SECTION H

CONTRACTS, TENURE, PROMOTIONS, PERSONNEL QUESTIONS, AND RETRENCHMENT POLICIES

I. Faculty Appointments and Employment Conditions

A. Appointments

Personnel actions are the subject of recommendations from the academic unit, as provided in the Constitution, but no final action with reference to personnel should be attempted at the academic unit level without referral to the college dean, the provost/executive vice president, the president, and/or the Executive Committee. Following a search and recruiting process, the procedure suggested in the hiring of new full-time faculty is as follows:

- 1. Leader of the academic unit and dean agree on a recommended candidate.
- 2. Candidates for tenure-track positions are interviewed by the provost/executive vice president.
- 3. Leader of the academic unit assumes responsibility for introducing candidate to voting members of the academic unit and for securing their reactions. If there is opposition to the appointment, the dean confers with those who object to the candidate.
- 4. The president, the provost/executive vice president, the dean, and the leader of the academic unit agree on rank and salary to be offered.
- 5. The president issues a contract: one copy to the appointee, one copy to the president, one copy to the dean, one copy to the provost/executive vice president, one copy to Human Resources.
- 6. In any academic unit in which there is no designated leader, the dean of the college assumes the duties of the leader of the academic unit in the recruitment and appointment process.
- 7. If any one of the voting members of an academic unit does not respond to a written notice to meet a candidate, he/she will be presumed to have waived the right to be consulted in the appointment of the candidate.

Candidates for permanent part-time positions and non-tenure-track full-time positions must be interviewed by the dean of the college concerned and the leader of the academic unit before the appointment is made. The dean of the college issues a letter assigning work to the accepted candidate.

Under ordinary circumstances, responsibility for initiative in recruiting and investigation falls upon administrative officers (deans, leaders of academic units, and the president). However,

members of the faculty are encouraged to submit the names of qualified persons to fill vacancies.

B. Contracts

For full-time, tenure-track faculty: Annual full-time contracts are issued upon employment or change in employment. Each year the provost/executive vice president notifies the voting members of the faculty as to the procedures by which recommendations may be filed with respect to promotions, termination, reappointments and extensions of service. The Rules of Procedure supplement the Faculty Constitution and are established in consultation with the University Faculty Personnel Committee.

For full-time, non-tenure-track faculty: Non-tenure-track lecturers and instructors may be appointed for one year, initially. Subsequent contracts may be for longer renewable terms, not to exceed three years per contract. There is no limit to the number of times an individual non-tenure-track lecturer or instructor may be reappointed for one-, two-, or three year terms after the initial one-year term.

For adjunct faculty: Adjunct instructors receive letters of appointment for one semester. These letters are sent in accordance with the RAFO/RU contract (Article 4E).

C. Salaries

Annual salaries are indicated in contracts or in salary increase letters. Individual salary information is not given out except on the explicit instruction of the individuals to whom the salaries are paid. Another exception, of course, is that data required for ordinary business operations such as for payroll and budgeting will be released. Checks are distributed by the Business Office, on dates specified in contracts. (See also Section J)

D. Transportation and Other Professional Expenses

Up to \$185 will be paid toward the following expenses of full-time faculty members: professional dues and subscriptions, travel to and fees of professional meetings, costs of reprints, and typing and clerical expense of publication. An additional amount may be available toward the transportation expenses of full-time faculty giving papers or taking an equivalent part in activities at professional meetings. Requests for additional funds for presentations at professional meetings may be directed to the college dean.

E. Academic Personnel File

The academic personnel record should be maintained in the office of the college dean. Materials in the file at the time of initial appointment include: University application form, academic unit recommendation, complete transcript, letters of reference. On a yearly basis the file should be updated to include: current vita or faculty update form, annual evaluation, report of the dean's review. The faculty member should have access to all parts of this file except designated confidential letters: the letters of the leader of the academic unit, the dean of the college, the provost/executive vice president, and internal and external letters of recommendation deposited in the file.

F. Presence at the University and Faculty Office Hours

A full-time faculty member's primary professional responsibility is to the University. A full-time faculty member is expected to spend *at the University* a minimum of twenty hours per week distributed over three or more days for teaching, advising students and rendering service to the University. Class schedules, committee meetings, etc., are determined by the University to meet its needs. Therefore, daily availability to perform University duties is expected. A form on which to indicate class schedule, office hours, and information about availability is issued each semester by the office of the college dean. One copy is to be posted on the office door, and any subsequent changes in schedule should be reported to other recipients of the form. Full-time faculty are expected to maintain a minimum of three clock hours of office hours per week distributed over several days. Part-time faculty should consult their dean or leader of the academic unit concerning their responsibility for maintaining office hours.

G. Academic Year

The academic year for faculty begins on the 15th day of August and ends with the Spring Commencement. It is the responsibility of each faculty member to be available for appropriate University duties during the academic year.

H. Work Load

For full-time, tenure-track faculty: Job responsibilities for full-time, tenure-track faculty include teaching, scholarship, and service. The mix of these responsibilities may vary depending upon individual circumstances; however, the expected teaching portion is eighteen semester hours per academic year.

Special rules for calculating teaching loads apply to programs utilizing laboratory, clinical, or applied performance study by students. Formulas for such situations are available in the Office of the Provost and are monitored by the Budget Committee.

For full-time, non-tenure-track faculty: The expected teaching load for full time, non-tenure-track faculty is eight three-semester-hour courses per academic year. At the discretion of the dean, in consultation with the provost/executive vice president, some of the teaching time for full-time, non-tenure-track faculty may be reassigned. Service to the University such as membership on committees and academic advising is within the scope of responsibility for non-tenure-track lecturers and instructors; however, there is no research or publication expectation for faculty with these ranks.

For visiting faculty: Visiting faculty may be hired on a single-year basis to fill a vacant full-time faculty position or to bring special expertise to the University. The teaching expectation for these faculty members will vary from six to eight three-semester-hour courses per academic year. Non-teaching duties for visiting faculty may be negotiated by the college dean in consultation with the provost/executive vice president.

For adjunct faculty: The normal teaching load for adjunct faculty is no more than six semester hours per semester.

I. Large Sections

Unusually large sections are subject to special arrangement at the discretion of the provost/executive vice president upon recommendation of the dean of the college.

J. Overload Teaching

Extra compensation is provided for overload teaching but is regarded as an emergency measure in most cases. Overload teaching should be kept within reasonable limits in order that proper attention may be given to all classes and to other required duties. The limit on overload compensation is six semester hours per academic year for any full-time member of the faculty.

K. Teaching by Administrators

Full-time members of the administrative staff may teach provided they have the permission of their supervisor and limit their teaching to classes that meet prior to 9:00 am or after 5:00 pm or on weekends (consistent with their administrative duties). Administrators may teach a maximum of three semester hours in any one semester or term and a maximum of six hours in any 12-month period. Members of the Council of Deans or the Executive Council who teach are compensated at overload rates while all others are paid the average part-time rate for their academic unit.

L. Independent Study

Independent Study compensation is awarded upon completion of 30 semester hours of independent study supervision. Independent study must be authorized by the leader of the academic unit and college dean and certified by the registrar. All packages of 30 semester hours must be reported in the semester in which they are completed; no "banking" of prior packages is permitted. No more than 15 hours of independent study courses may be offered by a faculty member in one semester.

Compensation may be in the form of overload pay for one course according to the overload payment scale by rank or by a load reduction of one three-semester-hour course. Requests for compensation for independent studies must be submitted to the college dean for approval before being submitted to Human Resources for processing. Compensation will not be awarded for instruction of students participating in a regularly scheduled course.

M. Summer Teaching Load

No faculty member may teach more than 12 semester hours in any combination of summer terms with a maximum of eight semester hours in any one term.

Full-time faculty teaching summer courses are expected to advise students or provide other forms of University service during the summer as approved by the dean of the college. Twenty hours of advising or service are expected for each three-semester-hour course taught.

N. Selective Teaching Load Reduction

Load reductions are provided on the authority of the provost/executive vice president for specified research projects; special service; or administrative functions such as chairmanships, advising, or program direction. The grant of load reduction will be made by

the provost/executive vice president, on recommendation of the leader of the academic unit and college dean, and after consultation with the president.

O. Joint Appointments

On the recommendation of the appropriate unit heads, deans, and the provost/executive vice president, the president may authorize the appointment of a faculty member to more than one academic unit and/or college. The appointment by the president will stipulate the title to be held by the faculty member, the academic unit and/or college which will have primary control over the faculty member's duties, and in which the faculty member is to hold voting rights.

P. Visiting Professorships and Faculty Exchanges

The University looks with favor upon exchanges and visiting professorships. Proposals for visiting professorships and exchanges are processed in the same way as new appointments. In the case of exchanges, the negotiations are ordinarily carried on by the leader of the academic unit or the person who wishes to participate in the exchange, but there should be full consultation with the dean and other concerned parties before any promises are made. The simplest type of exchange, especially if the visiting professor is to come from another country, is that in which the persons exchanged are of approximately the same rank and receive approximately the same salary.

Q. Research and Professional Improvement Leaves

When authorized by the Budget Committee, a faculty committee convened by the provost/executive vice president will invite applications for research and professional improvement leaves. Leaves are granted by the president on the recommendation of the provost/executive vice president who is advised by the Research Leave and Professional Improvement Committee.

Research leaves are available to any full-time member of the faculty or administration with two or more years of service. Grants cover salary for one semester. Recipients of research leaves become eligible to reapply after five years.

Professional improvement leaves may be available to full-time members of the faculty who have served seven years or more. Grants cover full salary for one semester or half-salary for two semesters. Recipients may reapply after six years.

Awardees of both research and professional improvement leaves are expected to return to Roosevelt University for at least one year or repay the University. Members of the administrative staff are also eligible for leaves of up to six months plus annual vacation. When leaves are available, full details and criteria for applications will be sent to all eligible faculty and administrative staff by the provost/executive vice president.

R. Outside Work

A full-time staff member's primary professional responsibility is to the University. However, the following factors justify the University's permitting outside professional activities for compensation under certain conditions: a) exceptional skills of staff members are thus made

available as a contribution to the community; and b) practical experience in the faculty member's field may enrich his/her teaching and/or research. No outside commitment of time (including but not limited to self-employment, consulting or employment in a second job) which precludes a person from being available for University assignments will be permitted. Written approval must be received annually from the appropriate dean or chief administrator. (An application form is included with faculty and administrator contracts and salary increase letters.) The following policy will govern the approval of such activity:

- 1. Outside work should be consistent with the academic training and prestige of the academic profession.
- 2. No outside employment shall be competitive with any academic program of the University, nor shall it utilize the premises of the University.
- 3. There shall be no implication that the University sponsors such activity.
- 4. Outside work does not justify any employee spending less time on campus than is normally expected and does not excuse neglect of any University obligation normally expected of the employee including office hours, committee work, registration assignments, etc.
- 5. Generally, outside work requiring more than an average of 12 hours per week shall be considered to impinge on the employee's obligations to his/her primary position with the University.
- 6. Any outside work which conflicts or interferes with scheduled classes or other University commitments is improper.
- 7. Faculty, including administrative officers, must avoid conflicts of personal interest with the interests of the University or with those of an outside agency sponsoring research or other work in which the faculty member is engaged. (see Conflict of Interest Policy in Section C).

S. Absences From Classes

In general, absence from classes and substitution of instructors should be avoided. If it is absolutely necessary to miss a class session, the instructor must contact the leader of the academic unit and dean and, if possible, arrange for a substitute or a make-up session. If the instructor is unable to secure an acceptable substitute, the leader of the academic unit should secure a substitute. Financial arrangements involving the University will be made by agreement with the dean, subject to approval by the controller. Arrangements for securing and paying substitute teachers will vary according to the reason for the regular instructor's absence.

1. In the event of absence due to personal business, the instructor is expected to arrange for an acceptable substitute and to pay the substitute for his services. Such an arrangement must be approved in advance by the dean of the college. The teacher acting as substitute

will be paid at his/her rate per annum or on a pro-rata basis. The absentee instructor will be charged by the University at his/her pro-rata share of salary for the time of absence.

- 2. In the event of absence due to attendance at academic meetings or due to services performed on behalf of the University, suitable arrangements must be made with the college.
- 3. In the event of absence due to illness, other members of the academic unit or an acceptable outside substitute may be secured to meet classes.
 - a. If an adjunct faculty member must miss more than one class due to an extended illness, the University may prorate the adjunct's salary after the first week and deduct the prorated portion to compensate the substitute teacher.
 - b. In the event of an extended illness of a full-time member of the faculty, the University will pay all of the substitute's compensation for a period up to one semester. The arrangement with the substitute must be approved by the college dean and the controller in advance.
 - c. The substitute will be paid his/her regular rate of compensation per course, per week, or the rate of the person who is ill, whichever is lower.
 - d. Payments made to employees while ill are exempt from FICA tax. Please consult with the Business Office regarding the procedures for claiming this exemption.

T. Religious Holidays

Roosevelt University respects the rights of students to observe major religious holidays and will make accommodations, upon request, for such observances. Students who wish to observe religious holidays must inform their instructors in writing within the first two weeks of each semester of their intent to observe the holiday so that alternative arrangements convenient to both students and faculty can be made at the earliest opportunity. Students who make such arrangements by the deadline will not be required to attend classes or take examinations on the designated days, and faculty must provide reasonable opportunities for such students to make up missed work and examinations. However, all work missed for such absences, including papers and examinations, must be made up. Students who do not arrange for excused absences by the deadline are not entitled to such accommodations.

Instructors who are absent for religious reasons must clearly inform their classes ahead of time, include the planned absence on the syllabus, and notify the program head. They must supply a substitute, reschedule the class at a suitable time, or make special assignments for the time missed.

II. Standards for Tenure, Reappointment, and Promotion

A. Standards.

Each faculty member is expected to demonstrate competence in teaching, productive scholarship, and service to the Roosevelt and larger community. Evidence for these accomplishments is documented and gathered according to the following procedures.

1. Teaching and Advising

Excellence in teaching is the most crucial component in the criteria for reappointment, tenure and promotion. Teaching shall be assessed on the basis of student comments on the candidate's performance included in the academic personnel file, and other documented evaluations which may include observation and evaluation by other faculty members. Supervision of master's and doctoral theses, service on master's and doctoral candidates' committees, guidance of honors papers, or independent studies should be included in the assessment of teaching. Development of new courses shall also be considered. All faculty shall regularly participate in advising students unless otherwise assigned by their dean or academic unit leader. Evaluation of teaching and advising shall be included in the academic unit leader's annual evaluation of each faculty member.

2. Scholarship

Scholarly, professional, and creative activities are crucial components in the criteria for reappointment, tenure, and promotion. The candidate should have the appropriate terminal degree or its equivalent. Evidence of the conduct of scholarly, professional, and creative activity will include the publication of books, textbooks, articles, reviews, presentations of papers at academic, and professional conferences, journalism, performance, and documented preparation of performance, and professional or creative activities appropriate to each discipline. It is recognized that qualitative judgments regarding the merit of the candidate's scholarly, professional, and creative activity will need to be made. Therefore, for promotion and tenure, outside evaluations of the candidate's record should be obtained and considered.

3. Service

Service is an important component in the criteria for reappointment, tenure and promotion. It can be divided into two categories: service to the Roosevelt community and service to the larger metropolitan and academic community. Activities may include appointment, election, and participation in University committees and other designated University activities. Service to the larger metropolitan and academic community may include appointment, election, and participation in learned societies and professional organizations; consultation to one's field or community; participation in community and civic affairs.

Colleges shall be responsible for devising standards documents for the evaluation of scholarly, professional, and creative activity that will be applicable within the college. Standards documents approved by the dean and the college's Executive Committee shall be forwarded to the University Faculty Personnel Committee (UFPC) for recommendation to the provost/executive vice president for final approval and general conformity with the standards specified above (see Appendix to Section H at the end of this section).

B. Procedures for Tenure, Reappointment, and Promotion

- Sept. 15 For tenure, reappointment, and promotion: By this date, the provost/executive vice president notifies all voting members of the faculty that the tenure, reappointment, and promotion process will begin for eligible faculty.
- Senate At the September meeting, the provost/executive vice president announces the names of faculty members who are eligible for a tenure or reappointment decision during the academic year and the names of any individuals who have been granted tenure since the last announcement in April.
- Sept. 30 For tenure and promotion only: By this date, the candidate submits to the leader of the academic unit a list of experts jointly generated and approved by the candidate, the academic leader, and the dean of the college. From this list, the college dean's office solicits confidential letters of reference, to be received by December 1. These letters go into the candidate's academic personnel file.

For reappointment of individuals holding initial one-year contracts: The candidate submits to the dean of the college a letter of candidacy for reappointment.

For tenure, reappointment beyond the first year, and promotion: The candidate and the dean and/or leader of the academic unit begin to gather a file, for submission by November 30. The candidate's file should be based on the standards above and the relevant college-level standards, and should include the following:

- 1.A complete academic personnel record from the office of the college dean.
- 2.An updated vita, including the following, as applicable:
 - 1. Biographical and educational data
 - 2. Courses taught
 - 3. Advising responsibilities
 - 4. Service
 - 5. Honors
 - 6. Research and grants
 - 7. Publications
 - 8. Presentations
 - 9. Other creative work

(Evidence of teaching and advising, service, and scholarship included in the vita need not be repeated in the categories listed below.)

- 3. Evidence of teaching and advising:
 - 1. Student evaluations of faculty
 - 2. Recent syllabi
 - 3. Other teaching material, as applicable

- 4. Evidence of scholarship, including the following, as applicable:
 - a. Publications
 - b. Books
 - c. Presentations
 - d. Performances and compositions
 - e. Exhibitions
 - f. Recitals
 - g. Other activities appropriate to particular disciplines
- 5. Evidence of service: A statement addressing the evidence and the candidate's future plans as they relate to the Roosevelt University mission
 - a. Participation in academic unit, college, and University activities and committees; holding office on these committees
 - b. Participation in learned societies and professional organizations; holding office in these organizations
 - c. Consulting to the field and the community
 - d. Participation in community and civic affairs

These materials must be submitted by November 30.

- Nov. 30 For tenure, reappointment beyond the first year, and promotion: Deadline for submission of materials described above.
- Dec. 1 For tenure and promotion only: Requested deadline for receipt of confidential letters described above.
- Dec. 15 For tenure, reappointment beyond the first year, and promotion: By this date, the voting members of the academic unit and/or peer committee must review the candidate's file and cast a secret ballot. The results of this vote shall be recorded in the academic unit minutes. The academic unit vote and any relevant explanations become part of the candidate's file. The candidate is notified in writing of the academic unit vote.
- Senate At the December meeting the provost/executive vice president announces the names of those faculty who are applying for tenure, reappointment, and promotion during the academic year.
- Jan. 5 By this date, the leader of the academic unit prepares a letter that:
 - 1. Thoroughly discusses the candidate's performance as teacher and advisor, as scholar and in service.

- 2. Compares the candidate to persons in similar university environments, citing both strength and weaknesses.
- 3. Recommends for or against reappointment, tenure, or promotion.

By this date, the candidate's file, with all of the above, is forwarded to the Executive Committee of the college and the dean of the college.

- Jan. 7 For reappointment of individuals holding initial one-year contracts: By this date the dean of the college forwards a letter of recommendation to the provost/executive vice president.
- Jan. 15 For reappointment of individuals holding initial one-year contracts: By this date the provost/executive vice president makes the final decision and notifies the candidate.
- Feb. 1 For tenure, reappointment beyond the first year, and promotion: By this date, the college Executive Committee makes a recommendation after deliberation and forwards the candidate's academic personnel file to the University Faculty Personnel Committee. The Executive Committee should summarize its action in its narrative report, listing the candidate's strengths and weaknesses, and should include this in the file, with a copy to the college dean. The faculty member is informed in writing of the decision of the Executive Committee.
- Feb. 15 For tenure, reappointment beyond the first year, and promotion: By this date, the dean of the college writes a letter of recommendation to the provost/executive vice president. The dean informs the candidate in writing of the recommendation.
- March 1 For tenure, reappointment beyond the first year, and promotion: By this date, the University Faculty Personnel Committee (UFPC) makes a recommendation based on all of the evidence included in the candidate's file. The UFPC informs the candidate in writing of the results of its vote, with a concise list of reasons, before referring it to the provost/executive vice president. The candidate has until March 10 to respond to the UFPC's action. A copy of the Committee's letter will be sent to the appropriate college dean and included in the candidate's file. Where a candidate is being recommended for reappointment with a second multi-year contract, the UFPC's letter should note any weaknesses that may jeopardize the candidate's receiving tenure in the future.
- March 10 For tenure, reappointment beyond the first year, and promotion: By this date, the candidate may respond in writing to the UFPC's recommendation, and the UFPC is then obligated to re-examine the candidate's case in light of the written response.
- March 15 For tenure, reappointment beyond the first year, and promotion: By this date the UFPC's final recommendations will be forwarded to the provost/executive vice

president and executive vice president. The candidate and dean also receive written notification of the recommendation.

- March 31 *For full-time, non-tenure-track*: By this date, the dean will have sent a letter of recommendation to the provost/executive vice president concerning reappointment or non-reappointment.
- April 3 For tenure, reappointment beyond the first year, and promotion: By this date, the provost/executive vice president forwards the candidate's file and a recommendation to the president.
- April 10 For tenure, reappointment beyond the first year, and promotion: By this date, the president makes the final decision and notifies the candidate.
- April 30 For full-time, non-tenure-track: By this date, the provost/executive vice president will have sent letters of reappointment or non-reappointment. Letters will include the term of appointment and rank. When salaries for the academic year have been assigned, full-time, non-tenure-track faculty will receive contract letters signed by the provost/executive vice president.
- Senate At the April meeting, the provost/executive vice president announces the names of those individuals who have been granted tenure, reappointment, and promotion during the academic year.

C. Faculty Tenure Review Committee

Article V of the Constitution of the Faculty stipulates the requisite conditions and process by which a faculty member denied indefinite tenure may file an appeal. Essentially the faculty member must demonstrate that the denial of tenure resulted either from a denial of academic freedom or from inadequate consideration of relevant qualifications. The Faculty Tenure Review Committee, a committee of seven tenured members of the faculty, elected by the University Senate, adopts its own rules of procedure subject to Senate approval. The Faculty Tenure Review Committee also serves to evaluate any claim by a faculty member denied indefinite tenure, that during the terminal year of his contract, substantial changes in qualifications or University needs justify reconsideration of tenure.

III. <u>University Leave Policy</u>

A. Personal Leave

- 1. The deans of the colleges may grant a leave without pay to members of the faculty and administrative staff for a period not exceeding one academic year. Such leave may be granted if the following conditions are met:
 - a. The applicant applies in writing and such application has the approval of the chair and/or the appropriate dean or administrative supervisor.

- b. The college dean or administrative supervisor states in his/her approval that it is possible to operate the academic unit at the usual standard or level during the period of the applicant's absence.
- 2. Normally leave of absence will not be granted to more than one person in any one academic unit in any given semester.
- 3. Roosevelt University's insurance benefits will be available to persons on leave provided the University is reimbursed for the cost of the premiums and arrangements are made in advance with Human Resources.

B. Professional Leave

- 1. The president may grant a leave without pay for a period not exceeding one academic year to a full-time member of the faculty or administrative staff *if* such applicant has been awarded a professional grant, award, or fellowship from a nationally recognized foundation or government agency; or for other demonstrated professional purposes. Such leaves will be granted:
 - a. With full fringe benefits to the applicant based on the amount of salary that would have been paid were the applicant to have served in his/her regular capacity at Roosevelt University for the year in which the grant is to be utilized.
 - b. To any full-time member of the faculty or administrative staff employed at Roosevelt for at least two years.
- 2. Recipients of professional leaves assume the obligation to return to Roosevelt University for one academic year following completion of the leave, or they will be expected to reimburse the University for its fringe benefit costs incurred during the leave period.
- 3. Time spent on professional leave will not count toward tenure unless specifically authorized prior to the leave.

C. Extension of Leave

- 1. In the case of military service, the leave shall be automatically extended from year to year, during the term of service.
- 2. Leaves for other reasons, including sick leave: the leave may be extended, on request of the individual involved, to a total period of not more than three years. For extension beyond three years, an affirmative decision of the academic unit, the dean, and the Council of Deans is required.
- 3. The University may terminate a leave by giving six months' notice to the employee on leave to return to the employment of the University. Failure to return to employment

shall terminate the leave of absence and, therefore, any obligations of the University to the employee.

IV. Administrators Contracts

Administrative positions are divided into the following categories:

Members of the Executive Council Members of the Council of Deans Associate Administrators Assistant Administrators

Members of the Executive Council and the Council of Deans, upon appointment or reappointment, will receive annual or multiple year contract, at the discretion of the president, Full-time associate administrators with five or more years of continuous service as of September 1, will, upon appointment or reappointment, receive annual contracts beginning with September 1 and ending with August 31 of the following year.

Other full-time administrators will receive letters of appointment providing for employment on a month-to-month basis. The classification of administrators regarding associate and assistant status is determined by the senior vice president of finance and operations and CFO, director of human resources, and the provost/executive vice president.

In no event, however, will any administrator being paid from outside grant or research funds receive a contract extending beyond the end of the grant period.

V. Librarians

Professional librarians at Roosevelt University are accorded faculty-equivalent ranks which are noted on their contracts and letters of appointment. These are: "equivalent dean" (the University librarian); "equivalent instructor" (usually beginners in the profession); "equivalent assistant professor;" "equivalent associate professor;" and "equivalent professor."

Professional librarians at Roosevelt University are required to have a master's degree in library science, or its equivalent, broadly interpreted. They are also required to demonstrate knowledge and skills in specific functional and subject areas which will enhance their professional performance, and as a result engage in study and research to achieve that end. Good interpersonal skills are also required in order that the many constituencies which the library serves will find satisfaction.

Promotions from one equivalent rank to another may be applied for, or recommended by the professional library staff to the University librarian, who passes on such judgments, and his/her own, to the provost/executive vice president for action. Further details on procedures for promotions can be requested from the Library Office.

VI. Retirement and Extension of Service Policy

A. Retirement.

The end of the academic year in which a full-time faculty or administrative employee reaches the age of 65 is the date which the employee attains "normal retirement age." However, there is no mandatory retirement age for faculty who reach age 70 after 12-31-93. Tenure terminates as of the date of retirement.

The University will include in its medical insurance program retired persons who, at the time of retirement from all full-time employment, have been full-time members of the teaching or administrative staff at Roosevelt University for at least the last five consecutive years. The retiree, however, must reimburse the University for the cost of the premiums. Faculty members on part-time extended service may participate in the medical insurance program on the same basis as retired persons.

B. Emeritus Status: Faculty

- 1. Emeritus status is bestowed on those who have contributed measurably to Roosevelt University. It is honorific and intended to recognize career contributions to the University and its well-being.
- 2. Those eligible include tenured faculty members including administrators who hold faculty appointments. Rank will be the same as held during employment at Roosevelt, e.g. associate professor emeritus.
- 3. Emeritus status is not granted to anyone who has served less than ten years at Roosevelt University. The president upon recommendation of the provost/executive vice president and executive vice president may make exceptions to this rule.
- 4. Upon an eligible person's written notification of the intent to retire, the dean of the college will normally transmit to the provost/executive vice president and executive vice president a letter of recommendation nominating the individual for emeritus status. This letter shall include a statement of eligibility and provide a brief rationale for the recommendation. The provost/executive vice president shall confer with the president on the nomination, after which the president shall decide on whether to concur with the nomination by the dean and inform the individual of this decision.
- 5. Emeritus status begins immediately upon retirement and entitles the honoree to continued library access. At the discretion of the unit, emeritus faculty members, while not obligated, may be invited to participate in college committee work (with the exception of committees that make personnel recommendations and curricular decisions), to advise students, to supervise graduate theses, to serve on thesis committees, and to participate in curriculum development. Emeritus status does not entitle the recipient to space, personnel, or equipment unless a request is submitted and approved by the college dean.
- 6. Professors emeritus, but not their families, are eligible to enroll in courses tuition free at Roosevelt University.
- 7. Professors emeritus who continue to teach after retirement are eligible to use office space, secretarial support, and equipment when available. Requests are considered at the unit level and should be directed to the dean of the college.

8. Professors emeritus, who continue to teach, should be compensated at a rate commensurate with compensation of other categories of teaching faculty with similar seniority who teach on a per course basis.

C. Emeritus Status: Administrators

On the recommendation of the appropriate vice president, and with the advice and consent of the Council of Deans and the Executive Council, the president may grant the following privileges to members of the administrative staff who retire after fifteen years of service:

- a. Emeritus status should include library privileges.
- b. Emeritus status should include the right of the individual, but not family members, to participate in the tuition remission program for faculty and staff.

VII. Fringe Benefits For Part-time Faculty

Fringe benefits for part-time faculty are those specified in the bargaining agreement between Roosevelt University and RAFO.

VIII. Policies for Academic Retrenchment (revised 4/6/81)

Statement of Purpose: Due to declining enrollments and rising costs affecting universities throughout the country as well as Roosevelt University, it is essential to prepare for the possibility of a reduction of forces or programs in order to maintain the economic well being of Roosevelt University.

Under conditions requiring retrenchment, faculty members' contracts may be terminated or altered, academic programs may be eliminated or curtailed, or particular courses of instruction discontinued. But if any of these actions results in the termination of the contracts of tenured faculty, it must first be determined that the University is in a state of financial exigency. In the event of retrenchment, the Policies for Academic Retrenchment hereinafter set forth will govern.

In the implementation of these policies, academic freedom (as defined in Article V, Section, Clause 3 of the Constitution of the Faculty) shall be fully protected. Moreover, the president will take steps to assure that, insofar as possible, the burdens of "reduction in force" will be shared by both academic and non-academic areas of the University.

A. Authority to Effect Reduction in Forces or Programs

 The Board of Trustees has the authority to order reductions in the number of faculty members, programs or academic divisions, or discontinuance of particular courses of instruction. Such reductions may be ordered on the recommendation of the president of the University. Authorization to reduce forces, programs or academic divisions by the Board of Trustees will be general in nature. The responsibility for specific implementation of the reductions will be delegated to the president. Any such direction by the Board of Trustees will incorporate in it the rationale for the retrenchment and will be final and conclusive and not subject to review.

2. If in the judgment of the president of the University, after consultation with the appropriate dean(s), a reduction of forces is necessary for financial reasons affecting the University as a whole up to and including a state of financial exigency, or because of a pattern of declining enrollment in an academic division or program of the University, the president will consult with the Budget Committee regarding the fiscal reasons for any necessary action. He will also convene a Faculty Advisory Board to advise the president regarding general budgetary and programmatic considerations. The Faculty Advisory Board will consist of eleven tenured members of the teaching faculty with at least one from each college to be elected by the University Senate. Those members of the Advisory Board present at the time of its convening shall constitute its quorum. Nominations will be opened annually at the February meeting of the Senate.

Elections will take place at the March meeting. The first year, four members with the most votes will be elected for three-year terms; the four members with the next highest vote total will be elected for two-year terms; and the three with the next highest totals will be elected for one-year terms. Subsequently, all elections will be for three-year terms.

The Board will have access to pertinent information. Any dissenting opinion(s) of the Budget Committee or Faculty Advisory Board must be submitted in writing to the president within two weeks after convening. Thereafter, if in the judgment of the president, reductions in forces or discontinuance of programs are necessary, the president will submit a written report to the Executive Committee of the Board of Trustees. This report will set forth the pertinent facts such as declining enrollments (University-wide or in program areas), rising costs, insufficient funds and any other data relating to the financial condition of the University. The report will also provide recommendations concerning a reduction in work force or programs and any other savings or recommendations which are deemed necessary to deal with the financial problems in both academic and non-academic areas of the University. Any dissenting opinion(s) of the Budget Committee or Faculty Advisory Board will be appended to the president's report to the Executive Committee of the Board of Trustees. If the Executive Committee of the Board of Trustees concurs with the president's recommendations, the president's report together with comments, if any, by the Executive Committee of the Board will be forwarded to the Board of Trustees for action.

- B. <u>Determinants for Reduction in Forces, Programs, or Academic Divisions</u>
 The following will provide guidance to the president in recommending a reduction in forces, programs or academic divisions:
 - 1. A failure of the University to generate revenue sufficient to meet the budget.
 - 2. University-wide student-faculty ratio (full-time equated) of less than 15-1 overall.

- 3. A pattern of difficulty within a program area with respect to the program as a whole to maintain the required load of courses or an appropriate student credit hour load (e.g., an average class size of 11 students) for full-time members of the faculty.
- 4. Serious and continuing difficulty in supporting expanding and academically desirable or necessary programs in the University.
- 5. A declining pattern of enrollment which affects the capacity of the program or University to meet recognized or required certification or accreditation standards.
- 6. A declining pattern of enrollment in any program area or areas which makes difficult the maintenance of a viable academic program or particular course of instruction because of insufficient number of students to justify a course or sustain a major or degree program suitable for publication in the catalog.
- 7. A pattern of failure of any program to produce sufficient revenue to meet direct costs.
- 8. A declining pattern in the number of degrees granted each year by a program area.

C. Guidelines for Reduction in Forces, Programs, or Academic Divisions

The president will be responsible for preparing a retrenchment plan. The plan will include a statement of personnel and programmatic actions and a time schedule for implementation (but in no case longer than two years). Before implementation the president will also solicit the advice of the Faculty Advisory Board regarding the plan. In carrying out these responsibilities he will use the following guidelines to the extent, in his judgment, it is in the best interest of the University:

- 1. Whenever possible, less drastic means than termination will be attempted to alleviate financial stringency and to prevent financial exigency. These means may include but are not limited to alteration of faculty contracts to include summer sessions, alteration of contracts to less than full-time, and early retirement programs.
- 2. 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 in the academic program would otherwise result. Whenever practicable, part-time faculty will be terminated before full-time faculty.
- 3. The priorities established for termination in paragraph D-1 will be followed unless it is the judgment of the president that severe program distortions would result, or that maintenance of a viable academic program in related academic units would be hampered, or that laws or government regulations would be violated. In such instances, the president may modify and change the priority criteria.
- 4. In case of termination because of the reduction or discontinuance of a program or academic unit or course of instruction, the place of a tenured or tenure line faculty

member concerned will not be filled by a full-time replacement within a three-year period unless the terminated faculty member has been offered reinstatement and a reasonable time in which to accept or decline it.

- 5. Reasonable effort will be made to relocate terminated faculty within or outside the University provided that such transfer is agreeable to the receiving unit and to the concerned faculty member.
- 6. In the case of tenured faculty, whether terminated or reassigned, effort will be made to provide opportunity for retraining, including tuition remission for up to sixty credit hours, but the University is under no obligation to provide leaves or financial assistance for such training.

D. Procedures for Reduction of Forces

The president will implement reduction of forces in accordance with the following priorities if in his judgment such priorities are in the best interest of the University.

- 1. Reduction in forces in the University as a whole or in designated program areas will take place in the following order except in extraordinary circumstances where serious distortions of the academic program would result:
 - a. Faculty on probationary or visiting contracts in reverse seniority order, i.e., in the order of the number of years of full-time service at Roosevelt University.
 - b. Tenured faculty in reverse seniority order, i.e., in the order of the number of years of full-time, tenure-line service at Roosevelt University.
- 2. The granting of adequate notice, dating from the initial notification in writing by the president or his designee, and the following procedure for notification shall have high priority, if in the judgment of the president, the financial condition of the University permits:
 - a. Tenured faculty are to be given 12 months' notice or 12 months' salary as determined by the president.
 - b. Non-tenured, full-time faculty on three-year contracts are to be given six months' notice or six months' salary as determined by the president.
 - c. Non-tenured, full-time faculty <u>not</u> on three-year contracts shall be given up to six months' notice or up to six months' salary as determined by the president.
 - d. Said notice will contain a statement of the rationale used in making the decision to terminate. In addition, the notice will advise the individual of his/her right to appeal in accordance with Section E hereof.

E. Appeal Procedures

The following appeal procedures shall be available to tenured faculty members notified of a termination and to those faculty members whose probationary appointment is terminated before the end of their specified contract period:

- 1. Faculty members notified of a termination are entitled to a hearing before the Senate Executive Committee.
- 2. When sitting as a hearing body in a case involving reduction of forces, the Senate Executive Committee shall follow the procedures set forth in Clauses 8 through 22 of Article IV, Section 4 of the Constitution of the Faculty.
- 3. A written request for a hearing stating the reason for the appeal must be filed within one month from receipt of the notice of a termination and hearings must be held within two months after notice of termination is received by the faculty member.
- 4. The hearing shall be limited to a determination of whether or any particular action is consistent with the retrenchment plan and whether there has been a material deviation from the procedures established for a reduction in forces, programs or academic divisions. The burden of proof of violations shall be on the faculty member. In an appeal, the University will provide to the faculty member making the appeal access to pertinent information with respect to whether any action affecting the faculty member has been consistent with the retrenchment plan and whether there has been a material deviation from the procedures established for reduction in forces, programs, or academic divisions.
- 5. The determination of the Board of Trustees as to the financial condition of the University as a whole or any program that is subject to retrenchment and the extent of reductions of work forces, programs, or academic divisions will be final and conclusive and not subject to challenge.
- 6. The decision of the Senate Executive Committee may be appealed by the faculty member or the administration to the Executive Committee of the Board of Trustees within one month following the decision of the Senate Executive Committee. The decision of the Executive Committee of the Board of Trustees shall be final.

IX. Indemnification

Roosevelt University's policy regarding indemnification of its employees is set forth below:

BE IT HEREBY RESOLVED, that Roosevelt University shall indemnify any person who was or is a party or is threatened to be made a party to any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative (other than an action against said person by Roosevelt University) by reason of the fact that he/she is or was a trustee or employee of Roosevelt University. The indemnification shall be against expenses (including attorneys' fees), judgments, fines and amounts paid in settlement actually and reasonably believed to be in or not opposed to the best interests of Roosevelt University. With

respect to any criminal action or proceeding, indemnification will be made provided said person had no reasonable cause to believe his conduct was unlawful. The termination of any action, suit or proceeding by judgment, order, settlement, conviction, or upon a plea of *nolo contendere* or its equivalent, shall not, of itself, create a presumption that the person did not act in good faith and in a manner which he/she reasonably believed to be in or not opposed to the best interests of Roosevelt University, and, with respect to any criminal action or proceeding, had no reasonable cause to believe that his/her conduct was unlawful.

No one shall be indemnified under this resolution for any issue or action in which he/she shall have been adjudged to be liable for misconduct in the performance of his/her duty to Roosevelt University. The determination as to whether such person shall have been adjudged to be liable for misconduct shall be made by the president of the University except in instances involving the president or a member or members of the Board of Trustees. Judgment of misconduct by the president or by a trustee or trustees of the University, if alleged, shall be made by the Board of Trustees by a majority vote of trustees who are not parties to such action. If misconduct of the entire Board acting collectively is alleged, the determination of an independent legal counsel appointed by the president and the chairman of the board will be requested. The determination of whether a person has been adjudged to be liable for misconduct in the performance of his/her duty to Roosevelt University will not be limited to strict rules of construction but such determination will apply liberal rules of construction so as to do substantial justice.

Attorneys' fees and expenses incurred in defending a civil or criminal action suit or proceeding will be paid by Roosevelt University and said attorneys' fees and expenses may be paid by Roosevelt University in advance of the final disposition of such action, suit or proceeding as authorized by the Board of Trustees in the specific case upon receipt of an undertaking by or on behalf of the director, officer, employee or agent to repay such amount if it shall ultimately be determined that he/she is not entitled to be indemnified by the University as authorized in this resolution. However, no attorney's fees or expenses will be reimbursed unless the attorney to be retained has been approved in advance of incurring any fees by the president for faculty, administrator, or employee indemnification, or by the chairman of the Board of Trustees for the president or board member indemnification.

The indemnification provided by this resolution shall not be deemed exclusive of any other rights to which those seeking indemnification may be entitled under any by-law, agreement, vote of disinterested trustees or otherwise, both as to action in his/her official capacity and as to action in another capacity while holding such office, and shall continue as to a person who has ceased to be a trustee or employee of the University and shall inure to the benefit of the heirs, executors and administrators of such a person.

APPENDICES TO SECTION H

COLLEGE GUIDELINES FOR PROMOTION, TENURE, AND REAPPOINTMENT

I. College of Arts and Sciences

The College of Arts and Sciences historically has recognized a range of achievements suitable for evaluation of faculty being considered for reappointment, promotion, and tenure. Candidates are asked to address their accomplishments in the areas of teaching, scholarship, and service when seeking tenure and promotion. All faculty are expected, by the nature of their contractual agreement with Roosevelt University, to meet the minimum criteria in the college for good teaching, scholarly progress, and service to the university. Reappointment, promotion, and tenure come to those faculty who exceed minimum expectations.

With the fall semester of 1997, the college began a new system of mentoring and evaluating junior faculty. This system is designed to help junior faculty meet the criteria for reappointment, tenure, and promotion and to improve the quality of instruction and scholarship in the college.

The process begins when junior faculty meet with their school director and dean early during the first year to devise a plan and timetable for scholarship, teaching, and service appropriate for reappointment, tenure and promotion. Then, in the spring of each year until the tenure year, junior faculty measure their progress in a meeting with their director. Written reports of these meetings will be added to the faculty member's official personnel file in the dean's office.

A. Terminal Degree

The college recognizes the Ph.D. as the appropriate terminal degree in Arts and Sciences disciplines. In unusual cases, however, academic program needs may require the skills of an individual trained under a model that recognizes a different degree and extensive professional experience as appropriate. In such cases, the dean of the college will state explicitly in the individual's letter of appointment at the time of hiring that another degree is sufficient for reappointment and tenure.

B. Teaching

Excellent teaching is the most important criterion evaluated within the college. Currently most disciplines rely almost exclusively on the university-administered student evaluation form. This is a flawed instrument, particularly when used without reference to other measures. The early date of faculty reappointment also means that only two semesters of student evaluations are on file before decisions need to be made about the faculty member's future. While the college plans to continue using the current student evaluation form, we will supplement that instrument with more complete measures of effective instruction for probationary faculty.

Considered as part of teaching will be the following activities: classroom instruction; supervision of graduate student projects, theses, and dissertations; student advising; supervision of student research and creative projects; recruitment and interviewing of

prospective students; activity in curriculum development and pedagogical reform within a discipline or among disciplines.

The following additional measures are included:

Faculty will submit teaching portfolios when they are being considered for reappointment, promotion, and tenure. This portfolio will include a comprehensive statement of teaching philosophy, course syllabi, bibliographies, university-wide and academic unit student evaluations, evidence of contribution to pedagogy, evidence of alumni satisfaction, and other evidence of instructional effectiveness. Peer-reviewed pedagogy can be considered under both the teaching and scholarship criteria.

In addition, probationary faculty will be observed in the classroom by peers at least twice each year. The faculty member and the school director will agree upon one faculty member from the discipline and another from the school who will attend classes as an observer at a time to be chosen by the probationary faculty member. The purpose of such visits is to allow accomplished, experienced teachers to help junior faculty improve as teachers. Short written reports of the observations shall be produced by the observers for the faculty member and the official file, as will reports of any subsequent action. These reports shall be among the principal foci of the spring meeting between the director and the faculty member.

C. Scholarship

The College faculty believes that scholarship, which we define as a tangible contribution to the literature or content of a discipline, is essential for good teaching. Although we recognize a broad definition of scholarship, we also require that all scholarship, whether traditionally academic or applied in nature, be acknowledged as valuable by other scholars in the field. In traditional academic disciplines, activities such as publication of articles in peer-reviewed journals and publication of books by scholarly presses may constitute such evaluation. In applied disciplines, other evidence, such as the judgment of respected professionals in the applied discipline, may be used to establish the value of the activity presented as scholarly contribution.

Scholarly achievement will be evaluated for the purpose of tenure and promotion by the tenured members of the candidate's discipline (and when appropriate other tenured members of the school) and at least two external scholars in the candidate's field. Evaluations of scholarship shall be submitted with the peer committee recommendation to the school director and become part of the candidate's official file.

The following list illustrates the expectations of the College for a faculty member being considered for tenure and promotion. Each item on the list requires peer review or peer-based judgment of the value of the work submitted:

1. several articles in established scholarly journals, or at least one substantial monograph;

- 2. or, in applied disciplines, professional work including articles and portfolios that make a substantive contribution to the scholarly or professional field;
- 3. or scholarly work in the pedagogy of one's discipline, or pedagogy confronting the intersection of disciplines;
- 4. or several refereed creative works or exhibits;
- 5. or co-authored articles resulting from student research.

Publications should be in print at the time the file is considered by the peer committee. The dean of the College may determine that letters of acceptance including signed copyright releases or page proofs may be acceptable in unusual cases. Work published before employment at Roosevelt University will be accepted in the candidate's file, although continued scholarly production is essential.

Considered in a supplementary way will be the submission of grant applications, published book reviews, electronic publication, encyclopedia entries, applied professional work such as workshop presentations, such applied scholarship as commissioned reports or research, published instructional materials, newspaper articles and editorial comments, papers read at scholarly conferences, work published in conference proceedings that are not peer reviewed, and significant contribution to student research. These enhance but do not substitute for refereed publications or creative works as evidence of scholarly contribution to an academic discipline.

For reappointment, candidates are expected to demonstrate evidence of progress in scholarly activity which may include the preparation, submission, and revision of manuscripts for publication or creative works. Evidence could also include activity in the academic discipline such as presentation of scholarly work or applied scholarship at regional and national meetings.

D. Service

Service means citizenship to the University, the community, and the faculty member's academic discipline. Our expectation is that all Roosevelt faculty will contribute to school, college, or University service in some way as a general condition of employment. Extraordinary University service will be noted, as will the lack of service activity.

Participation in service outside the university, such as holding office in a regional or national scholarly organization, will enhance a candidate's file, as will involvement in professional or community activities. Professional consulting, bringing to bear the faculty member's talents on private or public issues for remuneration or *pro bono*, can be an important service activity. In some disciplines faculty are also expected to seek certification or licensing in their profession, which we consider an important service accomplishment.

II. Walter E. Heller College of Business Administration

Factors considered important in regard to tenure and promotion:

- Teaching ability
- Scholarly and professional activities
- Service to the University, academic units, discipline, and/or external activities
- Educational and professional qualifications.

A. Teaching and Service

Teaching and service guidelines are specified at the University level. The College subscribes to the criteria for both as described in the Faculty Manual.

B. Scholarly and Professional Contributions

A wide variety of intellectual activities can constitute scholarly and professional contributions as long as the output of these efforts is subject to peer review and available for public scrutiny. Scholarly and professional contributions can include but are not limited to:

- 1. Basic scholarship--development of original works that result in publications in refereed journals, research monographs, writing or contributing to scholarly books, and the presentation of papers at academic or professional meetings.
- 2. Applied scholarship--the application and/or interpretation of knowledge to improve management practice. Output would be found in professional journals, in-house publications, book reviews, and papers presented at faculty workshops.
- 3. Instructional development--the enhancement of instructional efforts of the institution or discipline. This area would concentrate on pedagogical journals, written cases with instructional material, development of instructional software, and materials for the design of new courses.
- 4. Consulting activities that fall into categories A C above are included in scholarship as long as they meet the criteria of being peer reviewed and are available for public scrutiny.
- 5. The acceptability of any scholarly and professional activity prior to employment at Roosevelt University is to be established at the time of the applicant's letter of appointment.

C. Academic Qualifications

In order to assure the continuance of quality within the Walter E. Heller College of Business Administration programs, one of the following academic qualifications is a necessary prerequisite for promotion and tenure:

- 1. A doctoral degree in the areas in which the individual teaches. An individual with a JD would qualify for teaching the various areas of business law and the legal environment of business.
- 2. A doctoral degree in a business field although primary teaching responsibility is in another business field. Such persons would be qualified provided they are continually upgrading their expertise in the teaching field through writings, seminars, and professional activity.
- 3. A doctoral degree outside of business but primary teaching responsibilities incorporate the area of academic preparation. Such persons would be qualified, provided they are upgrading their expertise in the teaching field through writing, seminars, and professional activities and presentations.
- 4. Doctoral degree outside of business, and primary teaching responsibility in an area other than that of academic preparation. Such persons would be academically qualified provided that they have completed additional course work or personal study sufficient for the mix of teaching, scholarship and service sought by the University.

D. Conclusions

The weight assigned to each of the categories is flexible. It is based upon the mission of the College and the academic and professional interests of the applicant. In all cases, however, the applicant must demonstrate teaching competence and include some activity in each category. While applicants can stress different areas of strength or preference among the categories, teaching is, in all cases, the most important criterion measured. Poor teaching or a void in any category is not acceptable.

III. College of Education

Professional development of faculty members reflects the values of the College of Education (reflective practice, adaptive decision making, democratic ideals, professional practice, social responsibility, respect for diversity, ethics of caring) and the professional interests of the individual. The College recognizes the doctoral degree as the appropriate terminal degree. At the time of reappointment or application for tenure and/or promotion, candidates should present to the dean, as well as other colleagues, and integrated professional development portfolio. It will include documentation of professional activities in the areas of teaching, scholarship, and service. The general requirements for development in each of these areas are indicated below, followed by specific criteria to meet these expectations.

A. Teaching

In the College of Education, teaching is a high priority. Thus, evaluation criteria for teaching will not vary by level of appointment after the first year. All candidates will be expected to maintain a high level of performance.

The candidate will

- 1. Present evidence of excellence in teaching as reflected in students and peer evaluation;
- 2. Demonstrate the integration of current information and technology into course content;
- 3. Demonstrate collaboration with colleagues.

The following are specific criteria:

- 1. Current and relevant references/information appear in the syllabi and course bibliographies.
- 2. Samples of student work are included in the professional development portfolio.
- 3. Evidence of collaboration in teaching with colleagues such as team teaching, guest lectures, and peer evaluation/review.

The candidate must meet all three of the criteria listed above.

B. Scholarship

Scholarly activities should contribute to the field through works that could improve practice and demonstrate knowledge that is current. Education, as an applied field, benefits from books, refereed articles and presentations, as well as from reports and evaluations done as service to the educational community.

The candidate will

- 1. Demonstrate scholarship and professional development in a minimum of one area academic concentration. This could include curriculum and instrument development.
- 2. Demonstrate that learning was shared with colleagues on a regular basis via appropriate media, e.g., joint reports/presentations, collaborative research, etc.

The specific criteria are divided into the following areas:

- 1. Professional presentations--invited addresses, in-services, and papers presented at professional meetings, e.g., American Educational Research Association.
- 2. Publications--article (refereed and non-refereed), reviews, books, monographs, and chapters in books.
- 3. Documented professional consulting which contributes to the field.
- 4. Research and evaluation reports which are published and disseminated.
- 5. Funded grant proposals.

The standards below represent a minimum level of expectations:

- 1. Reappointment--portfolio that provides evidence of work completed toward any of these items in two of the five areas.
- 2. Tenure/associate professor--several achievements (no fewer than three) in at least two of the above areas.
- 3. Full professor--several achievements in two or more categories; one achievement must be major, e.g., a book, chapter in a book, at least two articles in referred journals, a large grant. Achievements must have been accomplished after attaining the rank of tenure/associate professor.

Prior achievement at another institution will be evaluated in the determination of rank and years toward tenure at the time of hiring.

C. Service

The candidate will

- 1. Demonstrate the utilization of professional expertise through service to the College and University.
- 2. Demonstrate the utilization of professional expertise through service to community agencies, schools, or organizations.

The specific criteria for service are as follows:

College/University

- 1. Participation on College and University committees or other bodies.
- 2. Holding office on College and University committees or other bodies.

3. Providing other professional services to the College and University, e.g., writing a report/survey, organizing meetings, consulting/collaborating with other departments, and developing manuals.

Community

Candidates for tenure/associate professor and full professor should provide some evidence of their service to the community, e.g., presentations, consultations, board membership, and volunteering professional expertise.

The standards below represent a minimum level of expectations:

- 1. Reappointment--one of the four areas.
- 2. Tenure/associate professor--two of the four areas.
- 3. Full professor--all four of the above areas.

IV. Chicago College of Performing Arts

Chicago College of Performing Arts will use the following guidelines and processes for mentoring and evaluating junior faculty.

Junior faculty will meet with the leaders of the academic unit (director and, if applicable, department chair) and the dean early in their first year at the University to discuss the standards for tenure, reappointment, and promotion and the specific meaning of those standards in the Chicago College of Performing Arts. Junior faculty will continue to meet with the academic unit leaders during the Spring semester of each year until their tenure year to assure that the faculty member is meeting the criteria established herein for growth towards excellence in the areas of teaching, advising, scholarship, and service. The leader of the academic unit will write a summary report of this meeting, which shall be initialed by the faculty member and added to his/her personnel file in the dean's office.

The Chicago College of Performing Arts will interpret the criteria for tenure, reappointment, and promotion in the following ways in order to reflect the scholarly, professional, and creative nature of the various and interconnected disciplines that form the College.

A. Teaching

Candidates for tenure, reappointment, and promotion in Chicago College of Performing Arts shall demonstrate excellence in teaching appropriate to their areas of artistic discipline and specialization(s). The evaluation of excellence in teaching will be based upon a portfolio which shall include:

- 1. Instructional materials
- 2. Peer observations
- 3. Student evaluations
- 4. Documentation of activities beyond the classroom

In addition, the faculty member may add supplementary materials not specified in these guidelines to the portfolio, including, for example, teaching awards or commendations, information on invitations to give master classes and/or workshops, letters from former students, external peer evaluations, etc. In disciplines where it is particularly appropriate (for example, studio teaching, composition, and acting), the faculty member shall present information regarding the achievements of former students and evidence of students entering the field, either professionally or for further studies.

1. Instructional Materials

This may include syllabi, handouts, outlines, exams, assignments, and any other documents that the faculty member feels will strengthen his or her candidacy.

2. Peer Observations

Academic unit leaders shall organize regular peer observations of faculty members in their units who are candidates for tenure, reappointment, and promotion, with special attention to new faculty.

For junior faculty, such observations shall begin early in the first year at the University and continue through the Fall semester of the year of the tenure decision. At least two and no more than three tenured faculty members from the academic unit shall each observe the faculty member at least once in each semester, at places and times mutually agreed upon. One of these will be the department chair if the faculty member is appointed in The Music Conservatory; the other faculty members shall be chosen by the academic unit leader in consultation with the junior faculty member. (Observations of department chairs in The Music Conservatory shall be organized by the dean, in consultation with the conservatory director and the Executive Committee of the college.) Faculty whose teaching loads include more than one type of instruction—e.g., classroom teaching and ensemble direction—shall be observed in each teaching situation. It may be necessary in these cases to expand the team of observing faculty members from two to three.

During the Fall semester of the first year of teaching and any subsequent decision year, three tenured faculty members shall observe the junior faculty member.

All observers shall each provide a written summary of each observation using the appropriate Peer Evaluation Form. These evaluations shall be included in the faculty member's personnel file in the Dean's Office. The Dean will provide copies to the faculty member, who shall be given an opportunity to place a response to the observations in his or her file and to request a revisit. Copies of the observations shall be given to the chair of the Executive Committee during the year of the tenure decision.

In cases where there is an insufficient number of tenured, full-time faculty in the academic unit available to serve as peer observers, arrangements will be made to secure tenured, full-time members of the faculty from another academic unit within Chicago College of Performing Arts to serve in this capacity. The outside peer observers will be chosen in consultation with the junior faculty member to be evaluated.

In cases of tenure and promotion, the faculty member has the right to request that, during the Fall semester of the decision year, two members of the Executive Committee, one assigned by the chair of the Executive Committee and one chosen by the faculty member, shall each observe the faculty member at least once, at places and times mutually agreed upon. The observers shall each provide a written summary of their observations using the Peer Evaluation Form approved by the college, following the procedure outlined above. In addition, the Executive Committee may solicit further information on a faculty member's teaching from colleagues who have taught with the faculty member and/or who have frequently observed classes taught by the faculty member.

3. Student Evaluations

Student evaluations of teaching effectiveness shall be gathered by the system in use by the University for classroom teaching. Student evaluations of studio lessons, ensembles, and theatre activities shall be gathered by the use of forms adopted by the Conservatory councils. Leaders of academic units and individual faculty members are encouraged to supplement these forms by giving students an opportunity for open-ended comments, while preserving student anonymity.

4. Documentation of activities beyond the classroom

Contributions to teaching extend beyond the classroom, and may include course and program development, as well as attending workshops, conferences, or other scholarly/artistic events. Evidence of continuing teaching-related activities shall be provided by the faculty member and included in the teaching portfolio.

Other activities that may supplement the faculty member's case for tenure, reappointment, and promotion include: progress towards a degree in an area other than the primary field; classes taken to update skills; participation in seminars, master classes, and workshops.

B. Creative Work/Scholarship

Candidates for tenure shall have the terminal degree appropriate to their field. A doctorate is expected in the following disciplines: music history, music theory, composition, music education, pedagogy. The DMA or the MM with significant performance experience (or its equivalent from a foreign university or conservatory) is expected in music performance. The MFA (or its equivalent from a foreign university or conservatory) is expected in theatre. Professional experience will be considered equivalent to a terminal degree in those cases where the initial tenure-track appointment was made on that basis.

In a number of cases, faculty in Chicago College of Performing Arts will have substantial previous scholarly, professional, and creative experience, and/or will have engaged in significant professional activity prior to being hired by Roosevelt University. Such activity may be presented at the time of the initial appointment as evidence for an accelerated tenure or promotion schedule, with the approval of the dean and the provost/executive vice president. Those faculty members shall show evidence of continued scholarly and/or professional involvement in the field.

A candidate for reappointment, tenure, or promotion shall show evidence of continuing significant professional activity and peer recognition since the initial appointment, reappointment, or the previous promotion, whichever is applicable. It is frequently the case in both music and theatre that persons who have received national and international recognition as artist-performers will have moved into a later career phase that focuses on teaching with their appointment to the Chicago College of Performing Arts faculty. For such faculty members, continued activity as a performer may not be possible. Their prior careers shall stand as sufficient evidence that they have sustained a high level of

professional achievement, and that they will continue this high level of creativity in their careers as teachers.

It is understood that each faculty member's professional profile will consist of activities and endeavors relevant to their discipline and area(s) of expertise. At the time of the initial appointment, the faculty member, dean, director, and, if applicable, department chair will develop this professional profile. The profile shall be included in the faculty member's personnel file in the Dean's Office and shall form the basis for evaluation of the faculty member's scholarly/creative activities each year.

Receipt of grants, awards, prizes, fellowships, reviews, and honors shall also be taken as evidence of a faculty member's professional stature and accomplishment, as shall invitations to give seminars, master classes, and workshops, and to participate in conferences.

The ultimate judgment on the quality of scholarly, professional, and creative activity, and whether such activity is sufficient for promotion, reappointment, or tenure, is the responsibility of the faculty and administration of Chicago College of Performing Arts and Roosevelt University through the procedures set forth in the Faculty Manual.

1. External Referees (when required for promotion and tenure decisions)

For promotion and tenure decisions, letters from outside referees (selected according to the procedures outlined in the Faculty Manual) evaluating the faculty member's work and commenting on his or her professional stature are required. Outside referees should be encouraged to provide interpretive information about the faculty member's scholarly, performance, and creative activities, i.e., about the journals, publishers, recording labels, concert series, concert presenters, reviewers, etc. on whose reputation the faculty member's case is being made. The most helpful outside letters comment on the faculty member's position in the field in language that faculty outside that field can understand.

2. Scholarly and Creative Activities in Music and Theatre

The following section of the document enumerates professional scholarly and creative activities in music and theatre. It is understood that each faculty member is not expected to engage in all activities listed as examples in the pertinent section(s), but will concentrate on those activities outlined in his or her approved professional profile.

a. Research (Music, Theatre)

Peer-reviewed article Monograph Textbook or other pedagogical material widely adopted by other institutions Critical edition of a major work or body of works Other scholarly activities that will advance the faculty member's case for tenure, reappointment or promotion include papers presented at scholarly conferences (especially at those in which submissions are competitive or invited); books and articles for a general audience that pertain to the candidate's field; reviews of published books, textbooks, music, playscripts, or audio or visual recordings; editing; invited service on an editorial board; reviews of live performances; and published pedagogical materials.

b. Performance (Music, Theatre)

Ongoing professional performance as a soloist (in recital or with an ensemble), conductor, coach, member of an ensemble, actor, director, musical director, writer, performance artist, coach, choreographer, designer, or dramaturg Making a commercial recording Publication by performance

Other performance-related activities that will advance the faculty member's case for tenure, reappointment or promotion include presentation of seminars, clinics, and workshops at conventions, conference, and other institutions (especially those in which submissions are competitive or invited); and serving as a conductor, lecturer, or adjudicator at local, state, or national institutes or festivals.

c. Composition (Music)

Continued production of new works:
Published works
Commissioned works
Commercially recorded works
Works performed at off-campus professional venues or other institutions

Other composition-related activities that will advance the faculty member's case for tenure, reappointment or promotion include presentation of seminars, clinics, and workshops at conventions, conferences, and other institutions.

C. Service

Faculty members shall participate in academic unit, conservatory, College, University, and community-related service activities. A record of such activities shall be provided on the vita submitted with the faculty member's file. Evidence of service may be provided by the following non-workload items:

- 1. Membership and/or offices held on University and College committees and councils
- 2. Ongoing participation in academic unit, conservatory, and College governance
- 3. Attendance at music and theatre performances, commencement ceremonies, and other College and University functions

- 4. Ongoing participation and/or leadership in local, state, regional, national, or international scholarly and professional organizations and societies
- 5. Participation in state or national curriculum, certification, or assessment committees
- 6. Holding an elected office in a state or local school governance body
- 7. Involvement in community activities drawing upon one's scholarly, professional, creative, or academic expertise (for example, adjudication or assistance to community arts organizations)
- 8. Service on music and theatre boards
- 9. Student recruitment activities
- 10. Collegiality, especially assistance provided to faculty and staff of the University or College in the performance of their responsibilities (for example, assisting with productions or with special projects)
- 11. Advising student organizations and/or student-directed activities

Advising

Student advising, a component of service, also has significant pedagogical function in the performing arts, especially as it relates to performance, composition, production, and thesis work. Evidence of effective work in this area shall be documented. A faculty member shall fulfill the service aspect of advising through careful and accurate course selection sessions with students each semester, assuring that students progress through their degree requirements in the correct sequence. At the same time, the faculty member shall act as a mentor, fostering in students an awareness of the history of their art and serving as a model of professional behavior. It is further expected that faculty members shall communicate with their advisees on a regular and frequent basis in addition to each semester's course selection session, to discuss their academic work and other concerns, and shall immediately bring any issues which have a negative effect on a student's academic or artistic progress to the attention of the academic unit leader or director, as appropriate.

"In-house" Activities

Scholarly, performance, and creative activities which take place "in-house" or in a context closely allied to the delivery of the curriculum at the University may be considered as extensions of teaching or of service, as appropriate, but not towards creative work/scholarship.

Adopted February 1998 Amended September 1998 Amended August 2003

V. Evelyn T. Stone University College

Evelyn T. Stone University College houses faculty in three distinct academic areas that have little in common when evaluating faculty qualifications and achievements. Therefore, rather than articulate College-wide standards, University College Executive Committee has approved separate standard documents for each academic area: Bachelor of General Studies/Bachelor of Professional Studies, The Manfred Steinfeld School of Hospitality and Tourism Management, and the Master of Arts in Training and Development.

A. Bachelor of General Studies/Bachelor of Professional Studies

The distinguishing characteristics of BGS faculty are that we are engaged in the undergraduate teaching of general education to adult students and our pedagogical approach emphasizes interdisciplinary study and active learning. Thus, the criteria for evaluating BGS faculty are somewhat different from traditional liberal arts disciplines, particularly those that house graduate programs. Though the University's Standards Document allows for substantial flexibility across colleges and programs, we hereby specify additional criteria for the evaluation of BGS faculty.

1. Teaching and Advising

The BGS faculty affirms with special emphasis the University's declaration that "Excellence in teaching is the most crucial component in the criteria for reappointment, tenure, and promotion." Faculty members should be particularly adept in the following skills:

- a. teaching interdisciplinary general education seminars to adult students;
- b. teaching seminars that emphasize critical discussion in the classroom and independent, critical thinking in assignments;
- c. developing new instructional materials and methods, including technology-based modes of instruction;
- d. innovating in both content and method;
- e. responding to students' intellectual and advising needs.

Evidence of excellence in teaching and advising includes, but is not limited to:

- a. student evaluations of teaching;
- b. assessment documents indicating levels of student achievement;
- c. peer observation of classroom teaching;
- d. teaching awards;
- e. curricular materials (both print and technology-based);
- f. documentation of activities outside the classroom

2. Scholarship

The BGS program is flexible when evaluating the quality of a faculty's scholarly and/or creative work. Some faculty may conduct traditional scholarship within disciplines and will be evaluated according to standards appropriate to those disciplines. Others may undertake creative writing, investigative journalism, or pedagogical explorations relevant to their academic field. All BGS faculty should be engaged in creative activity of some sort; particular emphasis is placed on interdisciplinary work that is accessible to a general audience. Scholarly work completed before employment at Roosevelt University will be considered toward tenure and promotion although continued activity is expected.

Terminal Degrees and Academic Qualifications:

The College recognizes an earned doctorate as the appropriate terminal degree for faculty teaching in the Bachelor of General/Professional Studies programs. All accredited doctorates including, but not limited to, the Ph.D, EdD, and JD are recognized. A completed earned doctorate is required for rank of Assistant Professor. In some cases, however, academic program needs may require the skills and expertise of an individual trained under a model that recognizes a different degree and extensive professional experience or achievement as appropriate. In such cases, the dean of the college will state explicitly in the individual's letter of appointment at the time of hiring that another degree is sufficient for reappointment and tenure.

Type of scholarship recognized:

- a. publication of a scholarly book or monograph by a recognized press
- b. significant contributions to a scholarly or academic book
- c. significant journal publication
- d. presentation of papers at academic meetings or faculty workshops
- e. reports on funded projects or grants
- f. book reviews or journalism
- g. published creative writing
- h. evidence of consulting in fields related to scholarship and/or instructional development provided the work meets peer review criteria and is available for public scrutiny
- i. on-line publications meeting the preceding criteria

3. Service

BGS faculty will actively participate in University and College governance and in the general work of the College. Service also includes assistance to the various delivery systems within the College and University, e.g., External Studies, Partners in Education, Department of Human and Community Renewal, and RU Online. In cases of extraordinary service, such as a major documented contribution to technology-based education or to the development of significant continuing education programs or University outreach efforts, such service may be regarded as contributions to scholarship.

B. The Manfred Steinfeld School of Hospitality and Tourism Management

The tenure standards for the School of Hospitality and Tourism Management are based on the criteria set forth by Roosevelt University for the tenure of all full-time faculty-teaching excellence, scholarship, and service. In addition, industry experience, involvement in professional organizations, and consulting will also contribute positively to the academic credentials of the faculty. We affirm with special emphasis the University's declaration that: "Excellence in teaching is the most crucial component in the criteria for reappointment, tenure and promotion."

1. Teaching Excellence

Faculty will demonstrate teaching excellence by adhering to the following criteria:

- a. Demonstrated success or potential to teach in at least two areas of emphasis in the hospitality curriculum. The areas of emphasis include lodging management; food and beverage management; meeting, convention, and exhibition management; cost control; human resources, and research methodology.
- b. Faculty will be evaluated positively by students, as demonstrated by their achievement of an overall rating that equals or exceeds the University average during each semester.

2. Scholarship

Faculty will demonstrate scholarship by achieving a minimum of three publications comprised of a combination of the following:

- a. textbooks
- b. peer reviewed journals
- c. trade journals
- d. conference presentations

Faculty may also demonstrate scholarly ability through instructional development including the development of new courses and programs.

Terminal degree and experience requirements are: doctorate in hospitality management; or doctorate in related field with appropriate professional achievement and experience; or master's degree plus significant professional achievement and experience in the hospitality and tourism industry or in a related field.

3. Service to the University and to the Program

Because of the industry-specific nature of the field of hospitality and tourism management, service is an important component for tenure. Faculty members will demonstrate service excellence by participating in several of the following endeavors:

- a. serving actively on University and College committees
- effectively recruiting new students by maintaining and initiating close ties with area employers, secondary schools, community colleges, and industry organizations
- c. participating in departmental marketing efforts
- d. assisting with fundraising activities to raise monies for student scholarships and departmental operations
- e. mentoring students through advising, career placement, and sponsorship of student activities
- f. serving on hospitality industry boards and committees
- g. acting as a resource to hospitality practitioners through professional consulting provided it meets peer review criteria and is available for public scrutiny
- h. acting as a consultant to professional hospitality and civic organizations

C. The Master of Arts in Training and Development Program

The tenure standards for the Master of Arts in Training and Development Program are based on the criteria set forth by Roosevelt University for the tenure of all full-time faculty--teaching excellence, scholarship, and service. In addition, industry experience, involvement in professional organizations and consulting will also contribute positively to the academic credentials of the faculty.

1. Teaching Excellence

Faculty will demonstrate teaching excellence by adhering to the following criteria:

- Demonstrated success or potential to teach in at least two areas of emphasis in the training and development program. The areas of emphasis include instructional design, organization development, and learning technologies
- b. Positive student evaluations
- c. Developing new instructional materials and methods, including technology-based modes of instruction; innovating both content and method
- d. Responding to students' intellectual and advising needs

2. Scholarship

Faculty will demonstrate scholarship by achieving a minimum of three publications or presentations comprised of a combination of the following:

- a. textbooks or scholarly academic books
- b. peer reviewed journals
- c. trade journals
- d. conference presentations in a relevant field
- e. significant contributions to a scholarly or academic book
- f. reports on funded projects or grants

Terminal Degrees and Academic Qualifications

The appropriate terminal degree for faculty who teach in the Master of Arts in Training and Development is an earned doctorate including, but not limited to, the PhD, EdD, or JD.

3. Service

Faculty members will demonstrate service excellence by participating in several of the following endeavors:

- a. serve actively on University and College committees
- b. participate in related professional associations
- c. effectively recruit new students by maintaining and initiating communication and partnerships with businesses, professional associations, volunteer organizations, academic institutions, and other related organizations;
- d. participate in departmental marketing efforts
- e. mentor students through advising, career placements, and sponsorship of student organizations
- f. act as a resource to industry through professional consulting.