a letter of nomination from a Regular (excluding ex officio) or Term faculty member in the College of Science, which should be submitted to the Department Chair or Program Director. Self-nomination is also permitted. Letters of nomination must be received by October 1. Upon receipt of the letter of nomination, the Department Chair will notify the candidate and request a portfolio providing evidence of teaching excellence (see below), which must be submitted to the Department Chair by November 1. The portfolio will be reviewed by Regular Faculty in the department. A simple majority vote by all Regular Faculty in the department will approve the candidate's promotion to Senior Lecturer. This final vote will be accomplished by the end of the fall semester.

Portfolio

Candidates for promotion to the position of Senior Lecturer should submit to the department chair a portfolio documenting teaching excellence. Documentation should include course materials and should demonstrate, but not necessarily be limited to, the following:

- a. Instructional Design Skills:
 - ability to plan a substantive, well-organized course;
 - choice of effective teaching methods and strategies, incorporating technology when appropriate;
 - implementation of a newly acquired teaching methodology;
 - contribution to curriculum design;
 - use of appropriate methods to evaluate students.
- b. Instructional Delivery Skills:
 - ability to stimulate and broaden student interest in the subject matter;

- capacity to challenge students -- for example, to motivate independent work;
- effective communication with students;
- possession of the attributes of integrity, open-mindedness, and objectivity in teaching;
- fair evaluation of student performance;
- c. Content Expertise:
 - mastery of one's subject;
 - knowledge of current developments in one's field;
 - knowledge of the relationship of one's field to the overall academic program;
 - ability to relate one's subject to other areas of knowledge.
- d. Course Management Skills:
 - reasonable availability to students;
 - fulfillment of administrative duties associated with instruction (grade books, book orders, class attendance, etc.).

Teaching excellence is based on multiple sources of evidence generated by the following procedures or activities:

- a. self-evaluation;
- b. evaluations by Department Chair;
- c. peer evaluations; and
- d. student evaluations.

2.4.1 Personnel Policies

- **Equal Employment Opportunity Policy**

It is the University's policy to provide equal employment opportunity to all persons without discrimination on the basis of race, color, religion, sex, national origin, age, disability, handicap, veteran status, marital status, sexual orientation or membership in any other group protected by law.

This policy of equal employment opportunity applies to all employment and personnel practices including, but not limited to, recruiting, hiring, promotion, training and compensation.

The University complies with the Americans with Disabilities Act (ADA). No applicant or employee may be discriminated against with respect to any employment or benefits decision because of a disability as defined by the law.

The University's policy on HIV reflects the University's mission, character and commitment, particularly as these statements pertain to the human dignity of individuals. Therefore, the University does not discriminate against individuals who are diagnosed as HIV positive or as having AIDS.

An applicant or employee must be able to perform the essential functions of the job with or without reasonable accommodation. Reasonable accommodation is defined as a suggested change or adjustment to a job or work environment (subject to the limits in applicable law) that permits a qualified job applicant or employee with a disability to perform the essential functions of a job or to enjoy benefits and privileges of employment equal to employees without disabilities.

Employees or applicants who wish to request a reasonable accommodation must contact Human Resources, and may be required to submit appropriate documentation of their disability and need for an accommodation.

If you ever believe that you have been subjected to discrimination or denial of equal employment opportunity, report the alleged conduct immediately to your supervisor or the Director of Human Resources for prompt investigation. Any employee who violates the University's Equal Employment Opportunity policy is subject to corrective action that may include termination of employment. Benedictine University prohibits any form of retaliation against any employee for filing a complaint or assisting in a complaint investigation.

- **Employment of Family Members**

The employment of relatives at certain levels, or in certain positions where one could have influence over the other, could lead to accusations of favoritism in employment or compensation related decisions.

In order to avoid situations where an actual or perceived conflict of interest may occur, we do not assign or hire an employee to a job where direct supervision relationships with a relative would exist. Indirect supervision relationships may occur only by disclosure to the President.

Employment of relatives is not encouraged. "Relative" in this situation is defined as a spouse, child, parent, grandparent, grandchild, brother, sister, aunt, uncle, niece, nephew, or corresponding in-law or step-relative.

2.6.1.2 College Specific Requirements for Evaluation of Scholarly/Professional Development

College of Education and Health Services

Third-year Review. In addition to the standards outlined in Section 2.6.1.2.1 of the *Faculty Handbook* “Scholarly and Professional Achievement” section, faculty in the College of Education and Health Services are expected to meet the following requirements (while at Benedictine University) for a successful Third-year review. Progress towards scholarly productivity as demonstrated by at least one of the following:

- Submission of one grant proposal with no funding requirements.
- One presentation at a peer or non-peer reviewed professional meeting/venue/board.
- Significant and demonstrable progress toward one peer review publication meeting the requirements of the selected journal.
- Contribution in the clinical/professional practice demonstrated through peer reviews of practice, reports of clinical demonstration projects, and/or scholarly practice demonstrating integration of research-based standards.

Tenure/Associate Professor: In reference to the standards outlined in Section 2.6.1.2.2 of the *Faculty Handbook*, faculty in the College of Education and Health Services are expected to meet the following requirements (while at Benedictine University) for granting of tenure and promotion to Associate Professor:

1. All applicants should demonstrate evidence of consistent progress on applied or basic research which may include mentoring of students in research.
2. In addition to those listed in the *Faculty Handbook*, examples of noteworthy “Other Activities” by members of COEHS may include:
 - Completion and Submission of an Accreditation/ Program Review Report stemming from multiyear analysis of program outcomes.
 - Certification for Specialty or Advanced Practice.
 - Author or co-author of college/university level textbook in full or in part, within your professional discipline.
 - Reviewing or judging of materials to be published.
 - Contribution in the clinical/professional practice demonstrated through peer reviews of practice, reports of clinical demonstration projects, and/or scholarly practice demonstrating integration of research-based standards.

Professor: In reference to the standards outlined in Section 2.6.1.2.3 of the *Faculty Handbook* for faculty in the College of Education and Health Services - In addition to those listed in the *Faculty Handbook*, examples of noteworthy “Other Activities” by members of COEHS may include:

Demonstrate a significant contribution to the completion of an accreditation/program review report.

- Completion and Submission of an Accreditation/ Program Review Report stemming from multiyear analysis of program outcomes.
- Certification for Specialty or Advanced Practice
- Author or co-author of college/university level textbook in full or in part, within your professional discipline.
- Contribution in the clinical/professional practice demonstrated through peer reviews of practice, reports of clinical demonstration projects, and/or scholarly practice demonstrating integration of research-based standards.

Advancement Within Rank: No additional requirements.

College of Liberal Arts

Each department in the College of Liberal Arts will develop, approve and publish a body of specific guidelines for the rank and tenure evaluation criteria.

The department faculty must address the minimum criteria for advancement and identify what kind of work is to be ranked as meeting expectations and exceeding expectations. The department may not lower the university's minimum criteria.

Should the department change its specific guidelines, the candidate may choose between the new and the old criteria for his/her next review but for the next review, the new criteria will become effective.

College of Science

- Third-year Review. In addition to the standards outlined in Section 2.6.1.2.1 of the Faculty Handbook, faculty in the College of Science are expected to meet the following requirements (while at Benedictine University) for a successful Third-year review:
 1. Have a well developed research plan that includes student participation (this can also include doing something that is related to class; e.g. developing a lab, fleshing out a project).
 2. Have evidence of student participation in a research project(s) (e.g. abstracts from poster or oral presentations at local/national meetings; formal write-ups submitted for publication or presentation).
 3. Significant and demonstrable progress toward one peer-reviewed publication.
 4. Progress towards scholarly productivity as demonstrated by at least one of the following:
 - One grant proposal (no requirement of receiving funds; no minimum monetary value required).
 - One presentation (not necessarily peer-reviewed) at professional meetings.
- Tenure/Associate Professor. In addition to the standards outlined in Section 2.6.1.2.2 of the Faculty Handbook, faculty in the College of Science are expected to meet the following requirements (while at Benedictine University) for granting of tenure and promotion to Associate Professor:
 1. Evidence of consistent progress on research plan including mentoring of students in research.
 2. Submission of at least one grant proposal, preferably as PI (no requirement of receiving funds; no minimum monetary value required).
 3. One professional publication (not necessarily peer reviewed; could be a paper, book, proceedings, CD, web article, etc.; successful funding of a grant proposal may count as this publication)
- Professor. No additional requirements
- Advancement Within Rank. No additional requirements.

College of Science - Clarification of Peer Review Definition

Peer review is receiving feedback from experts in the field after submission of a scholarly work. Peer review goes beyond acceptance/rejection, to receiving collegial critique of a scholarly work.

Grants:

1. Peer-reviewed funded grants that support faculty and student research, pedagogy, and scholarship are peer-reviewed scholarly work and merit recognition at or above the level of a peer-reviewed journal article.
2. The College of Science recognizes the following agencies as delivering rigorous peer review of all grant applications: National Science Foundation, National Institutes of Health, Howard Hughes Medical Institute, US Department of Energy, US Department of Defense, US Department of Education, Research Corporation, American College of Sports Medicine, US Fish and Wildlife Service, US Department of the Interior, American Cancer Society, American Heart Association, American Chemical Society Petroleum Research Fund, and the Camille & Henry Dreyfus Foundation.
3. Other granting agencies that use peer review exist; it is incumbent on the faculty member to provide documented evidence of the peer-review process for grants funded by those agencies not listed above.
4. Travel awards, student award grants, and small educational grants are important contributions to scholarly activity and to the scholarly life of the College of Science. Application for these awards is adequate to meet College of Science tenure requirements for submitting grant proposals. However, they do not rise to the level of professional achievement of a peer-reviewed scholarly work.

Presentations:

1. Co-authorship of conference presentations is evidence of scholarly activity; a faculty member need not be the sole or primary presenter, or attend a conference him/herself when working with collaborating co-authors to include a conference presentation in their portfolio.
2. Student co-authors are encouraged in the College of Science, however, presentations by students at undergraduate-specific venues (ACCA, URSA, and others) should not be counted as one of the two minimally required scholarly works needed for promotion to full professor or advancement.
3. The College of Science recognizes that most conference poster and oral presentations do not undergo a rigorous peer review process, even if the conference does not accept all submissions for presentation. As such, the onus is on the faculty member to provide evidence of peer review in cases where it occurs.

2.6.2 FACULTY GOALS STATEMENT

Faculty Member: Please complete the information requested below and submit the Faculty Goals Statement (FGS) to your Department Chair no later than September 30.

Name: _____

Department: _____

1: Individual Goals for September _____ to August _____

Listed below are my professional goals for the next three academic years:

A) Teaching Excellence: Please provide a plan for your teaching assignments as well as course/program refinements and developments for the next three years:

B) Scholarly and professional involvement and achievement: Provide a plan of your professional and scholarly activities for the next three years:

C) University Service: Please provide a plan for the service work you intend to do for the next three years:

2: Accomplishments for September _____ to August _____

Listed below are my accomplishments from the previous academic year:

A) Teaching Excellence:

B) Scholarly and professional involvement and achievement:

C) University Service:

**PLEASE SUBMIT A CURRENT CURRICULUM VITA TO
YOUR DEPARTMENT CHAIR ALONG WITH THIS FORM.**

Faculty Member: _____ Date: _____

Department Chair: _____ Date: _____

Dean of College: _____ Date: _____

**SUMMARY INFORMATION NEEDED FOR THE BOARD OF TRUSTEES DASHBOARD METRICS.
FROM SEPTEMBER _____ TO AUGUST _____.**

Number of invited and submitted presentations by you or your students	
Number of publications [peer reviewed] submitted, accepted for publication, and published	
Number of publications [non-peer reviewed] submitted, accepted for publication, and published	
Number of Offices held in Local/National/International Professional/Scholarly/Service Organizations and/or Governmental Committees	
Number of Grants Submitted	
Number of Grants Awarded	
Number of Grants Continuing/Active	
Did you Utilize any Career Flexibility Options? [please circle]	Yes No
Did you Participate in any Curricular Workshops and Activities? [please circle]	Yes No

2.18 Timelines for Faculty Review

Review of First, Fourth, or Fifth-Year Probationary Regular Faculty

	ELIGIBILITY
April 30	The Provost and Chief Academic Officer issues a list of the Probationary Faculty who will undergo first, fourth, or fifth-year review in the upcoming academic year. Based upon the timing of newly hired faculty, this list will be updated as needed.
	PROCEDURES
May 31	The Dean notifies all Probationary Faculty scheduled for first, fourth, or fifth-year review in the upcoming academic year of the deadlines for submission of the self-evaluation of performance to the Dean.
January 15	Probationary Faculty undergoing first, fourth, or fifth-year review submit self-evaluation of performance to the Dean. The Dean begins to compile previous recommendations and letters by Deans, Department Chairs [or Program Directors] and Rank and Tenure Committee, current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review.
January 22	The self-evaluation of performance for Probationary Faculty undergoing first, fourth, or fifth-year review and the previous recommendations and letters by Deans, Department Chair [or Program Director] and Rank and Tenure Committee, current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under reviewer are made available to the Department Chair [or Program Director].
February 5	The Department Chair [or Program Director] completes the recommendation for Probationary Faculty undergoing first, fourth, or fifth-year review, discusses the recommendation with the faculty member, provides the faculty member with a copy of the recommendation, and forwards the recommendation to the Dean.
	REVIEW
February 12	The Probationary Faculty undergoing first, fourth, or fifth-year review forward any formal response to the Department Chair's [or Program Director's] recommendation to the Dean for inclusion with self-evaluation of performance.
February 19	The Dean completes recommendation of reappointment for first, fourth, and fifth-year Probationary Faculty and forwards recommendation to the Provost and Chief Academic Officer.
	ACTION
March 1	The Provost and Chief Academic Officer notifies first year Probationary Faculty if their appointment will not be renewed.
March 11	By this date, the Dean will have met with the Probationary Faculty who have undergone first, fourth, or fifth-year review and shared his/her recommendation regarding appointment renewal with the faculty member.
April 14	By this date, the Provost and Chief Academic Officer notifies fourth or fifth -year Probationary Faculty if their appointment will not be renewed.

Review of Second Year Probationary Regular Faculty

	ELIGIBILITY
April 30	The Provost and Chief Academic Officer issues a list of the Probationary Faculty who will undergo second year review in the upcoming academic year.
	PROCEDURES
May 31	The Dean notifies all Probationary Faculty scheduled for second year review in the upcoming academic year of the deadlines for submission of the self-evaluation of performance to the Dean.
November 1	Probationary Faculty undergoing second year review submit self-evaluation of performance to the Dean. The Dean begins to compile previous recommendations and letters by Deans, Department Chairs [or Program Directors] and Rank and Tenure Committee, current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review.
November 8	The self-evaluation of performance for Probationary Faculty undergoing second year review and the previous recommendations and letters by Deans, Department Chairs [or Program Directors] and Rank and Tenure Committee, current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review made available to the Department Chair [or Program Director].
November 22	The Department Chair [or Program Director] completes the recommendation for Probationary Faculty undergoing second year review, discusses the recommendation with the faculty member, provides the faculty member with a copy of the recommendation, and forwards the recommendation to the Dean.
	REVIEW
November 29	The Probationary Faculty undergoing second year review forward any formal response to the Department Chair's [or Program Director's] recommendation to the Dean for inclusion with self-evaluation of performance.
December 6	The Dean completes recommendation of reappointment for second year Probationary Faculty and forwards recommendation to the Provost and Chief Academic Officer.
	ACTION
December 15	The Provost and Chief Academic Officer notifies second year Probationary Faculty if their appointment will not be renewed.
December 25	By this date, the Dean will have met with the Probationary Faculty who have undergone second year review and shared his/her recommendation regarding appointment renewal with the faculty member.

Review of Third-year Probationary Regular/Professional Faculty

	ELIGIBILITY
April 30	The Provost and Chief Academic Officer issues a list of the Probationary Faculty who will undergo third-year review in the upcoming academic year.
	PROCEDURES
May 31	The Dean notifies all Probationary Faculty scheduled for third-year review in the upcoming academic year of the deadlines for submission of the Application File to the Dean.
February 1	The Probationary faculty undergoing third-year review submit Application File to the Dean using the University's course management tool. The Dean starts developing the Committee File. In addition to the Application File, the Committee File contains the self-evaluation of performance for the faculty and the previous recommendations and letters by Deans, Department Chairs [Program Directors] and Rank and Tenure Committee, current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review.
February 8	The Committee File for Probationary Faculty undergoing third-year review is available for the Department Chair [or Program Director]. The Deans notify the Chair of the Rank and Tenure Committee of the number of Probationary Faculty from their College who are undergoing third-year review. The College Faculty Review Panel who will review each Probationary Faculty member undergoing third-year review will be constituted.
February 22	The Department Chair [or Program Director] completes the recommendation for Probationary Faculty undergoing third-year review, discusses the recommendation with the faculty member, provides the faculty member with a copy of the recommendation, and forwards the recommendation to the Dean. The Dean adds this recommendation to the Committee File. By this date, each College Faculty Review Panel shall meet to review policies and procedures for all reviews of Probationary Faculty undergoing third-year review.
	REVIEW
March 1	The Probationary Faculty undergoing third-year review forward any formal response to the Department Chair's [or Program Director's] recommendation to the Dean for inclusion in the Committee File.
March 2	The Committee File on Probationary Faculty undergoing third-year review is available for the College Faculty Review Panel in the Dean's office. The Dean and Rank and Tenure Committee may also begin their review of Probationary Faculty undergoing third-year review.
March 23	The College Faculty Review Panel completes its recommendation on Probationary Faculty undergoing third-year review and forwards it to the Dean. The Dean provides the faculty member with a copy of the recommendation. The Dean adds this recommendation to the Committee File.
March 30	The Probationary Faculty undergoing third-year review forward any formal response to the College Faculty Review Panel's recommendation to the Dean for inclusion in the Committee File.
May 5	The Dean and the Rank and Tenure Committee make their recommendations on Probationary Faculty undergoing third-year review to the Provost and Chief Academic Officer.
May 7	The Provost and Chief Academic Officer shares the Rank and Tenure Committee's recommendations on Probationary Faculty undergoing third-year review with the Dean and the Dean's recommendations on probationary faculty undergoing third-year review with the Rank and Tenure Committee.
May 14	The Deans and the Rank and Tenure Committee forward any formal response regarding

	the recommendation of the Rank and Tenure Committee and the Dean, respectively, on Probationary Faculty undergoing third-year review to the Provost and Chief Academic Officer.
	ACTION
May 21	The Provost and Chief Academic Officer provides notice in writing of the final decision to Probationary Faculty members who have undergone third-year review.
May 31	By this date, the Dean will have met with the Probationary Faculty who have undergone third-year review and shared the recommendation of the Dean and the Rank and Tenure Committee with the faculty member.

**Review of Regular Faculty Applying for Tenure, Renewable Appointment, Promotion, or Advancement
Within Rank**

	ELIGIBILITY
April 30	The Provost and Chief Academic Officer issues a list of the faculty who will undergo tenure or new renewable appointment review and those eligible for promotion in the upcoming academic year
	PROCEDURES
May 31	The Dean notifies all faculty scheduled for tenure or new renewable appointment review or eligible for promotion in the upcoming academic year of the deadlines for submission of the application file to Dean.
September 15	The faculty undergoing tenure or new renewable appointment review or who have applied for promotion or advancement within rank submit Application File to the Dean using the University's course management tool. The Dean starts developing the Committee File. In addition to the Application File, the Committee File contains the self-evaluation of performance for the faculty and the previous recommendations and letters by Deans, Department Chairs [Program Directors] and Rank and Tenure Committee, current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review.
September 22	The Committee File for the faculty undergoing tenure or renewable appointment review or who have applied for promotion or advancement within rank is available for the Department Chair [or Program Director]. The Deans notify the Chair of the Rank and Tenure Committee of the number of probationary faculty from their College who are undergoing tenure or renewable appointment review or who have applied for promotion or advancement within rank. The College Faculty Review Panel who will review the faculty undergoing tenure or renewable appointment review or who have applied for promotion or advancement within rank will be constituted.
October 6	The Department Chair [or Program Director] completes the recommendation for the faculty undergoing tenure or renewable appointment review or who have applied for promotion or advancement within rank, discusses the recommendation with the faculty member, provides the faculty member with a copy of the recommendation, and forwards the recommendation to the Dean. The Dean adds this recommendation to the Committee File. By this date, each College Faculty Review Panel shall meet to review policies and procedures for all reviews of the faculty undergoing tenure or renewable appointment review or who have applied for promotion or advancement within rank.
	REVIEW
October 13	The faculty undergoing tenure or renewable appointment review or who have applied for promotion or advancement within rank forward any formal response to the Department Chair's [or Program Director's] recommendation to the Dean for inclusion in the Committee File.
October 14	The Committee File on faculty undergoing tenure or renewable appointment review or who have applied for promotion or advancement within rank is available for the College Faculty Review Panel in the Dean's office. The Dean and Rank and Tenure Committee may also begin their review of all faculty undergoing tenure, renewable appointment, promotion, or advancement within rank review.
November 4	The College Faculty Review Panel completes its recommendation on faculty undergoing tenure or renewable appointment review or who have applied for promotion or advancement within rank and forwards it to the Dean. The Dean provides the faculty member with a copy of the recommendation. The Dean adds this recommendation to the Committee File.

November 11	The faculty undergoing tenure or renewable appointment review or who have applied for promotion or advancement within rank forward any formal response to the College Faculty Review Panel's recommendation to the Dean for inclusion in the Committee File.
January 15	The Dean and the Rank and Tenure Committee make their recommendations on all faculty undergoing tenure, renewable appointment, promotion, or advancement within rank review to the Provost and Chief Academic Officer.
January 18	The Provost and Chief Academic Officer shares the Rank and Tenure Committee's recommendations on faculty undergoing tenure, renewable appointment, promotion, or advancement within rank with the Dean and the Deans' recommendations on faculty undergoing tenure, renewable appointment, promotion, or advancement within rank review with the Rank and Tenure Committee.
January 25	The Dean and the Rank and Tenure Committee forward any formal response regarding the recommendation of the Rank and Tenure Committee and the Dean, respectively, on faculty undergoing tenure, renewable appointment, promotion, or advancement within rank review to the Provost and Chief Academic Officer.
	ACTION
February 8	The Provost and Chief Academic Officer presents his/her recommendation, along with those from the Rank and Tenure Committee and the Dean, on faculty undergoing tenure, renewable appointment, promotion or advancement within rank review to the President.
February 15	The Provost and Chief Academic Officer provides notice in writing of the final decision to Professional Faculty members who are applying for a five year renewable appointment.
February 25	By this date, the Dean will have met with the Professional Faculty who are applying for a five year renewable appointment and shared the recommendation of the Dean and the Rank and Tenure Committee with the faculty member.
March 1	By this date, the Provost and Chief Academic Officer presents the recommendation on faculty undergoing tenure, promotion or advancement within rank review to the Academic Affairs Committee of the Board of Trustees.
March 15	By this date, the Provost and Chief Academic Officer informs, in writing, the faculty members who have undergone tenure, promotion, or advancement within rank review of the recommendation of the Academic Affairs Committee of the Board of Trustees on the status of their application.
March 25	By this date, the Dean will have met with the faculty who have undergone tenure, promotion, or advancement within rank review and shared the recommendation of the Dean and the Rank and Tenure Committee with the faculty member.
May 14	The Provost and Chief Academic Officer informs, in writing, the faculty members who have undergone tenure, promotion, or advancement within rank review of the decision of the Board of Trustees.

Fifth-Year Review of Tenured Faculty

	ELIGIBILITY
April 30	The Provost and Chief Academic Officer issues a list of the tenured faculty who will undergo fifth-year review in the upcoming academic year.
	PROCEDURES
May 31	The Dean notifies all tenured faculty scheduled for fifth-year review in the upcoming academic year of the deadlines for submission of the self-evaluation of performance to Dean.
October 1	Tenured faculty undergoing fifth-year review submit self-evaluation of performance to the Dean. The Dean begins to compile previous recommendations and letters by Deans, Department Chairs [or Program Directors] and Rank and Tenure Committee, current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review.
October 8	The self-evaluation of performance for tenured faculty undergoing fifth-year review and the previous recommendations and letters by Deans, Department Chairs [or Program Directors] and Rank and Tenure Committee, current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review made available to the Department Chair [or Program Director].
October 22	The Department Chair [or Program Director] completes the evaluation of tenured faculty undergoing fifth-year review, discusses the evaluation with the faculty member, provides the faculty member with a copy of the evaluation, and forwards the evaluation to the Dean.
	REVIEW
October 29	The tenured faculty undergoing fifth-year review forward any formal response to the Department Chair's [or Program Director's] evaluation to the Dean for inclusion in the self-evaluation of performance.
November 12	The Dean completes the evaluation of the tenured faculty undergoing fifth-year review.
November 22	By this date, the Dean will have met with the tenured faculty who have undergone fifth-year review and shared his/her evaluation with the faculty member.

Review of Probationary Professional Faculty [Other than Third Year Review]

	ELIGIBILITY
October 1	The Dean notifies all Professional Faculty of the deadlines for submission of the self-evaluation of performance to the Dean.
	PROCEDURES
March 1	Professional Faculty submit self-evaluation of performance to the Dean. The Dean begins to compile previous recommendations and letters by Deans and Department Chairs [or Program Directors], current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review.
March 8	The self-evaluation of performance for Professional Faculty and the previous recommendations and letters by Deans and Department Chairs [or Program Directors], current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review made available to the Department Chair [or Program Director].
March 22	The Department Chair [or Program Director] completes the evaluation of the Professional Faculty member, discusses the evaluation with the faculty member, provides the faculty member with a copy of the evaluation, and forwards the evaluation to the Dean.
	REVIEW
March 29	The Professional Faculty forward any formal response to the Department Chair's [or Program Director's] evaluation to the Dean for inclusion in the self-evaluation of performance.
April 5	The Dean completes the evaluation of the Professional Faculty and forwards the evaluation to the Provost and Chief Academic Officer.
	ACTION
April 15	By this date, the Dean will have met with the Professional Faculty and shared his/her evaluation with the faculty member.
May 1	The Provost and Chief Academic Officer notifies Professional Faculty if their appointment will not be renewed.

Review of Term Faculty

	ELIGIBILITY
October 1	The Dean notifies all Term Faculty of the deadlines for submission of the self-evaluation of performance to the Dean.
	PROCEDURES
March 1	Term Faculty submit self-evaluation of performance to the Dean. The Dean begins to compile previous recommendations and letters by Deans and Department Chairs [or Program Directors], current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review.
March 8	The self-evaluation of performance for Term Faculty and the previous recommendations and letters by Deans and Department Chairs [or Program Directors], current student evaluation data, current load forms, and any previous formal responses by the faculty member under evaluation for the time period under review made available to the Department Chair [or Program Director].
March 22	The Department Chair [or Program Director] completes the evaluation of the Term Faculty member, discusses the evaluation with the faculty member, provides the faculty member with a copy of the evaluation, and forwards the evaluation to the Dean.
	REVIEW
March 29	The Term Faculty forward any formal response to the Department Chair's [or Program Director's] evaluation to the Dean for inclusion in the self-evaluation of performance.
April 5	The Dean completes the evaluation of the Term Faculty and forwards the evaluation to the Provost and Chief Academic Officer.
	ACTION
April 15	By this date, the Dean will have met with the Term Faculty and shared his/her evaluation with the faculty member.

2.20.9 Harassment

We are all responsible for creating an environment where we are treated with respect and dignity. Sometimes behavior which seems acceptable to you may be offensive to others. Any harassment or false accusations of harassment, of or by employees is not acceptable. Benedictine University prohibits harassment of a sexual, racial, ethnic, or religious nature.

Illinois law defines sexual harassment as:

Any unwelcome sexual advances, requests for sexual favors or any conduct of a sexual nature when:

1. Submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment;
2. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or
3. Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Sexual harassment is illegal. If you ever believe you have been the subject of sexual or other harassment, report the alleged conduct immediately to your supervisor or the Director of Personnel Resources for prompt investigation. It is important that you promptly report such conduct to allow Benedictine University the opportunity to address the problem. You may also make an anonymous report by contacting the University's Anonymous Reporting Line via telephone at (866) 326-2747 or internet at Benedictine University Compliance and Ethics Helpline. Reports can be made 24 hours a day/7 days a week.

Benedictine University prohibits any form of retaliation against any employee for filing a complaint or for assisting in a complaint investigation.

Any employee who violates Benedictine University's harassment policy is subject to corrective action which may include termination of employment. Corrective action may also be taken against employees who make false or frivolous accusations.

The University prohibits the use of its telecommunication equipment to make or send fraudulent, unlawful or abusive calls or messages.

You have the right to contact the Illinois Department of Human Rights (IDHR) or the Equal Employment Opportunity Commission (EEOC) to file a complaint of sexual harassment. However, you must file the report with the IDHR within 180 days and with the EEOC within 300 days of the alleged incident.

You may contact the following for more information or to file a complaint:

Illinois Department of Human Rights (IDHR)

Chicago: 312-814-6200 or 800-662-3942

Chicago TTY: 866-740-3953

Springfield: 217-785-5100

Springfield TTY: 866-740-3953

Marion: 618-993-7463

Marion TTY: 866-740-3953

Illinois Human Rights Commission (IHRC)

Chicago: 312-814-6269

Chicago TTY: 312-814-4760

Springfield: 217-785-4350

Springfield TTY: 217-557-1500

United States Equal Employment
Opportunity Commission (EEOC)

Chicago: 800-669-4000

Chicago TTY: 800-869-8001

2.20.10 Faculty-Student Relationships

One of the most fundamental and important relationships within an institution of higher education is the learning and social interaction between a student and a faculty member. Faculty are integral to the learning process of our students and serve as a critical role model during a student's formative educational years. Therefore, as a Catholic university, the University is committed to continuing these fundamental and important relationships for our students without a student fearing the threat of reprisal, intimidation or coercion in any sense. The University has always considered such threats, or other abusive relationships with students, to be a serious violation of professional ethics and all such activity is strictly prohibited. Any faculty member found to have violated this policy will be subject to prompt and corrective action up to and including termination of employment. The processes/procedures outlined in Section 2.19 of this *Handbook* will be followed for any/all corrective actions.

2.20.12 Guidelines for Use of Copyrighted Materials

Consistent with the applicable provisions of the Copyright Act of 1976 (Section 107), the University has adopted the following Guidelines for photocopying of books and periodicals. These Guidelines contain rules that interpret the “fair use” provisions of Section 107 of the Act. Compliance with these Guidelines is mandatory for all University faculty and staff.

The purpose of the following guidelines is to state the minimum and not the maximum standards of educational fair use under Section 107 of H.R. 2223. The parties agree that the conditions determining the extent of permissible copying for educational purposes may change in the future; that certain types of copying permitted under these guidelines may not be permissible in the future; and conversely that in the future other types of copying not permitted under these guidelines may be permissible under revised guidelines.

Moreover, the following statement of guidelines is not intended to limit the types of copying permitted under the standards of fair use under judicial decisions and that are stated in Section 107 of the Copyright Revision Bill. There may be instances in which copying that does not fall within the guidelines stated below may nonetheless be permitted under the criteria of fair use.

- **Guidelines**

I. Single Copying for Teachers

A single copy may be made of any of the following by or for a teacher at his or her individual request for his or her scholarly research or use in teaching or preparation to teach a class:

- a chapter from a book;
- an article from a periodical or newspaper;
- a short story, short essay or short poem, whether or not from a collective work; or
- a chart, graph, diagram, drawing, cartoon or picture from a book, periodical, or newspaper.

II. Multiple Copies for Classroom Use

Multiple copies (not to exceed in any event more than one copy per pupil in a course) may be made by or for the teacher giving the course for classroom use or discussion; provided that:

- the copying meets the tests of brevity and spontaneity as defined below; and,
- meets the cumulative effect test as defined below; and,
- each copy includes a notice of copyright.

- **Definitions**

Brevity

(i) Poetry:

- (a) a complete poem if less than 250 words and if printed on not more than two pages or,
- (b) from a longer poem, an excerpt of not more than 250 words.

(ii) Prose:

- (a) Either a complete article, story or essay of less than 2,500 words, or
- (b) an excerpt from any prose work of not more than 1,000 words or 10% of the work, whichever is less, but in any event a minimum of 500 words.

[Each of the numerical limits stated in “i” and “ii” above may be expanded to permit the completion of an unfinished line of a poem or of an unfinished prose paragraph.]

(iii) Illustration: One chart, graph, diagram, drawing, cartoon or picture per book or per periodical issue.

(iv) “Special” works: Certain works in poetry, prose or in “poetic prose” which often combine language with illustrations and that are intended sometimes for children and at other times for a more general

audience fall short of 2,500 words in their entirety. Paragraph “ii” above notwithstanding such “special works” may not be reproduced in their entirety; however, an excerpt comprising not more than two of the published pages of such special work and containing not more than 10% of the words found in the text thereof, may be reproduced.

Spontaneity

- (i) The copying is at the instance and inspiration of the individual teacher, and
- (ii) The inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

Cumulative Effect

- (i) The copying of the material is for only one course in the school in which the copies are made.
- (ii) Not more than one short poem, article, story, essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during one class term.
- (iii) There shall not be more than nine instances of such multiple copying for one course during one class term.

[The limitations stated in “ii” and “iii” above shall not apply to current news periodicals and newspapers and current news sections or other periodicals.]

• Prohibitions

III. Prohibitions as to I and II Above

Notwithstanding any of the above, the following shall be prohibited;

- copying shall not be used to create or to replace or substitute for anthologies, compilations or collective works. Such replacement or substitution may occur whether copies of various works or excerpts therefrom are accumulated or reproduced and used separately;
- there shall be no copying of or from works intended to be “consumable” in the course of study or of teaching. These include workbooks, exercises, standardized tests and test booklets and answer sheets and like consumable material;
- copying shall not:
 - substitute for the purchase of books, publishers’ reprints or periodicals;
 - be directed by higher authority; or
 - be repeated with respect to the same item by the same teacher from term to term; and
- no charge shall be made to the student beyond the actual cost of the photocopying.

• University Procedure

Employees in need of making copies of any printed material that has a copyright protection on it, must follow the procedures below.

1. If the printed material needed is out of print and this book will be used for a class, an employee may go to the Bookstore Manager and request Copyright Permission. This involves giving the Bookstore Manager a copy of the book and letting the manager know how many copies are needed.
2. The Bookstore Manager will call Xanadu (the copyright permission house) or the publisher directly to request permission. Allow approximately three (3) to six (6) weeks for the permission request to be processed.
3. If permission is granted, a letter will be sent to the Bookstore Manager stating exactly what is allowed and what fees must be charged. There is always a royalty fee that is charged.

4. The Bookstore Manager will bring the book and a copy of the letter to the print room for copies to be made.
5. Once the printing is completed, the original book and the copies will be brought to the Bookstore Manager to be sold in the Bookstore.
6. If the printed material is still in print, in most cases permission to make copies will be granted. The employee will be informed that the book is still in print and to purchase it.

If an employee needs to make a copy of a chapter out of the book, a short story, poem, a graph, chart, picture, etc., the Copyright Act of October 19, 1976, Section 107 of title 17 of the United States Code will need to be followed. The Act is posted on the 'S' share drive, and there is also a copy in the print room.

2.20.14 Acceptable Use of The University Technology Resources

This Acceptable Use Policy (AUP):

1. provides guidelines for responsible use of the University's technology resources by all users;
2. states the policies that The University applies in providing technology resources and network services to the University community;
3. explains enforcement procedures of this AUP; and
4. applies to all those using University Computing Equipment¹ whether they are on or off campus.

• Guidelines for Responsible Use of University Technology Resources

The University recognizes that free expression of ideas is central to the academic environment. For this environment to flourish, all users must adhere to the guidelines in this AUP.

The University voluntarily provides computing equipment and services. The primary purposes of this computing equipment are the academic, research, administrative and communications need of its students, faculty and staff. The use of computing equipment for other purposes is tolerated provided that it does not violate any:

- (a) federal, state and/or local law;
- (b) University mission or policies; or
- (c) guideline in this AUP.

Notwithstanding any other provision of this AUP, all information transmitted via the computing equipment is treated as University related information and is subject to review by the University. Access to all University owned and/or operated computing facilities is a privilege and not a right. Individuals who refuse to follow the AUP will not be granted user accounts. Violations of the AUP by individuals with accounts may result in penalties including but not limited to closure of all accounts and revocation of all computing privileges. Other penalties may be levied, up to and including financial penalties, dismissal from the University or termination of employment.

User responsibilities include, but are not limited to:

1. maintaining privacy and security by keeping all passwords confidential;
2. honoring all computing security procedures implemented by the University;
3. not wasting resources, i.e., logging off when not using a PC, printing only needed number of pages, storing only files needed for future use;
4. deleting old and unused e-mail and file(s) on a periodic (at least a monthly) basis; and
5. maintaining the accuracy of private mail groups by updating when members change.

University network restrictions include, but are not limited to:

1. users may not misuse, abuse or otherwise damage University computing equipment;
2. no one may install or use any software or hardware designed to disrupt the security of any computing equipment, whether owned by the University or by others;
3. no one other than Information Technology staff may download or install any software on any University computer;
4. no one may use University resources to support political or non-University related business interests;
5. no one may sell or provide access to the University's computing equipment to outside individuals, groups or businesses except: (1) as authorized by the Executive Vice President and (2) for authorized University business relationships;
6. recreational uses—such as games or sharing music or video files—are tolerated as long as they are:
 - (a) legal;
 - (b) do not tax or interfere with the primary purposes of the system; and

¹ "Computing Equipment" shall mean all computers, software, wiring, network components and network services owned and/or provided by The University.

- (c) do not interfere with the primary purpose of your position at the University, as determined by the Information Technology Director, the Director of Human Resources or the Associate Vice President for Student Affairs (These activities require significant storage space. If the system is overloaded, or a person is in violation of the AUP, privileges may be revoked);
7. no one may engage in any activities designed to monitor or spy on network traffic or to access passwords, user IDs, files or programs of other users;
 8. no one may engage in software piracy or copyright or other intellectual property infringement. Note that a single-copy software license is not a license to share software;
 9. no one may send, store, print or solicit receipt of e-mail messages, files or programs that contain fraudulent, discriminatory, harassing, racist or obscene language except with the express prior authorization of the Information Technology Director, visual or audio content. Exceptions may be made for legitimate academic research purposes;
 10. note that any e-mail message (other than official University business) sent to an individual after that individual has indicated in writing or via e-mail that they no longer want to receive e-mail from the sender may constitute harassment. Complaints are handled via the Enforcement Procedures section (see below);
 11. no one may use e-mail to engage in "chain letter" or "spamming" [bulk or unsolicited "junk" e-mail activity];
 12. no one may send, store, print or solicit receipt of e-mail messages, files or programs that are offensive or in conflict with the Mission Statement of The University, or federal, state or local laws; and
 13. no one may use University computing resources for illegal behavior or activities as defined by federal, state and/or local laws.

- **University Technology Resources and Network Service Policies**

Disclaimer: The responsibility for the content of personal files, programs, web pages and e-mail rests solely with the individual and not with the University. The University generally does not monitor the contents or embedded links of personal user accounts or personal web pages although it expressly reserves the right to do so.

To preserve the integrity and maintain efficient functioning of the University's computing facilities, the University enforces the following policies:

1. all e-mail (read or unread) stored within any folder of Outlook (or the University's current e-mail application) will be deleted after ninety (90) days;
2. backup service for individual e-mail is not provided;
3. bulletin Board messages of events will be posted for thirty (30) days and then removed;
4. the creation of public mail groups is limited to University departments, committees and official student organizations;
5. a 10 MB block of home directory (network drive) space is provided for each registered student;
6. computing equipment is provided for academic, research, administrative and communications uses;
7. the University reserves the right to establish time limits on the use of public workstations as needed;
8. the University realizes that the free expression of ideas is central to academia, but will not tolerate the display of pornographic, obscene, defamatory, abusive, discriminatory, racist or other inappropriate material at any public workstation (The University reserves the right to judge the appropriateness of material displayed on public workstations);
9. the University's computing equipment constitutes a private system. As such, the information stored on the computing equipment is the property of the University with the exceptions noted in the Creative Works sections of the Faculty Handbook(Part 2);
10. the reliability of security measures implemented by the University is not guaranteed and the computing equipment may be subject to access by third parties; and
11. the University respects the privacy of authorized users of its computing resources. Therefore, the University will not access the personal files or monitor the system usage of any authorized user without that individual's consent, with certain exceptions:
 1. a subpoena;
 2. a written request from the Director of Public Safety to provide information as part of an ongoing investigation by Public Safety. The Executive Vice President must endorse such a request for

- students, the Provost and Chief Academic Officer for faculty or the Executive Vice President for non-faculty employees;
3. a written request from a Systems Administrator, based on reasonable evidence that files or programs stored in an authorized user's directory are the source of interference with the efficient functioning of the University computing facilities. The Chief Information Officer must endorse such a request;
 4. a written request from the President and/or the Provost and Chief Academic Officer; or
 5. Information Technology will maintain records of all of these requests for access and will report the number of requests annually to the Information Technology Advisory Committee.

Student accounts are deleted after graduation or after one (1) year of inactivity. Employee accounts are disabled as soon as the Information Technology Department is notified of termination of employment.

- **Enforcement Procedures**

THE UNIVERSITY RETAINS UNFETTERED DISCRETION TO AUTHORIZE, CONTROL OR STOP THE USE OF THE COMPUTING EQUIPMENT AT ITS SOLE DISCRETION.

Violations of the AUP will be referred to the Vice President of Student Life (students), the Provost and Chief Academic Officer (faculty) or the Executive Vice President (non-faculty employees) for action through the established disciplinary processes of the University.

The result could be these or other disciplinary actions:

4. files and/or programs may be deleted;
5. user access privileges may be inactivated;
6. user account may be removed;
7. user may be suspended, expelled or terminated from University employment;
8. referred to law enforcement; and
9. and civil legal liability.

If a user believes that his or her rights have been violated by another user of the University computing facilities, he/she should report the incident to the Vice President for Student Life (students), or his/her supervisor (faculty and staff).

2.23.3 Hazardous Waste Disposal

University employees who handle toxic or hazardous substances in the performance of their jobs are required as a condition of their employment to maintain, use and dispose of such substances in accordance with applicable federal, state and local laws and regulations. The employee must obtain assistance in ascertaining his/her obligation under these laws and regulations from Human Resources. Any employee who knowingly and willingly violates any such laws or regulations shall be deemed to have acted outside the scope of his/her authority.

Human Resources and University Police must be notified of any accidents, spills, or any other potentially dangerous incidents involving hazardous materials.

Human Resources will coordinate the clean up and disposal of any chemical or biohazardous waste.

2.23.4 Fund Raising Policy

- **University Internal Fund Raising Policy**

University fund raising by any employee or authorized volunteer shall be subject to the policies and procedures as directed by the President or the Chief Officer of Advancement. Deposit and use of such funds shall be subject to the regulations established by the Vice President of Business and Finance Services. Such fund raising activities must be coordinated through the President or the Chief Officer of Advancement, who publishes specific guidelines regarding fund raising events and philanthropic efforts.

- **University External Event Fund Raising Policy**

University involvement in any external fund raising event that involves use of University grounds or the use of the University name/seal, must be approved in writing by the Executive Vice President.

2.23.5 Drug-Free Workplace

Benedictine University is committed to providing its employees with a safe, healthy and productive environment by maintaining a drug and alcohol-free workplace. Our students depend on us to be alert and attentive to their needs. Therefore, Benedictine University does not tolerate substance abuse. If we feel the safety or well-being of any person is jeopardized, we reserve the right to take whatever action is necessary.

When there is reasonable cause to believe that an employee is under the influence of drugs or alcohol, medical testing will be required. Testing will also be done following a work-related accident involving injuries and/or significant property damage and on a random basis. Test results, or refusal to participate in testing, may lead to corrective action up to and including termination of employment.

Employees are encouraged to seek confidential referral and assistance in dealing with substance abuse issues. The Student Health Office has information on local agencies and organizations to contact for the assessment and treatment of substance abuse. There is an employee assistance program through the University's employee health insurance. For information contact Human Resource Management Systems, LLC.

2.23.6 Smoking on Campus

Smoking or use of any form of tobacco is not permitted on campus.

2.23.7 Workplace Violence

Because safety in the workplace is very important, threats, implied threats, threatening behavior, acts of violence, possession of a dangerous or deadly weapon, or any related conduct that is disruptive will not be tolerated.

Contact Benedictine University Police extension 6666 or 9-1-1 in an emergency

2.23.8 Whistleblower Protection Policy

Title: Whistleblower Protection Policy; Faculty, Staff and Students

Policy Reference: By-Laws of Benedictine University

Background:

A University demonstrates accountability for its conduct by having in place a mechanism for members of its community to let the University know if they become aware of concerns about how its business is being conducted. A number of federal and state laws provide protection for those “whistleblowers” within an organization who reveal misconduct to those in authority.

Policy Statement:

Benedictine University (“University”) expects its trustees, officers, faculty and staff to advance the University’s mission of an inclusive academic community dedicated to teaching and learning, scholarship and service, truth and justice, as inspired by the Catholic intellectual tradition, the social teaching of the Church, and the principles of wisdom in the Rule of St. Benedict. The University expects its trustees, faculty and staff to conduct their activities in accordance with University policies and procedures and all applicable laws, rules and regulations. The University strongly encourages all trustees, faculty,

staff and students to report suspected or actual misconduct by Benedictine employees through channels that the University establishes for such reporting. No University faculty member, administrator, staff member or student may interfere with the good faith reporting of suspected or actual wrongful conduct, and no individual who makes such a good faith report shall be subjected to retaliation, including harassment or any adverse employment, academic or educational consequence, as a result of making a report. Diligent efforts will be made to protect the individual making a complaint from retaliation for his/her good faith activities in the initiation of, or cooperation with an inquiry or investigation of wrongful conduct. The University will not tolerate retaliation and will take whatever action is necessary and appropriate to address a violation of this policy, up to and including dismissal from employment.

Definitions:

• **Misconduct:** Violations of law, rule or regulation; the willful failure to comply with federal or state requirements or University policies or procedures; use of University or research funds, facilities or staff for unauthorized and/or illegal activities; conflicts of interest; and any unethical or dishonest conduct. A non-exhaustive list of misconduct includes:

- a) Bribes or kickbacks
- b) Disclosure of confidential information
- c) Excessive gift(s) from a vendor
- d) Falsification of time sheets or University records
- e) Improper financial reporting
- f) Inappropriate relationships with employees, students or vendors.
- g) Information security breach
- h) Misuse of sponsored research funds
- i) Purchase of personal items with University funds
- j) Questionable accounting/auditing
- k) Research misconduct
- l) Sexual or other forms of harassment of, or discrimination against, an employee or student

- m) Shortcomings in regulatory compliance (as an illustration only, improper hazardous waste disposal)
- n) Theft or misappropriation of University assets for personal benefit

Roles and Responsibilities

All Benedictine University employees are responsible to:

- Comply with all applicable laws, rules and regulations and University policies and procedures in carrying out his/her duties and responsibilities for the University;
- Seek guidance about the propriety of any practice under University policies and procedures from his/her supervisor, the Chief Legal and Risk Management Officer or other University official having compliance responsibility;
- Report misconduct, regardless of whether the employee is personally involved in the matter, to their immediate supervisor, manager, department chair, dean or director, or the University office or official who has responsibility for overseeing compliance with the particular policy or procedure;
- Consult with Human Resources or the Chief Legal and Risk Management Officer if you are unsure to whom he/she should make a report or address his/her concerns; and
- Have a reasonable factual or articulable basis for believing that misconduct has occurred, and include as much specific information as possible to allow for proper assessment of the nature, extent and urgency of the misconduct incident or concern, and participate reasonably in activities (including where applicable any investigation) under this policy.
- Employees may make an anonymous report by completing the University's Anonymous Reporting Form on the Human Resources and Compliance, Legal and Risk web pages. All reports are routed directly to the Compliance, Legal and Risk Office for review and then directed to the appropriate University official(s) for follow-up and possible investigation.
- The University is responsible to:
 - Conduct an appropriate and discreet investigation of all reports of misconduct. The details of the investigation will be kept as confidential as feasible, consistent with University policies and applicable federal, state and local laws.
 - Review every report to the hotline. An investigation will be conducted if allegations of unethical or illegal activity are supported by specific information, corroborating evidence, or otherwise have a reasonable factual or articulable basis. Departments within the University that have responsibility for conducting investigations include the following (and may include others, as appropriate): The Provost and Chief Academic Officer, Human Resources, Student Life, Information Technology, the Chief Legal and Risk Management Officer and Business and Finance.
 - Involve other departments in investigations based on their areas of oversight, responsibility or expertise.
 - Provide an appropriate and timely response to each report submitted through the hotline.
- Allegations of misconduct concerning the following are reported to and investigated by the University office/official indicated:
 - Academic fraud or research misconduct – the Department Chairpersons, Deans, the **Associate Provost for Academic Affairs**, or the **Provost and Chief Academic Officer**.
 - Athletics – **Dean of Students**
 - Conflict of interest – the **supervisor, department chair or director**, but, if it concerns supervisory personnel, it should be reported to and investigated by the **dean, or university officer who is responsible for the unit** (See Conflict of Interest Policy for further information)
 - Financial misconduct, inappropriate expenditure(s) of funds including grant funds, any allegation regarding questionable internal controls, accounting practices or auditing matters, – **Chief Legal and Risk Management Officer**
 - Information Security – **Chief Information Officer**
 - Security or criminal activity – **Campus Police**

- Sexual or other forms of harassment, discrimination and personnel issues – the employee’s immediate supervisor, **Human Resources, or any other senior University official**
- Workplace safety and environmental or hazardous materials/hazardous waste – **Emergency Preparedness Manager & Safety Specialist**
- An employee who is unsure to whom he/she should make a report or address his/her concerns should consult with the University’s Chief Legal and Risk Management Officer.
- An employee who comes forward in good faith with reports or concerns about compliance with University policies or procedures shall not be subject to reprisal or retaliation for making such a report. Any employee who believes that he/she is being retaliated against for making such a report should immediately bring it to the attention of his/her dean or the Provost and V.P. for Academic Affairs (for academic employees) or to Human Resources (for staff employees) for immediate investigation.

Contacts:

- | | |
|---|----------------|
| • Nancy Stoecker, Chief Legal and Risk Management Officer | (630) 829-6402 |
| • Human Resources | (630) 829-6020 |
| • Dr. Kenneth Newbold, Provost and Chief Academic Officer | (630) 829-6240 |
| • Dr. Cheryl Heinz, Associate Provost for Academic Affairs | (630) 829-6581 |
| • Timothy Hopkins, Chief Information Officer | (630) 829-6364 |
| • Michi Dubes, Emergency Preparedness Manager/Safety Specialist | (630) 829-6006 |
| • Marco Masini, Dean of Students | (630) 829-1101 |
| • Debra Vanderploeg, Interim Chief of Police | (630) 829-1104 |
| • John Schade, Interim Chief Financial Officer | (630) 829-6407 |

Additional Resources:

- ***Board of Trustees Handbook***
- ***Faculty Handbook***
- ***Employee Handbook***
- ***Benedictine University Conflicts of Interest Policy***

Date of Issuance: April 30, 2009

Last Revised: May 10, 2021

Department Responsible: Compliance, Legal and Risk

2.23.9 Conflict of Interest Policy

Title: Conflicts of Interest Policy; Trustees, Officers, Faculty and Staff

Policy Reference: By-Laws of Benedictine University

Background:

The Federal Tax Code, state laws pertaining to not-for-profit charitable organizations and common law principles of fiduciary duty prohibit self-dealing by insiders in order to assure the integrity and objectivity of the organization's decision making. In addition, federal laws and regulations mandate conflict-of-interest-related requirements for a university's federally funded research and other activities.

Benedictine University's (the "University's") Conflict of Interest Policy protects University assets including its reputation by assuring the integrity and objectivity of the University's decision making. It describes the responsibility of Trustees, officers, faculty and staff to discharge their responsibilities to the University, consistent with its mission without even the appearance of impropriety; and provides for disclosure, proscription and resolution of potential conflicts in the University's best interests.

This Conflicts of Interest Policy supplements but does not replace the By-Laws of Benedictine University Article XVI: Conflict of Interest; or the Faculty Handbook Conflicts of Commitment, or any conflicts of interest provisions contained in the Benedictine University Employee Handbook.

Policy Statement:

Benedictine University expects its Trustees, officers, faculty and staff to advance the University's mission with integrity; conducting themselves at all times so as to protect scrupulously the interests of Benedictine University; observing and complying with all laws, rules and regulations and avoiding situations where their personal interests or the interests of family, friends or associates might be or appear to be in conflict with those of the University.

Definitions:

1. **Compensation:** Direct and indirect remuneration as well as gifts, favors, loans, advances, special discounts or services in excess of \$50.00.
2. **Compelling Benefit:** Guidelines established by the Association of Governing Boards to determine if a conflicted transaction should be permitted for being not only fair, reasonable, and in the University's interest, but for also bringing a compelling benefit to the University.
3. **Conflict of Commitment:** Time devoted to an external activity which adversely affects a person's capacity to meet University obligations.
4. **Conflict of Interest (COI):** A Conflict of Interest is a personal interest that impairs or reasonably appears to impair a person's independent, unbiased judgment in the discharge of his or her responsibilities to the University. A non-exhaustive list of potential Conflicts of Interest includes:
 - a. Advancing any initiative that is incompatible with the person's fiduciary duty to the University;
 - b. Using a person's role at the University or knowledge gained at the University to achieve personal gain, or gain to family, friends or associates;
 - c. Using the time and effort for which a person is compensated by the University, or University resources, toward non-University ends;

- d. Receiving Compensation from a business where the business would appear to benefit from the person's decision on behalf of the University;
 - e. Pursuing an economic opportunity identified in the course of University service, where the opportunity is not widely available, and has not been disclosed to the appropriate University officials.
5. **Economic Interest:** A person has an economic interest if the person has, directly or indirectly, through business, investment or family, any actual or potential ownership or investment interest in, or compensation arrangement with, any person with which the University has or is negotiating a transaction or arrangement.
6. **Institutional Conflict of Interest (ICOI):** A potential Institutional Conflict of Interest may be deemed to exist where the relationship between the University and an external entity compromises (or appears to compromise) the integrity of the institutional decision making. Examples of potential ICOI are:
- a. When the University has a financial interest, such as stock ownership or royalty interest, in a company that sponsors or has its own financial interest in research at the University; or
 - b. Commercial arrangements that provide collateral benefits to the University such as where a vendor or prospective vendor offers a gift to the University or where the University shares in the revenue generated by the sale of products or services to students, faculty, alumni or other constituents.
7. **Person:** Any individual, trust, estate, partnership, association, company or corporation.
8. **The Standard:** The standard for determining if a Conflict of Interest exists is whether reasonable observers having knowledge of all relevant circumstances, would conclude that the person has an actual or apparent Conflict of Interest in a matter related to the University.

II. Duty to Disclose

1. Trustees and Officers

- a. Each Trustee and Officer of the University shall annually disclose in writing, any actual or potential conflicts of interest and all material facts which impair or appear to impair their independent, unbiased judgment in the discharge of his/her responsibilities to the University by signing and submitting a Trustee disclosure statement to the Governance Committee of the Board of Trustees.
- b. Potential new conflicts shall be disclosed to the Chairman of the Board of Trustees or the Chief Legal and Risk Management Officer at the earliest practical time. The Chief Legal and Risk Management Officer shall directly bring any Conflict of Interest disclosure to the attention of the Chairman of the Board of Trustees.
- c. The President of Benedictine University shall annually inform the Governance Committee of the Board of Trustees of major institutional relationships and transactions that present potential Institutional Conflicts of Interest.
- d. The Governance Committee shall annually report to the full Board, the Conflicts of Interest disclosed by the Trustees pursuant to this policy and the Committee's decisions regarding the Conflict(s).

2. Each member of a Board Committee who is not a Trustee shall comply with University policies pertaining to Trustee Conflicts of Interest and Disclosure.

3. Faculty

- a. Each Faculty member shall annually disclose actual or potential Conflicts of Interest and actual or potential Conflicts of Commitment by signing and submitting a University disclosure statement.

- b. Any faculty member who engages in sponsored research shall also disclose any potential conflicts of interest relating to the research on their annual conflicts disclosure statement.
 - c. Disclosures are to be updated at the earliest possible time as pertinent new interests or situations arise.
4. Employees
- a. Each employee shall annually disclose any actual or potential conflicts of interest, by signing and submitting a University disclosure statement.
 - b. It is the responsibility of all employees to report to the Chief Legal and Risk Management Officer any potential conflict of interest of which he or she becomes aware in a matter related to the University.
 - c. Disclosures are to be updated at the earliest possible time as pertinent new interests or situations arise.
 - d. Employees disclosing a conflict should not initiate any contract or transaction relating to the disclosed conflict in a matter related to the University, until the conflict is reviewed and resolved.

III. Conflict Review, and Resolution

1. Trustees disclosures shall be reviewed annually by the Governance Committee of the Board of Trustees (the Committee).
 - a. The Trustee disclosing a conflict shall provide all material facts concerning the conflict to the Committee.
 - b. The Committee shall determine based on a consideration of all relevant facts and any other pertinent information including comparable transactions whether the Conflict of Interest is fair, reasonable, and in the University's best interest.
 - c. The Committee shall apply the Association of Governing Boards' *Guidelines on Compelling Benefit* to further determine if the Conflict of Interest is permitted, and whether and how the Conflict is to be managed.
 - d. If the Committee finds that the Trustee's conflict of interest is extensive, it may bring the issue to the full Board for its consideration and further inquiry as warranted. The Governance Committee's decisions regarding Conflicts shall be recorded in the minutes of the meeting where the matter is decided.
2. Faculty disclosures shall be reviewed by the Dean and the Provost and Chief Academic Officer, (provided, that where such disclosure is made by a Dean or the Provost and Chief Academic Officer, then the President shall have such responsibility).
 - a. The faculty member shall provide all material facts concerning the Conflict to the Dean and the Provost and Chief Academic Officer, who together shall decide if a conflict exists.
 - b. If a conflict is found to exist, the Provost and Chief Academic Officer shall determine whether the University will approve the Faculty member's involvement and how the Conflict will be managed.
 - c. The decisions of the Provost and Chief Academic Officer regarding Conflicts shall be recorded and a copy sent to the Office of Compliance, Legal and Risk.
3. Employee disclosures shall be reviewed by the employee's next level manager and Divisional Leader (provided further, that where such disclosure is made by the Divisional Leaders or Chief Legal and Risk Management Officer, then the President shall have such responsibility).
 - a. The employee shall provide all material facts concerning the Conflict to the employee's next level manager and Divisional Leader, who together shall decide if a conflict exists.

- b. If a conflict is found to exist, the Divisional Leader shall determine whether the University will approve the employee's involvement and how the Conflict will be managed.
 - c. The decisions of the Divisional Leader regarding Conflicts shall be recorded and a copy sent to the Office of Compliance, Legal and Risk.
- 4. Review and recommendations for resolution of Institutional Conflicts of Interest shall be made by the Chief Legal and Risk Management Officer to the President, with final decision by the Board of Trustees.
- 5. The Office of Compliance, Legal and Risk, the Office of the Provost and Chief Academic Officer, and the Office of Business and Finance, are available to provide assistance in answering questions, providing guidance on approaches to resolving conflicts of interest, and in addressing any unique or complex situations.

IV. Conflict Administration and Annual Statements

- 1 The Chief Legal and Risk Management Officer shall have responsibility for the annual distribution of this Policy and disclosure questionnaire. The Office of Compliance, Legal and Risk shall retain all records pertaining to this Policy including the responses to the disclosure questionnaire and the review and resolution of disclosed conflicts. (Where the Chief Legal and Risk Management Officer makes any disclosure under this Policy, the pertinent records shall be maintained by the President or his designee.)
- 2 University Trustees, officers, faculty and employees shall annually sign a statement which affirms that each:
 - a. Has received a copy of this Conflicts of Interest Policy and University By-Laws;
 - b. Has read and understands their responsibilities under the Policy and By-Laws;
 - c. Has agreed to comply with this Policy, By-Laws and other conflicts of interest provisions applicable to them in their role at the University; and
 - d. Understands that the University is a charitable organization and in order to maintain its federal tax exemption must engage primarily in activities which accomplish one or more of its tax-exempt purposes.

V. Violations of Conflicts of Interest policy

1. If, after referral from the Governance Committee, the Board of Trustees determines that a Trustee's conflict of interest is extensive, it may request that the Trustee resign or may vote by 2/3 majority of those present to remove the Trustee from the Board permanently or temporarily.
2. If the University has reasonable cause to believe a person has failed to disclose actual or potential conflicts of interest the appropriate University official shall inform the person of the basis for the belief and afford the person, the opportunity to explain the alleged failure to disclose.
3. If, after hearing the individual's response and after making further investigation as warranted by the circumstances, the University determines the person has failed to disclose an actual or potential conflict of interest, the appropriate University official shall take appropriate disciplinary and corrective action.

Contacts:

- **John Schade, Interim, Chief Financial Officer (630) 829-6407**
- **Dr. Kenneth Newbold, Provost and Chief Academic Officer (630) 829-6240**

- Nancy Stoecker, Chief Legal and Risk Management Officer (630) 829-6402

Additional Resources:

- *Benedictine University By-Laws*
- *Guidelines on Compelling Benefit, Association of Governing Boards*
- *Board of Trustees Handbook*
- *Faculty Handbook*
- *Employee Handbook*
- *Whistleblower Protection Policy*

Date of Issuance: April 30, 2009

Last Revised: May 10, 2021

Department Responsible: Office of Compliance, Legal and Risk

2.23.10 Research Misconduct Policy

Title: Research Misconduct Policy; Faculty, Staff and Students
Policy Reference: Faculty, Staff and Student Handbooks

Background

As a recipient of federal research funds, Benedictine University (University) must have policies and procedures in place to handle allegations of research misconduct. Among the applicable requirements are regulations issued by the Public Health Service (PHS), *Policies on Research Misconduct* (42 CFR Part 93, effective June 16, 2005) which require institutions that apply for or receive PHS support for biomedical or behavioral research, biomedical or behavioral research training, or activities related to that research to have policies and procedures in place to address and resolve allegations of research misconduct.

Policy Statement

Academic honesty is expected and required of all faculty and research personnel in teaching, research and publication activities. Faculty members are expected to exemplify the best scholarly and ethical standards of their discipline and be a model of academic honesty in their own behavior. Misconduct in research is inimical to academic honesty, a breach of Benedictine University values and a failure to meet the expectations of scholarly communities for accuracy, validity and integrity in research. Members of the academic community have a responsibility to report what they believe to be research misconduct and to cooperate in investigations of research misconduct. This Policy applies to all research conducted at the University, whether or not federally funded (and whether or not supported by PHS), and to all members of the University's research community who are employed by, are agents of, or are affiliated by contract or other agreement with the University.

Process Statement

Benedictine University promptly, thoroughly, objectively and fairly investigates allegations of research misconduct and protects from retaliation the rights and reputations of all parties involved in allegations of research misconduct, including those suspected of research misconduct and those who report research misconduct in good faith. Members of the University's research community who are found to have committed research misconduct or who make bad faith allegations of research misconduct are subject to disciplinary action up to and including dismissal.

Definitions

- **Research Misconduct:** The fabrication, falsification, plagiarism or other serious deviation from commonly accepted practices in the relevant scientific community for proposing, performing or reviewing research, or in reporting research results. Research misconduct does not include honest error or differences in opinion.
 - Fabrication is making up data or results and recording or reporting them.

- Falsification is manipulating research materials, equipment or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is the appropriation of another person's ideas, processes, results or words without giving appropriate credit.
- Serious deviation from accepted practices includes but is not limited to:
 - Abusing confidentiality, including the use of ideas and data gained from:
 - Access to privileged information, or
 - Peer review of proposals considered for funding by agency panels or by internal committees.
 - Stealing, destroying or damaging the research property of others with the intent to alter the research record; and
 - Directing, encouraging or knowingly allowing others to engage in fabrication, falsification or plagiarism.
- **Allegation:** A disclosure of possible research misconduct through any means of communication. The disclosure may be by written or oral statement or other communication to any institutional official.
- **Complainant:** The individual(s) who submits an allegation of research misconduct.
- **Conflict of interest:** External activity or interest that interferes with or adversely affects a faculty or staff member's capacity to meet University obligations, or calls into question whether the faculty or staff member's professional actions or decisions are determined by considerations other than the best interests of Benedictine University.
- **Good faith allegation:** An allegation made with the honest belief that research misconduct may have occurred. An allegation is not in good faith if it is made in reckless disregard for or willful ignorance of facts that would disprove the allegation.
- **Inquiry:** Preliminary process of gathering information to determine whether an allegation or apparent instance of research misconduct warrants a formal investigation.
- **Investigation:** The formal examination and evaluation of all relevant facts to determine, based on a preponderance of evidence, whether research misconduct has occurred and, if so, to determine the responsible person and the nature and seriousness of the research misconduct.
- **Research:** A systematic investigation, including research development, testing and reporting, designed to develop or contribute to general knowledge. The term encompasses basic research, applied research, and research training activities in areas such as biomedical and life sciences, natural sciences, humanities and the arts, and social and behavioral sciences.
- **Research personnel:** Anyone participating in research conducted at the University including but not limited to faculty, staff and students. The term "faculty" includes individuals of all faculty designations (including but not limited to "regular", "probationary", "tenured", "term", "visiting", or "adjunct") and of all ranks.
- **Research record:** The record of data or results that embody the facts resulting from scientific inquiry, including but not limited to, research proposals, laboratory records,

both physical and electronic, progress reports, abstracts, theses, oral presentations, internal reports, and journal articles, and any documents and materials provided by the Respondent in the course of the research misconduct proceedings.

- **Respondent:** The individual(s) against whom an allegation of research misconduct is directed or the individual(s) whose actions are the subject of an inquiry or investigation.
- **Retaliation:** Any action that adversely affects the employment or other institutional status of a complainant or other individual and which occurs as a result of the individual's good faith allegation of research misconduct or participation in a research misconduct proceeding.
- **Sequestration:** The collection, segregation and holding under secure and restricted access of research records, equipment and other tangible or intangible information pending the conclusion of the research misconduct investigative process.

Roles and Responsibilities

- All University employees are responsible to:
 - Report observed, suspected or apparent research misconduct to the Provost, Department Chair, the Chief Compliance Officer or any senior University official. Reports of misconduct may be made in person or anonymously by telephone (at 866-326- 2747) or via the internet at the Benedictine University Compliance and Ethics Hotline website (www.ben.ethicspoint.com);
 - Report allegations involving any Dean directly to the Provost and allegations against the Provost directly to the President;
 - Cooperate with University officials and the PHS Office of Research Integrity (ORI) (and the investigative office of any other agency that supports or funds research at the University, as applicable) in the review of allegations, and the conduct of inquiries and investigations;
 - Provide relevant information and original research records and materials to University and ORI (and any other sponsoring agency investigative, as applicable) officials conducting the Inquiry and Investigation; and
 - Protect the privacy and confidentiality of Complainants and Respondents.
- The Chief Compliance Officer is responsible to:
 - Diligently oversee the fair, unbiased and efficient administration of this Policy;
 - Assess allegations in consultation with the Provost and/or other University Officials to determine if they fall within the definition of research misconduct and are sufficiently credible and specific to warrant an Inquiry;
 - Dismiss any allegations which are not credible and/or sufficiently specific or which do not meet the definition of research misconduct and in such instances, set forth the reason for the dismissal action in a memorandum, and provide written notice to the Respondent and Complainant of the fact that allegations were dismissed and the reason(s) for the dismissal;
 - Determine if any interim actions are necessary to protect public health, federal funds and equipment and the integrity of the research process, and to recommend such actions to the Provost for implementation;

- Initiate and conclude the Inquiry and Investigation within the time limits established by regulation (where applicable);
- Provide all notices and reports (with opportunity for comment, where applicable) to the Complainant and Respondent as required by this Policy and applicable regulation;
- Sequester research records relating to the research misconduct allegations;
- Provide all required notices and reports to the ORI and the sponsoring agency (and the investigative office of any other agency that sponsors or supports research at the University, as applicable);
- Thoroughly and sufficiently document the Inquiry and Investigation and draft the Inquiry and Investigation Reports; and
- Maintain records (including originals of records and documents where appropriate) of proceedings and actions taken under this Policy for a period of seven (7) years from the date of creation.
- The Provost is responsible to:
 - Implement interim actions as recommended by the Chief Compliance Officer (or document the reasons for modification or declination of such recommended actions);
 - Appoint members of the Inquiry and Investigation Teams;
 - Review the Reports of the Inquiry and Investigation Teams and accept, remand to the Teams or overrule the Teams' findings and determinations of further action;
 - Prepare detailed documentation of any decision to remand or overrule the Investigation Team's determination;
 - Recommend appropriate disciplinary sanctions against Respondents (and Complainants, where applicable);
 - Determine if unsubstantiated allegations were made not in good faith; and
 - Notify the Chief Compliance Officer, and the editors of any affected journals and publications and the institutions, individuals and sponsoring agencies with which the individual has been affiliated, of the final outcome of the Investigation and disciplinary decision.

Policy Administration

- A finding of research misconduct made under this Policy requires that:
 - There be a significant departure from accepted practices of the relevant research community; and
 - The misconduct was committed intentionally, knowingly or recklessly; and
 - The allegation is proven by a preponderance of the evidence.
- When allegations of research misconduct include allegations regarding students, fact finding into the allegations regarding students shall proceed in accordance with the procedures outlined in this Policy. The Provost may forward findings of fact related to misconduct of students to the Vice President of Student Life, in addition to sanctions determined by the Provost pursuant to this Policy and/or the University's Academic Honesty Policy.
- This Policy does not attempt to establish guidelines for the conduct of research, though researchers should be highly cognizant of their responsibilities to meet the highest standards in selecting collaborators, gathering, evaluating and reporting data, supervising junior colleagues, authoring publications, disclosing suspicions of misconduct, cooperating in any authorized inquiry or investigation, and maintaining the highest standards of ethical behavior

in the conduct of research and a general climate of intellectual honesty.

- Neither the University nor the Respondent may have legal counsel present at the meetings of the Inquiry or Investigation Teams, except at the express invitation of the Teams (and any such invitation must be extended to both parties). When invited, legal counsel may observe but may not participate in the proceedings. With the prior approval of the Teams, the Respondent may be accompanied by a non-attorney colleague at meetings of the Teams (but such non-attorney colleague may observe but shall not participate in the meetings).

The Inquiry

- The Inquiry will be conducted in the following manner:
 - The Chief Compliance Officer and at least one other person appointed by the Provost constitute the Inquiry Team.
 - The Inquiry Team must be fair, objective and impartial and must possess, where required, the competence to understand the research in question.
 - The Inquiry Team will:
 - To the extent not previously implemented, obtain custody of, and sequester, all research records and evidence needed to conduct the research misconduct proceeding;
 - Confirm the provision of (or if necessary, provide) written notice of the Inquiry to the Respondent(s);
 - Not disclose the identities of the Complainant(s), the Respondent(s), the fact of the Inquiry and Team findings to anyone not having a need to know the information or except as necessary to carry out the Inquiry;
 - Make a determination as to whether or not an Investigation should be conducted, on the basis that (i) a reasonable basis exists for concluding that the allegation falls within the definition of research misconduct, and (ii) preliminary information-gathering and preliminary fact-finding indicate that the allegation may have substance;
 - Complete the Inquiry within sixty (60) calendar days of its initiation, unless circumstances warrant a longer period. If more than sixty (60) days is taken, the record must include documentation of the reasons for the extension of time. (Where a sponsoring agency requires a different time frame, the Inquiry Team will follow such agency's requirements);
 - Prepare a written report at the conclusion of Inquiry conformed to the requirements of PHS (or of another sponsoring agency, if applicable);
 - Provide the Respondent an opportunity to review and comment on the Inquiry report, and attach any comments received to the Report;
 - Provide a copy of the Inquiry report (including Respondent's comments, if any) to the Provost; and
- Where an Inquiry Team determines that an Investigation is warranted, notice will be provided to the Respondent (including a copy of the Inquiry report (with Respondent's comments), a copy of this Policy, and where applicable, reference to the PHS regulations, 42 CFR Part 93). Where applicable, the University will provide notice to PHS in accordance with PHS regulations.

The Investigation

- The Investigation will be conducted in the following manner:
 - Where the Provost determines to initiate an Investigation, the Provost shall provide written notice to the Respondent within a reasonable time following such determination, but before the Investigation begins, specifying the charges to be examined by the Investigation. The Provost also may provide notice to the Complainant, and to the Respondent's Dean and/or Department Chair, that the Provost has determined that an Investigation is warranted;
 - The Provost will appoint an Investigation Team consisting of at least three (3) persons, with a maximum of two (2) members from either the Respondent's or the Complainant's respective departments. The Team members must be fair, objective and impartial and must possess sufficient competence to understand the research in question, and should include one or more persons with expertise in the area in question (such experts may include persons outside the University). Any person having a conflict of interest with or prior involvement in, the substance of the Respondent's research will not be eligible for appointment to the Team. Additionally, the Chief Compliance Officer will be an *ex officio* member of the Investigation Team for purposes of the administration of this Policy.
- In conducting the Investigation, the Team will:
 - Comply with the procedures, time frames and notices required by the PHS regulations, where applicable (or the requirements of another sponsoring agency, if applicable), and the following:
 - Consult with the Chief Compliance Officer as to the procedures and process for conducting the Investigation;
 - Make a diligent effort to ensure that the Investigation is thorough and sufficiently documented and includes examination of all research records and evidence relevant to reaching a decision on the merits of the allegations;
 - Give the Respondent the opportunity to appear before the Team to be interviewed and to present information on his or her behalf;
 - Make a tape-recording of all interviews, provide a copy of the transcript to interviewees for review and correction and include a copy of all transcripts in the record of the Investigation;
 - Provide a draft of the Investigation report, concurrently with a copy of or supervised access to the evidence on which the report is based, to the Respondent with an opportunity for him or her to present comments on the draft report within thirty (30) days after the date Respondent received the draft report;
 - Determine the contents of the final Investigation report by majority vote on the basis of a preponderance of evidence (and consideration of Respondent's comments, if any, on the draft report, and include any such comments with the final report), and prepare the report in conformance with PHS regulations to the maximum extent applicable (or the requirements of another sponsoring agency, if applicable);
 - Provide the final Investigation report to the Provost, with the complete file and investigation record assembled by the Investigation Team;
 - Conduct the Investigation with all appropriate urgency and complete the

- Investigation within 120 calendar days of its beginning; and
- Submit a copy of the final Investigation Report to the Respondent by certified mail (with return receipt), or personal delivery (with signature to acknowledge delivery).
- The final Investigation Report will constitute the factual basis for any subsequent disciplinary proceedings against the Respondent.

Disciplinary Actions

- The Provost will review the final report of the Investigation Team.
 - If the Provost accepts or concurs with a finding by the Investigation Team that a preponderance of evidence substantiates that the Respondent committed research misconduct, the Provost will:
 - Recommend sanctions against the Respondent including but not limited to dismissal, suspension, reprimand, limitation on grant submissions, or suspension or monitoring of research;
 - Report the outcome of the Investigation and submit recommendations of sanctions:
 - Regarding faculty to the President;
 - Regarding students to the Vice President of Student Life; and
 - Regarding non-faculty employees (and any other research personnel) to the appropriate Department Manager, or Vice President.
 - If the Provost accepts or concurs with a finding by the Investigation Team that a preponderance of evidence does not substantiate that the Respondent committed any alleged instance of research misconduct, the Provost will, with respect to such allegations:
 - Make all reasonable efforts to protect or restore the reputation of the Respondent;
 - Determine if the allegations were made not in good faith, and if so, recommend appropriate sanctions against the Complainant(s).
 - Additionally, where the Provost's review of the final Investigation report determines that additional analysis or fact-gathering by the Investigation Team is required, the Provost may return the Investigation report to the Team for further proceedings consistent with this Policy.
 - In the case of any appeal by a non-faculty employee or a student with respect to a finding of a preponderance of evidence substantiating an allegation of research misconduct, or with respect to the imposition of any sanction based upon such a finding, the appeal will be decided by the President.
 - In the case of any faculty member, any appeal with respect to a finding of a preponderance of evidence substantiating an allegation of research misconduct, or with respect to the imposition of any sanction by the President based upon such a finding, shall be presented to, and decided by, the Board of Trustees.
 - Because of the technical nature of the facts and issues in these cases, the consideration of appeals by the President and Board of Trustees shall not include the presentation or consideration of any information or evidence that was not presented to the Investigation Team and the fact-finding set forth in the final Investigation report shall be conclusive. However, if the Respondent establishes

that there is newly discovered evidence that could reasonably and materially affect the outcome and which the Respondent could not have discovered and presented in the Investigation through reasonable diligence, the matter may be returned to the Investigation Team for further proceedings consistent with this Policy.

- The Provost will notify the Chief Compliance Officer, the editors of any affected journals and publications, and institutions, individuals and sponsoring agencies with which the individual has been affiliated, of the final outcome of the investigation and disciplinary decision.

Contacts:

- Dr. Elizabeth Ritt, Dean of the College of Science and Health (630) 829-1933
- Dr. Kenneth F. Newbold, Provost and Chief Academic Officer (630) 829-6240
- Nancy Stoecker, Chief Compliance Officer and Legal Counsel (630) 829-6402

Additional Resources:

- *Faculty Handbook*
- *Employee Handbook*
- *Student Handbook*
- **Benedictine University Conflict of Interest Policy**
- **Benedictine University Whistleblower Protection Policy**

Date of Issuance: June 8, 2010

Last Revised: August 3, 2018

Department Responsible: Academic Affairs

2.25 Benefits Opportunities

In addition to your regular pay, Benedictine University is very proud to extend benefit opportunities to our eligible employees and their immediate families. These employer-sponsored benefit plans are a very important part of your total compensation package. They represent both a significant financial investment in our employees and a valuable asset to you and your family:

Medical – Blue Cross/Blue Shield

Dental – Delta Dental

Vision – Superior Vision

Life Insurance - 2x salary

Accidental Death and Dismemberment

Short-Term and Long-Term Disability

Tuition Remission – undergraduate and graduate level

Dependent Full-Time Tuition Remission (under 24 years of age) undergraduate level at participating institutions within the exchange programs, and undergraduate and graduate level at Benedictine University

Spouse Tuition Remission – undergraduate and graduate level at Benedictine University

Ten University paid holidays

Retirement Savings Plan through TIAA. Currently, a participant in the plan can contribute up to 7% of his/her salary. 100% employer matching contribution up to 4% of salary; non-elective employer contribution equal to 3% of salary.

Flexible Spending Account

Employee Assistance Program

Some benefits may require a waiting period for eligibility in order to participate. Also some benefits are optional and may require employee contributions. Benedictine University reserves the right to make unilateral changes at any time to these benefits.

Gallagher Benefits Services (GBS) located in Naperville, is our outsourced benefits partner and our benefits connection. GBS handles all enrollments, changes and questions for the following benefits: medical, dental, vision, long-term disability, short-term disability, life insurance, accidental death and dismemberment, flexible spending account. Please contact them at 866-596-7228.

Please contact Human Resources for the following benefits: TIAA, tuition remission application process and short-term or long-term disability claim submissions.

Additional University Benefits:

Direct Deposit

Use of the Benedictine Fitness Center and Rice Center Arena.

Access to group fitness classes through the campus recreation program.

Preferred employee discounts: Barnes & Noble University Bookstore; Sodexo Food Service Meal Plans; HP Employee Purchase Program (including exclusive savings of up to 20% on HP products)

University Special Employee Discounts: children's summer camps; special events

Free Parking

Liberty Mutual Insurance Employee Reduced Rate for Home & Auto Insurance

Short-term Disability

Benedictine University offers short term disability to employees who have reached their one-year anniversary date of benefit eligible employment. Short-term disability is a supplement to sick leave for cases of extended time off for approved medical reasons of five (5) or more consecutive days. Short-term disability provides salary benefits to an employee while they are on a leave approved by the insurance carrier.

Please contact the Director of Human Resources to facilitate your short-term disability request

Long-term Disability

Long term disability is available to benefit eligible employees who have been disabled because of a serious medical condition for ninety (90) consecutive days.

Please contact the Director of Human Resources for further information.

Moving Expense Allowance

Newly hired Regular, Professional or Term Faculty may be granted a moving expense allowance. The specific amount shall be determined by the Dean and the Provost and Chief Academic Officer and specified, in writing, in the initial letter of appointment.

2.26.2 Summer School Faculty Salary Schedule

For Regular, Professional and Term Faculty, the rate per compensation hour is

Quarter

Instructor	\$	540.00
Assistant Professor	\$	554.00
Associate Professor	\$	637.00
Professor	\$	727.00

Semester

Instructor	\$	750.00
Assistant Professor	\$	830.00
Associate Professor	\$	955.00
Professor	\$	1,090.00

Independent Study - quarter [per student credit hour generated] \$ 120.00

Independent Study - semester [per student credit hour generated] \$ 175.00