



ROOSEVELT
UNIVERSITY

Handbook of the
University Faculty

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Preamble of the *Handbook of the University Faculty*

The *Handbook of the University Faculty* specifies the rights, privileges, and responsibilities of tenured faculty, tenure-track faculty, and non-tenure-track faculty (excluding adjunct faculty). It describes the structures and processes through which faculty participate in institutional decision-making and governance and presents University policies and procedures of interest.

The current version of the handbook was prepared through collaboration of faculty and administrators and was approved by the University Senate. The handbook elaborates principles set forth in the *Constitution of the University Faculty*. The *Handbook of the University Faculty* may be amended as outlined in Part VIII of the document.

PART I: The University Faculty

SECTION A Membership of the University Faculty

The membership of the University Faculty consists of three groups:

1. Tenured faculty.
2. Tenure-Track faculty.
3. Non-Tenure-Track faculty (excluding adjunct faculty).

SECTION B Duties of the University Faculty

For Tenured or Tenure-Track Faculty

Job responsibilities typically include teaching (60 percent), scholarship (20 percent), and service (20 percent). These percentages may vary depending upon programmatic and individual circumstances; however, the expected teaching portion is equivalent to 18 semester hours per academic year. Special consideration for calculating teaching loads apply to programs utilizing laboratory, clinical, field study, or applied performance study by students. At the recommendation of the dean and with the approval of the Executive Vice President and University Provost (EVP/University Provost), percentages and ratios can vary based on the needs of the College and/or the University. Any variations from these standard percentages or ratios, or any special assignments intended to be treated as a significant part of a faculty member's core job responsibilities (e.g., work as a program director) shall be set forth in a faculty member's initial appointment letter or in subsequent letters executed by the EVP/University Provost.

Definition of Tenure

Tenure at Roosevelt University is intended to protect academic freedom, provide a reasonable measure of employment security to faculty members, and enable the University to retain a permanent instructional and research faculty of distinction. Tenured faculty members serve on a continuous appointment, which terminates only upon resignation, retirement, or under the circumstances and pursuant to the separation procedures set forth in Part VI of this Handbook. Tenure does not apply to administrative positions within the University, although administrators may serve subject to joint appointments that include tenured or tenure-track faculty appointments.

Tenure at Roosevelt University is granted to the institution as a whole and does not reside in a particular college or academic program.

A tenured appointment usually results from the successful completion of the tenure-track appointment probationary period, as detailed in Part V of this Handbook. Under

special circumstances, however, a faculty member may be hired at the University with a grant of tenure. Tenured status at Roosevelt University is never gained automatically and must result from a formal, affirmative determination by the University that tenure is warranted; only the President has the authority to award tenure or make a commitment that promises tenure.

For Non-Tenure-Track Faculty, Including Visiting Faculty

Job responsibilities typically include teaching (80 percent) and service (20 percent). The ratio of these responsibilities may vary depending upon individual circumstances; however, the expected teaching portion is equivalent to 24 semester hours per academic year. Any variations from these standard percentages or ratios, or any special assignments intended to be treated as a significant part of a faculty member's core job responsibilities (e.g., work as a program director) will be set forth in a faculty member's initial appointment letter or subsequent salary or reappointment letters executed by the EVP/University Provost.

Teaching

University Faculty accept as a primary career obligation the dissemination of knowledge and the nurturing of a spirit of inquiry throughout the community. University Faculty demonstrate a high overall level of teaching effectiveness and sufficient rigor with appropriate weight given to performance in each of the various forms of teaching that are important to the respective programs of their colleges. Command of the subject, clarity in communication, and sensitivity to the needs of students are indispensable assets of effective teachers. University Faculty must possess to a high degree both the skills required to transmit the content of their disciplines and the capacity to motivate an active pursuit of new knowledge or insight among students. Such skills and capacities spring from the same abilities that lead to successful scholarly inquiry.

Academic Teaching Year

The academic teaching year for faculty begins on the 15th day of August and ends seven calendar days after spring commencement. It is the responsibility of each faculty member to be available for all appropriate University duties during the academic year. Alternative calendars may be approved pending approval by the respective College Council, dean, EVP/University Provost and President and these calendars may supersede the "usual" academic teaching year.

Overload Teaching

Overload teaching should be kept within reasonable limits in order that proper attention may be given to all classes and to other required duties, including research, service, and creative work. In order to focus on scholarship, faculty should generally refrain from overload teaching. Compensation is provided for overload teaching.

Summer Teaching Load

Generally, no University Faculty member may teach more than two courses in any combination of summer terms, except in colleges and/or programs where the summer is part of an organized yearlong academic calendar.

University 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. A minimum of 20 hours of advising or service are expected for each course taught.

Load Reduction

Load reductions may be authorized for specified research projects, special service, or for performance of administrative functions such as chairmanships, advising, or program direction. Load reduction may be granted only by the EVP/University Provost, on recommendation of the leader of the academic unit and college dean.

In the first College Council meeting of the fall semester, deans will provide their respective College Councils a written report of the course load reductions awarded to faculty in the prior academic year.

Absences From Classes

If it is absolutely necessary to miss a class session, the instructor must contact the department chair and arrange for a substitute or a make-up session.

1. In the event of an unexpected absence, the faculty member should visit the following webpage in order to notify the Department Chair:
<http://www.roosevelt.edu/Provost/InfoForFaculty.aspx>
2. In the event of an expected absence other than for religious observances (see number 3 below), other members of the academic unit or an acceptable outside substitute must be secured to meet classes. It is the instructor's responsibility to arrange for such a substitute. In the event an instructor experiences an extended illness requiring a long-term substitute, the University will pay the substitute's compensation for a period up to one semester. Substitutes may only be compensated by the University and may not receive direct or indirect compensation from individual faculty members. Arrangements and compensation must be recommended by the college dean and approved by the EVP/University Provost.
3. Instructors who are absent for religious observances must clearly inform their classes ahead of time, must include the planned absence on the syllabus, and

must notify the program head prior to the date of expected absence. Instructors absent for religious observances must also arrange for a substitute, reschedule the class at a suitable time, or make special assignments for the time missed.

Syllabi

Faculty are responsible for the development of syllabi consistent with instructional content and programmatic requirements.

A course syllabus is required for all University courses (see <http://www.roosevelt.edu/Provost/InfoForFaculty.aspx> for template) and should set forth, as accurately as possible, the materials and subjects to be covered during the course, the grading protocols for the course, the attendance expectations for the course, and the office hours of the instructor.

Preparation of accurate and substantive syllabi is an important responsibility of University faculty. The syllabus is an important source of information for students regarding course expectations and University policies. Any significant changes to a syllabus, once a course or semester begins, must be cleared with the dean or department chair before being implemented, in order to ensure that prerequisites and student expectations are being properly met.

All syllabi will be submitted to the appropriate department and/or college office each semester.

Independent Study

Independent Study is a 1 to 6 semester hour course which is proposed by a well-prepared student who wishes to pursue a specific advanced scholarly topic that is not available as an existing, catalog course. The student must submit a written proposal, endorsed by a faculty sponsor, and approved by the department chair, college curriculum committee, and dean. This type of study is largely the responsibility of the initiating student, and overseen by the faculty sponsor. Full-time faculty members are compensated for up to two independent study courses (6 credit hours) per academic year at the same rate as that of a 3.0 credit hour Course-by-Arrangement. Generally, part-time faculty/adjuncts do not supervise Independent Study courses.

Course-by-Arrangement

A course-by-arrangement is a required course listed in the University Course Catalog that is taken outside of the scheduled class by an individual student or a small group of students due to extraordinary circumstances. University Faculty are compensated for a Course-by-Arrangement at one-tenth the rate of the highest RAFO (Roosevelt Adjunct Faculty Organization) rate for a 3.0 credit hour course. Extraordinary circumstances include:

1. Cancellation due to low enrollment of a regularly scheduled upper division or graduate level class that must be completed by the student in that semester for timely progress towards degree completion.
2. No other course can reasonably be substituted.
3. A course, not offered in a particular semester, needed by a student for graduation when there is a valid, documented reason why the student did not take the course when last offered. Conflicts with personal or work schedules do not constitute a valid reason to have failed to take a regularly scheduled course.

Scholarship

Tenured and tenure-track University Faculty will contribute actively to the intellectual growth and development of knowledge and the dissemination of that knowledge. Tenured and tenure-track University Faculty are expected—and all University Faculty are encouraged—to develop research projects and disseminate research findings (e.g. basic and applied research, pedagogical research, clinical research, patient-oriented research, and creative work) through presentations, publications, and performance. Individual Colleges may develop and implement more detailed expectations for scholarship and research projects appropriate to specific disciplines.

Service

University Faculty have mission-driven service obligations that go beyond research, scholarship, creative expression or teaching, particularly in college, departmental and university governance. In some circumstances (for instance, where a faculty member serves as a dean or program director), a faculty member's service obligations may constitute the majority of his/her responsibilities to the University. In some disciplines, also of great import is service through university outreach including professional service to the university, the community, as well as contributions to professional and learned societies. The expectation is that University Faculty will assume a fair share of service work and will perform it satisfactorily. Individual colleges or programs may adopt more specific requirements or expectations regarding the extent and significance of required service.

General

Tenure

Tenure, for all tenured and tenure-track faculty, resides in the University, not the college or departments.

Presence at the University and Faculty Office Hours

A University Faculty's primary professional responsibility is to the University. Physical presence on campus beyond time spent in the classroom is a prerequisite for faculty camaraderie and for giving students a sense of the academic community of the University. University Faculty should be available to students in office hours at least three hours a week when classes are in session. To maximize access for students, office hours must be noted with specificity on the course syllabi, posted on the University directory, and provided to the department chair's office.

Attendance at Commencements and Convocation

University Faculty are expected to attend commencements and convocations in academic attire. The University will purchase standard attire for each attendee. For those who wish to purchase attire of different quality or style, the University provides a cost sharing arrangement through the EVP/University Provost's Office.

Faculty Activity Report (FAR)

All University Faculty members are required to submit a Faculty Activity Report (FAR) during the spring term reflecting on and reporting their activities for the year with regard to teaching/advising, scholarship, and service. The FAR is an ongoing process for goal setting, self-evaluation, and annual departmental and College performance evaluation. The FAR should reflect the full range of a faculty member's activities on behalf of the University, including administrative assignments performed on behalf of an individual program or College or the University as a whole.

SECTION C Appointment Procedures

Initial Appointment

A critical task of the faculty is the recruitment, hiring, and development of new University Faculty members. These individuals create the core of the academic community who will teach, lead, and inspire the student body and their colleagues. To accomplish this task it is the work of the Academic Unit, dean, and EVP/University Provost to conduct thorough and rigorous searches, which yield outstanding members of the community.

The Academic Unit and the dean will confer on academic needs and strategic direction of the Unit. The dean then takes the recommendation of the departments in his/her college to the EVP/University Provost for consideration. The EVP/University Provost considers the recommendations of all college deans and approves the annual University Faculty recruitment plan based on budget allocations and the strategic goals of the University.

Academic Units will recruit, interview, and assess candidates. Normally three candidates are brought to campus and are interviewed by the Academic Unit, the dean, and the Office of the EVP/University Provost. The search committee reports their findings to the dean. The dean gives his/her recommendation to the EVP/University Provost and he/she gives final approval for hiring. Only the EVP/University Provost or designee is authorized to issue offer or appointment letters to prospective faculty or visiting faculty; all terms and conditions of employment must be set forth in the EVP/University Provost's letter and may not be modified or supplemented by the individual program, department, or college.

The President must also interview candidates requiring tenure on initial appointment during the campus visit.

Detailed processes for the recruitment and hiring of faculty can be found at <http://www.roosevelt.edu/Provost/InfoForFaculty.aspx>.

Initial appointments for tenure-track faculty are normally four academic years. If reappointed, faculty members are normally provided three-year academic appointment. Non-tenure-track faculty normally receive entry-level appointments for an initial term of three academic years. If reappointed, a non-tenure-track faculty member would normally receive a contract of from three to five academic years. There is no limit to the number of times an individual non-tenure-track faculty member may be reappointed.

Joint Appointments

On the recommendation of the appropriate Academic Unit heads, deans, and the EVP/University Provost, the President may authorize the appointment of a University 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.

Joint Administrative and Faculty Appointments

The Board or President may appoint an administrator or University Faculty member to a joint administrative and faculty appointment. Depending upon the nature of the administrative appointment, such an appointment may carry with it a partial or complete remission in teaching duties, with faculty rank and tenure status retained, while the faculty member serves as an administrator. Such an appointment may also carry with it an option on the part of the administrator to return to the faculty if he/she is removed from the administrative position for any reason other than gross misconduct.

The specific terms of a joint appointment, including any right to return to the faculty upon removal from the administrative position, will be detailed in an appointment letter issued by the University at the beginning of the administrative appointment.

Circumstances in which administrators on a joint appointment are removed for gross misconduct are further addressed in the dismissal provisions set forth in Part VI, Separation from Employment, below.

Compensation

Annual compensation (salary and benefits) is indicated in contracts or in salary increase letters. Salary increases will be based upon teaching, scholarship, and service. Individual salary information is not disclosed to other University employees except on the explicit permission of the individuals to whom the salaries are paid and for ordinary business operations.

Work Outside the University

A University Faculty member's primary professional responsibility is to the University. No outside commitment of time (including but not limited to self-employment, consulting or employment in a second job) that precludes a person from being available for University assignments will be permitted. It is the prerogative of the University (through the appropriate dean) to determine whether outside commitments will be approved or not.

Written approval for any outside employment (which does not include charitable work or personal commitments) must be received annually from the appropriate dean. Any questions as to whether a particular outside commitment requires prior approval should be addressed to the appropriate dean. Failure to obtain or to abide by the limitations of such written approvals constitutes employment misconduct by faculty members and may result in discipline, up to and including dismissal from employment.

The following standards govern the approval of outside employment:

1. Outside work should be consistent and compatible with the academic training and prestige of the academic profession.
2. No outside employment shall be competitive with any academic program of the University; this precludes outside employment with any other post-secondary academic institution or entity that operates programs similar to or competitive with those of the University. In addition, no outside employment shall utilize the premises of the University.
3. There shall be no implication that the University sponsors a faculty member's outside activity.
4. Outside work does not justify any employee's spending less time on campus than is required and does not excuse neglect of any University obligation normally expected of the employee, including office hours, committee work, registration

assignments, etc. Failure to meet these core University obligations may justify immediate revocation of any prior written approval of outside employment.

5. Generally, outside work requiring more than an average of 12 hours per week shall be presumed to impinge on the employee's obligations to his/her primary position with the University, and approval for such work will not be granted.
6. Any outside work that conflicts or interferes with scheduled classes or other University commitments will not be allowed.
7. In accepting outside employment, University Faculty 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). Outside employment that threatens to create such a conflict or even the appearance of impropriety will not be approved. In addition, where conflicts or possible conflicts develop as a result of new grants or opportunities undertaken by the University, written approval may be rescinded for outside employment that has been previously approved.

Visiting Professorships and Faculty Exchanges

The University looks with favor upon faculty 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, with full consultation of the dean and other concerned parties and approval of the EVP/University Provost before any agreements are made.

Visiting faculty may be hired on a one-year basis to fill a critical vacant full-time faculty position or to bring special expertise or distinction to the University. Offer and appointment letters for visiting professors or faculty exchanges may only be issued by the EVP/University Provost and may not be modified or supplemented by individual programs, departments, or colleges.

SECTION D Leaves

Roosevelt University makes provisions for leaves in the following categories: University sponsored research; professional leaves; personal leaves; and medical leaves. With the exception of medical leaves, faculty may receive research, professional and personal leaves no more often than every three years.

University Research Leaves

If approved by the Board of Trustees, the University Research and Professional Improvement Leave Committee is convened by the EVP/University Provost. The

Committee will invite applications for research and professional improvement leaves. Research leaves are granted by the President on the recommendation of the EVP/University Provost who is advised by the University Research and Professional Improvement Leave Committee.

Research leaves are available to any full-time member of the faculty with two or more years of service. Faculty on research leave receive salary and regular benefits for one semester. Priority is given to applications from tenure-track faculty.

Normally a leave of absence will not be granted to more than one person from any one academic unit in any given semester.

Recipients of both research and professional improvement leaves are required to execute agreements, prior to commencing leave, whereby they agree to return to Roosevelt University for at least one year following the leave or, if not, repay the University for the full cost of compensation (including benefits) paid to the faculty member during the leave. When leaves are available, full details and criteria for applications will be sent to all eligible faculty by the Office of the EVP/University Provost.

Professional Leave

The EVP/University Provost, upon the recommendation of the college dean, may grant a leave with up to full compensation for a period not exceeding one academic year to a full-time member of the faculty if such applicant has been awarded a professional grant, award, or fellowship (e.g., Fulbright, Guggenheim) from a nationally recognized foundation or government agency.

Recipients of professional leaves are required to execute agreements, prior to commencing leave, whereby they agree to return to Roosevelt University for one academic year following completion of the leave or, if not, repay the University for the full cost of compensation (including benefits) paid to the faculty member during the leave period.

Other professional leaves may be granted, normally without compensation, upon the recommendation of the college dean and only as approved by the EVP/University Provost.

Personal Leave

The EVP/University Provost, upon the recommendation the dean of a college, may grant a leave without pay to members of the faculty for a period not exceeding one academic year. Such personal leave may be granted if the following conditions are met:

1. The applicant applies in writing and such application has the approval of the chair and the appropriate dean.
2. The college dean and department chair 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.

Normally a personal leave will not be granted to more than one faculty member in any one academic unit in any given semester. Roosevelt University's medical benefits will be available to persons on personal leave provided the University is reimbursed for the cost of the premiums and arrangements are made in advance with Human Resources.

Medical Leave

For medical leave policies, please see the Human Resources policies on Sick Leave, Time-Off/Leaves of Absence, and the Family and Medical Leave Act.

Retirement

Because the University must plan for coverage of coursework, administrative functions, and other faculty responsibilities, faculty members are urged to communicate retirement intentions to their college dean one year in advance of the expected retirement date. Faculty should contact Human Resources for retirement details, which can be found on <http://www.roosevelt.edu/Provost/InfoForFaculty.aspx>. Tenure terminates as of the date of retirement.

The University's current benefits plan includes in its medical insurance program any retired faculty member who, at the time of retirement from all full-time employment, has served as a full-time member of the University Faculty for a minimum of five consecutive years. The retiree, however, must reimburse the University for the cost of the premiums. The University reserves the right to modify benefits plans going forward, consistent with applicable law.

Emeriti Status: Faculty

1. Emeriti status is granted by the President, at the discretion of the University and upon recommendation of the college dean and EVP/University Provost, to 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 are University Faculty members who have served 10 years or more at Roosevelt University. Upon recommendation of the EVP/University Provost, the President may make exceptions to this rule.

3. Rank will be the same as held by the faculty member during employment at Roosevelt (e.g. associate professor emeritus/emerita).
4. Emeriti status begins immediately upon retirement and entitles the honoree to continued library access and Roosevelt email. At the discretion of the academic unit, emeriti faculty members 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. Emeriti status does not entitle the recipient to space, personnel, or equipment unless such a request is submitted and approved by the college dean and EVP/University Provost.
5. Professors emeriti will be invited to participate in or attend major University ceremonies or events including convocation and commencement.
6. Professors emeriti, but not their families, are eligible to enroll in courses tuition free at Roosevelt University.
7. Professors emeriti may teach and will be compensated at the highest RAFO rate.

Academic Personnel File

The academic personnel file will be maintained in the Office of Human Resources. Materials in the file at the time of initial appointment include: University application form, academic unit recommendation, complete transcript, and letters of reference. The faculty member should have access to all parts of this file except designated confidential external letters of recommendation deposited in the file for use in the promotion and tenure process (which are normally kept for five years after the tenure and promotion process). Other documentation relating to the faculty member's employment with the University and decisions made by the University regarding faculty compensation, advancement, and renewal will also be included. To review his/her personnel file, a faculty member should contact the Office of Human Resources.

Indemnification

Roosevelt University's current 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/her 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 actions 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.

PART II: Officers of the University Faculty

SECTION A Leaders of the University: the President, the Provosts

The President

The President shall be the principal executive officer of the University and will in general supervise and control all of the business and affairs of the University. He/she will be a voting ex-officio member of the Board of Trustees, an officer of the Board of Trustees, and chief administrative officer of the University.

The President shall be the head of all sections of the University, exercising such supervision and direction as will promote their efficiency and effectiveness, in fulfillment of the University's mission; will be responsible for the discipline of the University; and will be a voting ex-officio member of the University Senate and of the various college councils; will be the official medium of communication between the faculty and the Board of Trustees, and between the students and the Board of Trustees, except as herein otherwise provided; and will be responsible for carrying out all measures officially agreed upon by the Board of Trustees.

The Board of Trustees conducts the search for the President. There will be tenured faculty members and representatives from the staff and student body on the search committee.

The Executive Vice President and University Provost

The EVP/University Provost will be the chief operating officer and chief academic officer of the University after the President. In the temporary or short-term absence of the President, the EVP/University Provost will perform the duties of the President, and when so acting, will have all the powers of and be subject to all the restrictions placed upon the President. The EVP/University Provost is appointed by the President upon the recommendation of the relevant University search committee.

The search committee will consist of:

- 2 tenured faculty members from the College of Arts and Sciences, and 1 tenured faculty member from each of the remaining colleges, all elected by college councils.
- 2 faculty members and a dean chosen by the President.
- 2 students, one elected by the Student Government Association of the Chicago campus and one elected by the Student Government Association of the Schaumburg campus.

- 2 Administrative Assembly members (1 appointed by the President and 1 elected by the Administrative Assembly).
- 1 Board of Trustees member appointed by the President.

The Schaumburg Campus Provost

The Schaumburg Campus Provost provides leadership, experience, energy and intellectual vision to advance the mission and institutional commitment to Roosevelt University's Schaumburg Campus in service to the Northwest suburbs and beyond. The position is responsible for establishing strategic alliances and partnerships with key individuals, municipalities, community colleges, organizations and corporations; improving linkages between the University and the community connections of the faculty and staff; and strengthening outreach to and programs for distinctive ethnic and cultural communities. The Schaumburg Campus Provost creates a distinctive and fiscally stable campus in collaboration with the entire University community.

The search committee will consist of:

- 2 tenured faculty members from the College of Arts and Sciences, and 1 tenured faculty member from each of the remaining colleges, all elected by college councils.
- 2 faculty members and a dean chosen by the President.
- 2 students, one elected by the Student Government Association of the Chicago campus and one elected by the Student Government Association of the Schaumburg campus.
- 2 Administrative Assembly members (1 appointed by the President and 1 elected by the Administrative Assembly).
- 1 Board of Trustees member appointed by the President.

SECTION B Academic Leaders

The College Deans

College deans are the chief academic, fiscal, administrative, and fundraising officers of the colleges they serve. They will provide leadership in the maintenance and improvement of educational standards and practices within their respective spheres by working with faculty to create an environment of intellectual excellence.

They will implement and carry out such academic and administrative policies as are determined by the Board of Trustees, President, EVP/University Provost, Schaumburg Campus Provost, University Senate, their colleges, and their academic units.

All college deans serve as members of the Deans Council and report directly to the EVP/University Provost.

Responsibilities of the college deans include, but are not limited to:

- Serving all students at the highest possible levels and supporting excellence in every program.
- Recruiting and retaining appropriate students.
- Promoting excellence and diversity in recruiting and retaining faculty and staff.
- Assuring fiscal responsibility and accountability.
- Serving as spokesperson and advocate for their colleges and programs both inside and outside the college.
- Raising funds for the continued growth and excellence of their colleges and programs.

All college deans are appointed by the President upon the recommendation of the EVP/University Provost and the search committee.

The search committee for a college dean will consist of:

- 4 University Faculty members from the affected college chosen by the College Council.
- 1 University Faculty member from outside the college appointed by the EVP/University Provost in consultation with the Executive Committee.
- 1 representative from the student body of the college chosen by the EVP/University Provost in consultation with the Executive Committee.
- 1 associate/assistant dean of the college elected by the College Council.
- 1 college dean chosen by the EVP/University Provost in consultation with the Executive Committee.

Vice Provost for Academic Affairs

The Vice Provost reports directly to the EVP/University Provost and those reporting to him/her include, but are not limited to the offices of Graduate Studies, Undergraduate Studies, Global Education, Grants and Contracts and the Honors Program.

The search committee for the vice provost for academic affairs will consist of:

- 2 University Faculty members from the College of Arts and Sciences and 1 University Faculty member from each of the other colleges, all elected by their respective College Councils.
- 1 college dean appointed by the EVP/University Provost.
- 1 associate dean appointed by the EVP/University Provost.

SECTION C Leaders of Academic Units within a College

Academic Unit Management

The leaders of academic units must be University Faculty and may include, but are not limited to, associate deans, department chairs, and program directors. These academic leaders are appointed by the EVP/University Provost upon the recommendation of the college dean and the University Faculty of the academic unit.

The leaders of academic units will implement and carry out such academic duties and policies as are determined by the dean of the college, University Senate, by their college council, and by the University Faculty of their academic units, and such administrative duties as are assigned to them. Leaders of an academic unit normally receive an adjustment in teaching load and/or compensation.

Associate Deans

Working with the Dean and faculty, associate deans provide academic, student affairs, and operational leadership. In addition, they execute policies, procedures, and practices of the colleges by establishing and sustaining functional relationships across the University in the academic and administrative interests of the college.

Department Chairs

Department chairs will provide leadership in the improvement of educational standards and practices within their respective disciplines. Duties include but are not limited to: scheduling classes; overseeing and mentoring faculty of the department; overseeing curriculum; proper expenditure of assigned budget; student advising; and other duties pertaining to the discipline(s); hiring of adjunct faculty; supervision of teaching; and graduate admission.

Appointment of Leaders of Academic Units

Associate deans will be recommended by the dean of the college and appointed by and serve at the pleasure of the EVP/University Provost.

Department chairs, program directors, coordinators, and heads are appointed by and serve at the pleasure of the dean of the college.

Searches for academic leaders may be internal or external.

External Searches

- External searches require the approval of the EVP/University Provost and will adhere to normal search guidelines for each college.

Internal Searches

- For internal searches, the dean and the Executive Committee will notify the full-time voting members of an academic unit in which the position of leader is to be filled and ask for nominations. The dean of the college will poll the full-time voting members of the academic unit by secret ballot on these nominations.
- In the rare case the dean of the college wishes to appoint someone to be leader who has not received a majority of the votes cast by fulltime members, the dean will discuss his/her choice with the academic unit before making the appointment.
- Leaders of an academic unit normally receive an adjustment in teaching load and/or compensation.

SECTION D Evaluations of Officers of the University Faculty

The President, the EVP/University Provost, the Schaumburg Campus Provost, college deans, and the vice provost for academic affairs will be subject to evaluation at the midpoint of each contract. The evaluations will be developed and overseen by the Senate Executive Committee and administered by the EVP/University Provost's office.

In the case of evaluation of the President, the Chairman of the Board of Trustees or his/her designate will report to the Executive Committee of the Senate on how results were utilized. The President or the EVP/University Provost will discuss with the Senate Executive Committee and report to the Senate how the results were utilized for all others evaluated.

PART III: Legislative Bodies

SECTION A The University Senate

Authority, duties, and responsibilities of the University Senate, see Article III, Legislative Bodies, Section A, University Senate, in the Constitution of the University Faculty.

Representatives to the University Senate

Representatives to University Senate are elected to two-year terms in the spring semester preceding a new two-year appointment cycle. Each college council will determine the election process for the college. Senators will begin their term of service on the first day of the fall semester of even years following their election.

University Senate Schedule

Regular meetings of the University Senate normally will be held on from 1:00PM to 2:30PM on the third Friday of the month from September through April when the University is in session. The dates, times and locations of these meetings will be determined a year in advance, with the announcements made each September for the meetings in the next academic year. The Executive Committee of the University Senate may, by giving one week's advance written notice to all members, move the date of any given meeting forward or back as many as seven days. The chair of the Senate, in consultation with the Executive Committee, will prepare the agenda for University Senate meetings and circulate the proposed agenda a week prior to meetings. The chair of the Senate may revise the agenda if new business of importance arises during the said week; and the University Senate may, by consent or majority vote, change the agenda, but in every case the agenda will include the item of "new business."

Other meetings of the University Senate may be called by the President, by the EVP/University Provost, by the Executive Committee of the University Senate, or upon petition of one-fourth of the membership of the entire University Senate addressed to one of these three.

Notices of special meetings of the University Senate must be emailed to all members so that the notices will be received one week before the meeting is to be held.

Quorum

At regular meetings of the University Senate a quorum will consist of any number who are present. At special meetings a quorum will consist of sixty per cent of the full-time voting members.

Determination of Composition of the University Senate

The University Senate shall consist of the following:

- Nominally 55 University Faculty distributed among colleges in proportion to each of the college's share of the total full-time equivalent University Faculty.
- One adjunct faculty member from each college elected by the adjunct faculty of that college;
- Ex-officio members with vote (President, EVP/University Provost, Schaumburg Campus Provost, all college deans, vice provost for academic affairs, head of libraries, dean of undergraduate studies, dean of graduate studies,);
- Four members of the Administrative Assembly with each campus represented;
- Two members of the Library professional staff;
- One student elected by the respective student government associations of each campus.

Other members of the University community may participate in Senate meetings, but they will not have the right to vote.

The number of University Faculty senators will be determined as follows:

- The total number of full-time equivalent University Faculty will be determined using the faculty census data from the fall semester of the academic year in which the election takes place.
- The number of University Faculty senators from each college will be determined based on the number of full-time equivalent University Faculty assigned to each college as a percent of the total full-time equivalent University Faculty.
- If a college is entitled to a fractional seat, that fraction shall be rounded to the next highest integer, resulting in a number of University Faculty senators greater than 55.
- Every college must have a minimum of one senator.

SECTION B Committees of the University Senate

Committees of the University Senate are defined as those committees that are elected by the University Senate. All committees of the University Senate must have as members at least one University Faculty member from each college. Other committees will be elected by the Senate as needed.

Executive Committee

The Executive Committee will be the principal committee serving the University Senate. It will investigate, deliberate, and recommend on all questions referred to it by the University Senate. The Executive Committee also may initiate and execute research into issues of interest to the University Faculty.

The Executive Committee will consist of the following senators (each college must be represented by an elected University Faculty member):

- President, voting ex-officio;
- EVP/University Provost, voting ex-officio;
- Schaumburg Campus Provost, voting ex-officio;
- Chair of the Senate;
- Vice Chair of the Senate;
- Secretary of the Senate;
- One member of the University Senate from each college elected by the University Senate;
- One adjunct faculty member;
- One Administrative Assembly member.

Executive Committee members will be elected for two-year terms at the first regular meeting of each two-year term of the Senate.

The Faculty Issues Committee

The Faculty Issues Committee will investigate, deliberate, and recommend on all questions concerning faculty that are:

- Referred to it by the Senate Executive Committee, or
- Referred to it directly by the Senate (a simple majority vote of senators), or
- Taken up on its own by a simple majority vote of the Faculty Issues Committee members.

In all cases the Faculty Issues Committee will report back to the Senate Executive Committee on its recommendation(s) on each issue.

The Committee will consist of one university faculty member from each college and include the Chair of the Senate as a non-voting ex-officio member. The Committee members will be elected for two-year terms at the first regular meeting of each two-year term of the Senate.

The Faculty Advisory Board on Retrenchment

The Senate will elect a Faculty Advisory Board on Retrenchment upon the declaration of the President of financial exigency. This committee will advise the President regarding general budgetary and programmatic consideration if, for reasons of financial exigency, the President (a) orders reduction in the number of faculty members, programs or academic divisions; or (b) discontinues particular curricula leading to a degree. The President, EVP/University Provost, or other appropriate designee may also consult with the Board prior to terminating faculty employment consequent to financial exigency.

The Faculty Advisory Board on Retrenchment will consist of nine tenured University Faculty members. All colleges must be represented.

Vacancies

When any elective office of the University Senate is declared vacant because of a member no longer being a member of the faculty or being unable or unwilling to fulfill the obligations and responsibilities of elected office, an election to replace that member will be held. The same provision applies for faculty membership of the Board of Trustees. Such vacancies include those instances when a member is on leave for a period of one semester or longer, unless said member notifies the Chair of the Senate of his or her desire and availability to continue serving, in which case the Chair will make a recommendation to the Senate either to approve or deny the request. To sustain the Chair will require a simple majority vote. If there is a replacement then the term of the replacement is the length of the leave or absence.

SECTION C Faculty Members of the Board of Trustees

The University Senate will at its last regular meeting of the academic year elect two members of the faculty to the Board of Trustees for two successive years, and for each third year one member of the faculty to the Board of Trustees for terms of three years each, those elected taking office beginning with the next following annual meeting of the Board in place of those faculty trustees whose terms have expired.

In these elections there will be open nominations and a secret ballot. The secretary of the University Senate will, within five days after the election, inform the secretary of the Board of Trustees of the result of the election.

Per the By Laws of Roosevelt University (Board of Trustees), “faculty members who hold administrative positions and thus serve at the pleasure of the President or the EVP/University Provost, are not eligible for election.”

SECTION D Committees of the University

Committees of the University are defined as those committees whose membership is elected wholly or in part from bodies other than the University Senate, such as college councils. Of these committees, the Undergraduate Council, the Graduate Council, and the Planning and Budget Committee report to the Senate.

The Undergraduate Council

The Undergraduate Council will review and approve all new undergraduate majors, minors, concentrations, certificates, and other programs; the council must also review changes to requirements and other revisions to existing programs. Decisions of the Undergraduate Council require affirmation by vote at the University Senate.

Each College Council will elect two full-time members of the university faculty for two-year terms during the spring semester of even-numbered years. Each two-year term begins the fall semester following the spring election. Ex-officio voting members of the Council are the EVP/university provost, the dean of undergraduate studies and each college dean. The college dean may delegate his/her council authority and voting rights to an assistant or associate dean or to a full-time member of the university faculty.

The university librarian, the registrar, the assistant provost for institutional research and assessment, and the director of advising will be administrative resource persons, non-voting, for the Council. The Council will elect a chair and a secretary at its first meeting of the academic year. The Council will meet at least once each semester at the call of the dean of undergraduate studies.

The Graduate Council

The Graduate Council will review and approve all new graduate majors, certificates, and other programs as well as changes to requirements and other revisions to existing programs. Decisions of the Graduate Council require affirmation by vote of the University Senate.

Each College Council will elect one tenured or tenure-track university faculty member for a two-year term during the spring semester of even numbered years for service on the Executive Committee of Graduate Council. Each graduate program will elect one tenured or tenure-track university faculty member for a two-year term during the spring semester of even numbered years for service on the Graduate Council. Each two-year term begins the fall semester following the spring election. Ex-officio members of the Council are the EVP/University Provost, the dean of graduate studies (Council

administrative liaison), and each college dean. The college dean may delegate his/her council authority and voting rights to an associate dean. The university librarian, the director of graduate admission, and the registrar will serve as administrative resource persons for the Council. The Committee will elect a chair and a secretary at its first meeting of the academic year. The Committee will meet at least once each semester and at the call of the dean of graduate studies.

The Faculty Tenure Review Committee

Any faculty member denied indefinite tenure may petition the Faculty Tenure Review Committee for review subject to procedures in this Handbook.

The Faculty Tenure Review Committee will consist of one tenured university faculty member from each college. Members are elected by the College Councils for a two-year term during the spring semester of even numbered years. Each two-year term begins the fall semester following the spring election. Members cannot be anyone who holds an administrative position (e.g., President, EVP/University Provost, college dean, or associate dean) or any department chair.

For Faculty Tenure Review Committee policies and procedures please see Part V (Reappointment, Tenure, and Promotion) of this Handbook.

The Planning and Budget Committee

The University will have in place processes and procedures that aid the institution in constructing a sound and strategic plan and budget. To that end, the president will convene the Planning and Budget Committee. This committee works with the president, the provost and executive vice president, the vice president for finance & administration and chief financial officer, and the senior leadership to create the annual budget and to assure long-term strategic planning. The proposed annual budget is presented to the president and then the Board of Trustees for their evaluation, revisions, and ultimate approval.

The Planning and Budget Committee will conduct a review of programs for adoption from the perspectives of program mix, operations, and budget; and, the committee will conduct third-year reviews of newly adopted programs. The Planning and Budget Committee monitors the financial health of programs and prepares program-based recommendations to the senior leadership.

The Planning and Budget Committee will consist of two University Faculty members from each college, two members of the Administrative Assembly, and a non-voting representative from the Office of Enrollment Management. University Faculty members are elected by the college councils for a two-year term during the spring semester of even numbered years. The Administrative Assembly members are elected by the

Administrative Assembly for a two-year term during the spring semester of even numbered years. The VP for Enrollment Management will select the Enrollment Management non-voting representative. Each two-year term begins the fall semester following the spring election. The President, EVP/University Provost, SVP/CFO, and the Schaumburg Campus Provost are ex-officio voting members. The EVP/University Provost and SVP/CFO are the co-chairs of the Committee.

The Research and Professional Improvement Leave Committee

When proposed by the Planning and Budget Committee and authorized by the Board of Trustees, the EVP/University Provost will convene the Research and Professional Leave Committee and invite applications for research leaves and summer research grants. The Committee will review all applicants and make recommendations for such leaves to the EVP/University Provost.

The Research and Professional Improvement Leave Committee will consist of one research/professionally active tenured university faculty member from each college. Members are elected by the College Councils for a one-year term during the spring semester.

University Assessment Steering Committee (UASC)

The mission of the University Assessment Steering Committee (UASC) is to promote excellence throughout Roosevelt University academic and non-academic units through the development of a faculty and staff led holistic assessment framework. The primary function of the UASC will be to advise, support and oversee student-centered learning assessment processes. The overarching goal of the UASC is to create a culture of data-informed, continuous improvement and institutional effectiveness.

Membership of the UASC: The EVP/University Provost and Schaumburg Campus Provost will be ex-officio voting members. The committee will be co-chaired by the associate provost for institutional research, assessment and accreditation and the dean of undergraduate studies. Each college will have one representative on the committee chosen by the dean of the respective college. Additional members of the committee will include the vice provost for academic affairs, the dean of graduate studies, the associate vice president for student services, and the director of distance learning and instructional design.

Institutional Review Board (IRB)

The University will have a university-wide Institutional Review Board (IRB) to review all university-affiliated research, in compliance with a regulations of the U.S. Department of Health and Human Services (45 CFR 46).

Members of the IRB will be appointed by the President, upon recommendation of the EVP/University Provost, in consultation with the associate provost for grants administration and the dean of graduate studies. Members will have backgrounds that allow them to conduct complete and adequate review of research activities commonly conducted at the University. The IRB will be sufficiently qualified through the experience and expertise of its members, and the diversity of the members, including consideration of race, gender, and cultural backgrounds and sensitivity to such issues as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human research subjects.

The IRB will have at least five members, including:

- At least one member whose primary concerns are in scientific areas;
- At least one member whose primary concerns are in nonscientific areas;
- At least one member who is not otherwise affiliated with the institution and who is not part of the immediate family of a person who is affiliated with the institution.

Institutional Animal Care and Use Committee (IACUC)

The President will appoint an Institutional Animal Care and Use Committee (IACUC), qualified through the experience and expertise of its members, to oversee the institution's animal utilization program, facilities, and procedures. The IACUC reports directly to the EVP/University Provost. The IACUC is also in charge of reviewing concerns involving the care and use of animals at the University and for making recommendations to the EVP/University Provost regarding any aspect of the University's animal utilization program, facilities or personnel training.

The IACUC Guidebook states the criteria for the Committee. The committee will consist of not fewer than 5 members, 2 members of the University's science department, and will include at least:

- One faculty member practicing scientist experienced in research involving animals;
- One Doctor of Veterinary Medicine, with training or experience in laboratory animal science and medicine, who has direct or delegated program authority and responsibility for activities involving animals at the institution (see IV.A.1.c.);
- One member whose primary concerns are in a nonscientific area (for example, ethicist, lawyer, member of the clergy); and
- One individual who is not affiliated with the institution in any way other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution.

An individual who meets the requirements of more than one of the categories detailed in IV.A.3.b.(1)-(4) of the IACUC Policy may fulfill more than one requirement. However, no

committee may consist of less than five members. The administrative liaison will be the dean of graduate studies.

See <http://www.roosevelt.edu/Provost/InfoForFaculty.aspx> for policies and procedures.

SECTION E The College Councils

Each college will have a college council. The voting members will be the college deans, the University Faculty of that college, and one adjunct faculty member, as well as voting ex-officio members, the President, EVP/University Provost, and Schaumburg Campus Provost. Other college staff members may participate in council meetings, but they will not have the right to vote.

It will be the duty of each college council to determine policies with regard to college academic matters, including the objectives and content of particular curricula, the improvement of instruction, requirements for degrees and certificates, and other issues that affect the quality and community of the college that are not in contradiction with the Constitution of the University Faculty or with University policies.

Each college council will elect a chair, vice chair, and secretary for a two-year term during the spring semester of even numbered years. Each two-year term begins the fall semester following the spring election.

PART IV: Reappointment, Tenure and Promotion

SECTION A: Standards for Reappointment, Tenure and Promotion (RTP)

Each faculty member is expected to demonstrate excellence in teaching, scholarship, and service to Roosevelt University and the larger academic and professional communities. Evidence of these accomplishments is documented and gathered according to the following procedures.

Each college shall be responsible for devising formal standards for the evaluation of teaching, scholarship, and service that will apply within the college. Standards approved by the dean and the College Council shall be forwarded to the UFPC and for recommendation to the EVP/University Provost for final approval and general conformity with the standards specified below. See college specific criteria:

- College of Arts and Sciences:
<http://www.roosevelt.edu/CAS/Faculty.aspx>
- Heller College of Business:
<http://www.roosevelt.edu/business/directory.aspx>
- College of Education [website URL forthcoming]
- Evelyn T. Stone College of Professional Studies [website URL forthcoming]
- Chicago College of Performing Arts [website URL forthcoming]
- College of Pharmacy [website URL forthcoming]

Teaching

Excellence in teaching is typically the most crucial component in the criteria for reappointment, tenure and promotion. This includes excellence in individual teaching skill and also excellence in working collaboratively with other professional colleagues in classroom activities and in the design and implementation of programs or curricula.

Scholarship

Productive scholarly, professional, and creative activities are crucial components in the criteria for reappointment, tenure, and promotion.

Service

Valuable 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 academic and metropolitan community.

SECTION B: General Information and Principles

This section contains general information about the Reappointment, Tenure, and Promotion (RTP) process, including eligibility for professors voting on RTP, the composition of peer committees, and the policy on the timeline for RTP.

Eligibility to Vote on Reappointment, Tenure, and Promotion

Eligibility for professors voting on Reappointment, Tenure, and Promotion is as follows:

- Only tenured faculty members may vote on the RTP of faculty.
- Only tenured full professors may vote on promotion from associate professor to full professor at the Peer Committee (PC) level.
- Only tenured associate and full professors may vote on tenure for associate professors standing for tenure only.
- Only tenured associate and full professors may vote on tenure and promotion from assistant professor to associate professor or for reappointment of non-tenure-track faculty.

Tenured associate and full professors with administrative responsibilities are eligible to vote as outlined herein except the administrated offices of President, Provost, Dean, or Chair or Head of the Program, Unit, Department and/or Discipline.

Those voting must vote only once as determined by their respective college in a policy document approved by the College Council, the Dean and the EVP/University Provost. Absent such a document voting will continue to take place at the lowest level of eligibility.

Composition of Peer Committees

Each College Council shall establish selection criteria (i.e., program, unit, discipline, and/or department) for membership on the Peer Committee. The Peer Committee generally consists of all tenured members of the Candidate's program, unit, department, and/or discipline as defined by the College Council. Each Peer Committee will be composed of at least three (3) members. The Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate is not a member of the Peer Committee. Standards approved by the Dean and the College Council shall be forwarded to the University Faculty Personnel Committee [UFPC] and for recommendation to the EVP/University Provost for final approval and general conformity with University standards. See college specific criteria:

- College of Arts and Sciences: [website URL forthcoming]
- Heller College of Business: [website URL forthcoming]
- College of Education [website URL forthcoming]
- Evelyn T. Stone College of Professional Studies [website URL forthcoming]
- Chicago College of Performing Arts [website URL forthcoming]
- College of Pharmacy [website URL forthcoming]

Chair or Head of the Program, Unit, Department and/or Discipline

In the event that the Chair or Head of the Program, Unit, Department and/or Discipline is untenured, is the Candidate under consideration, or is in some other way not eligible to oversee the reappointment, tenure or promotion process for the Candidate (or if there is no Chair or Head of the Program, Unit, Discipline, and/or Department in place at the time of the reappointment, tenure or promotion), the Dean will confer with the tenured faculty members of the College before appointing a Chair Designate from among the eligible faculty. The Chair Designate must be a tenured, associate or full professor for reappointment, tenure, and/or promotion of the Candidate to associate professor. The Chair Designate must be a tenured full professor when the Candidate is applying for promotion to full professor.

Timeline

Normally, the timeline for RTP contained herein will be followed. Upon approval of the EVP/University Provost, some adjustments to this timeline may be made. If dates in the timeline fall during a weekend or holiday, the next business day will become the deadline.

In exceptional circumstances, issues or complaints may arise after a reappointment, tenure, and/or promotion process has begun that may require supplementation of the dossier, stay of proceedings, or modification of the timelines or procedures set forth in Section C. Such modifications may be made in order to ensure a complete and fair reappointment, tenure, and/or promotion process, in which matters or issues are properly addressed, with a candidate afforded an opportunity to address concerns, before a decision is made. Where the EVP/University Provost concludes that exceptional circumstances require modification of timelines or procedures, the EVP/University Provost may modify the applicable timelines or procedures accordingly, with written notification and explanation to be afforded to the Candidate, the College at issue, and the University Senate.

Appeal of Reappointment, Tenure, and/or Promotion Decisions

Any faculty member denied reappointment, tenure, and /or promotion may petition the Faculty Tenure Review Committee for reconsideration. Please see Part V (Dispute Resolution, Formal Grievance Procedures, and Appeals) Section D of this Handbook.

Retention of Confidential Letters

Confidential letters concerning faculty reappointment, promotion, and tenure will be removed from the faculty member's reappointment, promotion, and/or tenure file after final decisions have been made by the President and communicated to the faculty member. These letters will be retained in the faculty member's personnel file in the Office of Human Resources for three years; after that time, the letters may, at the discretion of the University, be destroyed.

.SECTION C Reappointment, Tenure, and Promotion (RTP) Timelines

For Non-Tenure-Track Appointments Including Instructors, Lecturers, Senior Lecturers and Clinical Faculty Standing for Reappointment

By May 1 – Meeting with Chair or Head of the Program, Unit, Department and/or Discipline

The Candidate and Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate (the Dean and/or his/her delegate may also attend and participate in this meeting) meet to review the entire reappointment process and procedures.

By October 15 – Peer Committee

The Dean identifies a Peer Committee consisting of all tenured members of the Candidate's program unit, department, and/or discipline as defined by the College Council (see eligibility of voting members above). The Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate is not a member of the Peer Committee. The Peer Committee shall have at least three (3) members. If there are fewer than three tenured members in a given program, unit, department, and/or discipline, the Dean will select additional faculty from the College to serve on the Peer Committee consistent with guidelines established by the College Council.

By November 15 – Candidate Dossiers Due

The Candidate submits a dossier to the Dean's Office for review by all involved in the reappointment process. Once the dossier is submitted, it will be considered confidential and no longer available to the Candidate until after the entire process has come to conclusion (except in exceptional circumstances in which, as noted below, issues may arise during the reappointment evaluation process requiring modification

of timelines or procedures by the EVP/University Provost to ensure a complete and fair evaluation).

The final dossier should include some or all of the following information (see specific criteria established by each College):

- An updated vita, including and identifying the following information, as applicable (see specific criteria established by each college):
 - Biographical and educational data.
 - Courses taught in each semester (include year).
 - Advising responsibilities.
 - Service, including administrative and leadership responsibilities.
 - Honors.
 - Research and grants.
 - Publications.
 - Presentations.
 - Creative or professional work.
- Evidence of teaching and advising:
 - Statement of goals, philosophy of teaching, and future teaching plans as they relate to the Roosevelt mission.
 - All student evaluations of faculty.
 - All peer evaluations and/or observations.
 - Representative syllabi.
- Evidence of service:
 - Participation in academic unit, college and university activities and committees; offices held on these committees.
 - Participation in learned societies and professional organizations; offices held in these organizations (indicate local, regional, or national).
 - Consulting to the field and the community (indicate local, regional, or national).
 - Participation in community and civic affairs.
 - Service as a program director, department chair, or in another administrative leadership role.

By December 8 – Peer Committee (PC) Votes

The Peer Committee reviews the candidate's dossier, meets and discusses the dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against reappointment for the Candidate by secret ballot.

The Peer Committee:

- Tallies the vote;

- Prepares a letter describing the strengths and weaknesses of the Candidate in the context of the standards and criteria established by the University and the College and the specific responsibilities assigned to the faculty member by the University;
- Communicates the vote to the Candidate, Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate, and Dean in writing.

A copy of the letter is added to the Candidate's dossier.

By December 24 – Candidate May Respond in Writing to the Peer Committee Report

The Candidate's letter is to be addressed to the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate. The Candidate's response will be included in the dossier, and the Peer Committee will be informed by the Chair Designate.

By January 8 – Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate Writes Letter of Recommendation

The tenured Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate prepares a letter of recommendation to be added to the Candidate's dossier based on his/her evaluation of the Candidate, including but not limited to consideration of the Candidate's dossier.

The letter:

- Discusses the Candidate's performance in the areas of teaching, advising, and service;
- Assesses the Candidate's strengths and weaknesses in light of his/her performance as related to the standards and criteria established by the College and the specific responsibilities assigned to the faculty member by the University;
- Recommends for or against reappointment.

This letter is the equivalent of a vote and therefore the writer of the letter may not vote at any other level. The letter is addressed to the Dean with a copy to the Candidate and is added to the Candidate's dossier.

By January 15 – Candidate May Respond in Writing to the Chair Designate's Letter

The Candidate's letter is to be addressed to the Dean. The Candidate's response will be included in the dossier, and the Chair Designate will be informed by the Dean.

By January 25 – College Executive Committee (CEC) Votes

The CEC reviews the dossier, including the Peer Committee's letter and vote, and the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes by secret ballot for or against reappointment of the Candidate.

If a member of the CEC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate. The Chair of the CEC (or designee, where an issue is raised about the Chair's ability to vote) may act to recuse a member of the CEC after consulting with the rest of the committee.

The Chair of the CEC prepares a letter addressed to the Dean, with a copy to the Candidate, reporting the vote of the CEC and briefly explaining the reasons for the CEC's vote. This letter is added to the Candidate's dossier.

By February 1 – Candidate May Respond in Writing to the CEC Letter

The Candidate's letter is to be addressed to the Dean. The Candidate's response will be included in the dossier, and the CEC will be informed by the Dean.

By February 7 – Dean Writes Letter of Recommendation

The Dean of the College prepares a letter of recommendation, based in whole or in part upon review of the dossier, regarding the Candidate's request for reappointment with a recommendation for or against. This recommendation is addressed to the Provost, with a copy to the Candidate, and is added to the Candidate's dossier. The Dean sends this letter and the complete dossier to the Office of the EVP/University Provost.

By February 15– Candidate May Respond in Writing to the Dean's Letter

The Candidate's letter is to be addressed to the EVP/University Provost. The Candidate's response will be included in the dossier, and the Dean will be informed by the EVP/University Provost.

By March 8 – EVP/University Provost Informs Candidates of Reappointment Decision

The EVP/University Provost reviews the Candidate's dossier, and based on the documents presented and the recommendations of the Peer Committee, Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate, College Executive Committee, and Dean, makes a decision on behalf of the University whether to grant or decline reappointment.

The EVP/University Provost shall inform the Candidate in writing of the decision regarding reappointment.

The EVP/University Provost will submit a list of the names of those reappointed for distribution at the April Senate and post it on the Provost website.

Tenure-Track Appointments Including Assistant, Associate, and Full Professors Standing for Reappointment

By May 1 – Meeting with Chair or Head of the Program, Unit, Department and/or Discipline

The Candidate and Chair Head of the Program, Unit, Department and/or Discipline (the Dean and/or his/her delegate may also attend and participate in this meeting) meet to review the entire reappointment process and procedures.

By October 15 – Peer Committee (PC) Identified

The Dean identifies a Peer Committee consisting of all tenured members of the Candidate's program, unit, department, and/or discipline (see eligibility of voting members above). The Chair or Head of the program, unit, department and/or discipline or Chair Designate is not a member of the PC. If there are fewer than three tenured members in a given program, unit, department, and/or discipline, or if a College has no equivalent structure, the Dean will select additional faculty from the College, consistent with guidelines established by the College Council, to serve on the Peer Committee.

By November 15 – Candidate Dossiers Due

The Candidate submits a dossier to the Dean's Office for review by all involved in the reappointment process. Once the dossier is submitted, it will be considered confidential and no longer available to the Candidate until after the entire process has come to conclusion (except in exceptional circumstances in which, as noted below, issues may arise during the reappointment evaluation process requiring modification of timelines or procedures by the EVP/University Provost to ensure a complete and fair evaluation).

The final dossier should include some or all of the following information (see specific criteria established by each College):

- An updated vita, including and identifying the following information, as applicable:
 - Biographical and educational data.
 - Courses taught in each semester (include year).
 - Advising responsibilities.
 - Service, including administrative and leadership responsibilities.
 - Honors.
 - Research and grants.

- o Publications.
- o Presentations.
- o Creative or professional work.
- Evidence of teaching and advising:
 - o Statement of goals, philosophy of teaching, and future teaching plans as they relate to the Roosevelt mission.
 - o All student evaluations of faculty.
 - o All peer evaluations and/or observations.
 - o Representative syllabi.
 - o Evidence of scholarship/professional and creative work, including the following, as applicable:
 - o Statement of scholarly, professional, and performance goals, activities and future plans as they relate to the Roosevelt University mission.
- Publications (including all manuscripts). Place an asterisk in front of articles that are refereed.
 - o Books.
 - o Presentations.
 - o Performances and compositions.
 - o Exhibitions.
 - o Publication awards, reviews of books and/or performances.
 - o Grant proposals.
- Evidence of service:
 - o Participation in academic unit, college and university activities and committees; holding office on these committees.
 - o Participation in learned societies and professional organizations; holding office in these organizations (indicate local, regional, or national).
 - o Consulting to the field and the community (indicate local, regional, or national).
 - o Participation in community and civic affairs.
 - o Service as a program director, department chair, or in another administrative leadership role.

By December 8 – Peer Committee (PC) Votes

The Peer Committee reviews the dossier, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes by secret ballot for or against reappointment for the Candidate.

The Peer Committee:

- Tallies the vote;
Prepares a letter describing the strengths and weaknesses of the Candidate with regard to teaching, scholarship/professional and

creative work, and service in the context of the standards and criteria established by the University and the College and the specific responsibilities assigned to the faculty member by the University (the letter should note any weakness that may jeopardize the Candidate's receiving tenure in the future);

- Communicates the vote to the Candidate, Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate, and Dean in writing.

A copy of the letter is added to the Candidate's dossier and the dossier returned to the Office of the Dean.

By December 24 – Candidate May Respond in Writing to the Peer Committee Report

The Candidate's letter is to be addressed to the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate. The Candidate's response will be included in the dossier, and the Peer Committee will be informed by the Chair Designate.

By January 8–Chair or Head of the Program, Unit, Department and/or Discipline Writes Letter of Recommendation

The tenured Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate prepares a letter of recommendation to be added to the Candidate's dossier based on his/her evaluation of the Candidate, including but not limited to consideration of the Candidate's dossier.

The letter:

- Discusses the Candidate's performance in the areas of teaching/advising, scholarship/creative work, and service;
- Assesses the Candidate's strengths and weaknesses in light of their performance as related to the standards and criteria established by the college and the specific responsibilities assigned to the candidate by the University;
- Recommends for or against reappointment.

This letter is the equivalent of a vote and therefore the writer of the letter may not vote at any other level. The letter is addressed to the Dean with a copy to the Candidate, and added to the Candidate's dossier.

By January 15 – Candidate May Respond in Writing to the Chair's Letter

The Candidate's letter is to be addressed to the Dean. The Candidate's response will be included in the dossier, and the Chair Designate will be informed by the Dean.

By January 25 – College Executive Committee (CEC) Votes

The College Executive Committee reviews the dossier, including the Peer Committee's letter and vote, and the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designee's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against reappointment of the Candidate by secret ballot.

The Chair of the CEC prepares a letter on the CEC's vote addressed to the Dean, with a copy to the Candidate, reporting the vote of the CEC and briefly explaining the reasons for the CEC's vote. This letter is added to the Candidate's dossier.

If a member of the CEC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate. The Chair of the CEC (or designee, where an issue is raised about the Chair's ability to vote) may act to recuse a member of the CEC upon majority vote of the remainder of the committee.

By February 1 – Candidate May Respond in Writing to the CEC Letter

The Candidate's letter is to be addressed to the Dean. The Candidate's response will be included in the dossier, and the CEC will be informed by the Dean.

By February 8 – Dean Writes Letter of Recommendation

The Dean of the College prepares a letter of recommendation, based in whole or in part upon review of the dossier, regarding the Candidate's request for reappointment with a recommendation for or against. This recommendation is addressed to the EVP/University Provost, with copy to the Candidate, and is added to the Candidate's dossier. The Dean sends this letter and the complete dossier to the Office of the EVP/University Provost.

By February 15 – Candidate May Respond in Writing to the Dean's Letter

The Candidate's letter is to be addressed to the EVP/University Provost. The Candidate's response will be included in the dossier, and the Dean will be informed by the EVP/Provost.

By March 8 – University Faculty Personnel Committee (UFPC) Votes

The UFPC reviews the process for the Candidate and determines if procedures were followed and if the criteria established by the individual colleges and/or departments have been met.

The University Faculty Personnel Committee reviews the dossier, including the PC's letter and vote, Chair or Head of the Program, Unit, Department and/or Discipline's or Chair Designee's letter, the CEC's letter, and the Dean's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes on the Candidate by secret ballot. A letter noting the UFPC's vote for or against promotion and findings is provided to the Candidate and his/her Dean. This letter is added to the Candidate's dossier.

If a member of the UFPC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate. The Chair of the UFPC (or designate, where an issue is raised about the Chair's own ability to vote) may act to recuse a member of the UFPC after consulting with the rest of the committee.

By March 15 – Candidate May Respond in Writing to the UFPC's Report and Ask for Reconsideration of the Findings

The Candidate's request for reconsideration will be included in the dossier.

By March 24 – UFPC Final Vote (following a Request for Reconsideration is Received from the Candidate)

The UFPC will consider the request, vote again using secret ballots, and report the result in writing to the Candidate with a copy to the EVP/University Provost. This vote upon a request for reconsideration shall be final and not subject to further reconsideration requests.

By March 31 – EVP/University Provost Makes Recommendation to President

The EVP/University Provost reviews the Candidate's request for reappointment, including the complete dossier, the documents presented and the recommendations of the Peer Committee, Chair or Head of the Program, Unit, Department and/or Discipline, College Executive Committee, Dean, and UFPC, and makes a written recommendation to the President.

The President reviews the Candidate's complete dossier, including the documents presented and the recommendations of the Peer Committee, Department Chair or Head of the Program, Unit, Department and/or Discipline, College Executive Committee, Dean, University Faculty Personnel Committee, and EVP/University Provost, and conveys his/her final decision regarding reappointment to the EVP/University Provost.

By April 14 – EVP/University Provost Informs Candidates of Reappointment Decision

The EVP/University Provost writes a letter to the Candidate informing him/her of the President's decision.

The EVP/University Provost will submit a list of the names of those reappointed for distribution at the April Senate and post it on the Provost's website.

For Tenure-Track Appointments of Assistant Professors Standing for Tenure and Promotion or Associate or Full Professors Standing for Tenure

Tenure at Roosevelt University may only be granted through affirmative decision of the University, following full consideration by faculty committees and using the process set forth below.

By February 1 – Meeting with Chair or Head of the Program, Unit, Department and/or Discipline

The Candidate and Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate (the Dean and/or his/her delegate may also attend and participate in this meeting) meet to review the entire tenure and promotion process and procedures (or tenure process and procedures for Associate Professors standing for tenure alone), including but not limited to the need to submit a list of names of external reviewers by May 1 and to prepare the preliminary dossier by August 1.

By May 1 – Confidential External Reviewers

The Candidate, in consultation with the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate, develops a list of "arm's-length" experts to serve as confidential external reviewers. An arm's-length reviewer must be an expert in the Candidate's discipline with no conflicting relationship. Conflicting relationships include dissertation advisor, collaborator (co-author or joint researcher), students, relatives, and those involved, currently or any time in the past, in romantic relationships. The list is normally six or more persons, long enough to maximize the possibility that a minimum of at least three external letters are ultimately received. The list of external reviewers must be approved by the Dean or can be created in conjunction with the Dean. If issues or concerns arise subsequently about the independence of a particular external reviewer, the Dean has the discretion to eliminate external reviewers from the list of potential reviewers or to remove external review letters from the dossier; in this event, the Dean will so notify the Candidate and the appropriate Committee(s).

By June 30 – Contacting External Reviewers

The Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate or Dean contacts individuals on the list of external reviewers to determine their willingness to serve as an external reviewer.

By August 1 – Submission of Preliminary Dossier

The Candidate for tenure and promotion (or for the Associate Professor standing for tenure alone) submits his/her preliminary dossier (curriculum vitae, examples of scholarship/professional and creative work, and other relevant materials) to the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate, or Dean.

By August 15 – Preliminary Dossier Sent to External Reviewers

The Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate or Dean sends the preliminary dossier and a request for a confidential letter of recommendation to the final list of external reviewers. The letters submitted by external reviewers must be addressed to the Dean and normally received by November 1, but no later than November 15. The Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate or Dean monitors the informal replies of the external reviewers in order to ensure that a minimum of three have accepted the invitation to review the Candidate and that the responsive letters are submitted by external reviewers who meet the standards for independence set forth above. in a timely manner

By October 15 – Peer Committee (PC) Identified

The Dean identifies a Peer Committee consisting of all tenured members of the Candidate's program, unit, department, and/or discipline as defined by the College Council (see eligibility of voting members above). The Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate is not a member of the PC. If there are fewer than three tenured members in a given program, unit, department, and/or discipline, or if a College has no equivalent structure, the Dean will select additional faculty from the College, consistent with guidelines established by the College Council, to serve on the Peer Committee.

By November 15– External Review Letters Due

The Dean's Office stamps all external review letters received "Confidential" and places them in the Candidate's dossier once each is received. These letters may not be reviewed by the Candidate.

By November 15 – Candidate Dossiers Due

The Candidate submits a final dossier to the Dean's Office for review by all involved in the tenure and promotion process. Once the final dossier is submitted, it will be considered confidential and no longer available to the Candidate until after the entire process has come to conclusion (except in exceptional circumstances in which, as noted below, issues arise during the reappointment evaluation process requiring

modification of timelines or procedures by the EVP/University Provost to ensure a complete and fair evaluation).

The final dossier should include some or all of the following information (see specific criteria established by each College):

- An updated vita, including and identifying the following information, as applicable:
 - Biographical and educational data.
 - Courses taught in each semester (include year).
 - Advising responsibilities.
 - Service, including administrative and leadership responsibilities.
 - Honors.
 - Research and grants.
 - Publications.
 - Presentations.
 - Creative or professional work.
- Evidence of teaching and advising:
 - Statement of goals, philosophy of teaching, and future teaching plans as they relate to the Roosevelt mission.
 - All student evaluations of faculty.
 - All peer evaluations and/or observations.
 - Representative syllabi.
- Evidence of scholarship/professional and creative work, including the following, as applicable:
 - Statement of scholarly, professional, and performance goals, activities and future plans as they relate to the Roosevelt University mission.
 - Publications (including all manuscripts). Place an asterisk in front of articles that are refereed.
 - Books.
 - Presentations.
 - Performances and compositions.
 - Exhibitions.
 - Publication awards, reviews of books and/or performances.
 - Grant proposals.
- Evidence of service:
 - Participation in academic unit, college and university activities and committees; holding office on these committees.
 - Participation in learned societies and professional organizations; holding office in these organizations

- (indicate local, regional, or national).o Consulting to the field and the community (indicate local, regional, or national).
- o Participation in community and civic affairs.
- o Service as a program director, department chair, or in another administrative leadership role (where applicable).

All letters from the Candidate's reappointment review (Peer Committee, Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate , College Executive Committee, Dean, University Faculty Personnel Committee, EVP/University Provost) will be added by the Dean of the college.

By December 8 – Peer Committee (PC) votes

The Peer Committee reviews the dossier, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against tenure and/or promotion for the Candidate by secret ballot.

The Peer Committee:

- Tallies the vote;
- Writes a letter describing the strengths and weaknesses of the Candidate with regard to teaching, scholarship/professional and creative work, and service in the context of the standards and criteria established by the University and the College and the specific responsibilities assigned to the Candidate by the University;
- Communicates the vote to the Candidate, Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate, and Dean in writing.

A copy of the letter is added to the Candidate's dossier and the dossier returned to the Office of the Dean.

By December 24 – Candidate May Respond in Writing to the PC Report

The Candidate's letter is to be addressed to the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate. The Candidate's response will be included in the dossier, and the Peer Committee will be informed by the Chair Designate.

By January 8 –Chair or Head of the Program, Unit, Department and/or Discipline Chair Designate Writes Letter of Recommendation

The tenured Chair or Head of the Program, Unit, Department and/or Discipline Chair Designate prepares a letter of recommendation to be added to the Candidate's dossier based on his/her evaluation of the Candidate.

The letter:

- Discusses the Candidate's performance in the areas of teaching/advising, scholarship/professional and creative work, and service;
- Assesses the Candidate's strengths, weaknesses, and overall performance in light of the standards and criteria established by the college and information set forth in the Candidate's dossier;
- Recommends for or against tenure and/or promotion.

This letter is the equivalent of a vote and therefore the writer of the letter may not vote at any other level. The letter is addressed to the Dean with a copy to the Candidate, and is added to the Candidate's dossier.

By January 15 – Candidate May Respond in Writing to the Chair's Letter

The Candidate's letter is to be addressed to the Dean. The Candidate's response will be included in the dossier, and the Chair Designate will be informed by the Dean.

By January 25 – College Executive Committee (CEC) Votes

The College Executive Committee reviews the dossier, including the Peer Committee's letter and vote, and the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designee's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against tenure and/or promotion of the Candidate by secret ballot.

If a member of the College Executive Committee voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate. The Chair of the College Executive Committee (or designate, where an issue is raised about the Chair's own ability to vote) may act to recuse a member of the CEC, after consulting with the rest of the committee.

The Chair of the College Executive Committee prepares a letter addressed to the Dean, with a copy to the Candidate, reporting the vote of the CEC. This letter is added to the Candidate's dossier.

By February 1 – Candidate May Respond in Writing to the CEC Letter

The Candidate's letter is to be addressed to the Dean. The Candidate's response will be included in the dossier, and the CEC will be informed by the Dean.

By February 8 – Dean Writes Letter of Recommendation

The Dean of the College prepares a letter of recommendation, based in whole or in part upon review of the dossier, regarding the Candidate's request for tenure or promotion, with a recommendation for or against. This recommendation is addressed to the EVP/University Provost, with a copy to the Candidate, and is added to the Candidate's dossier. The Dean sends this letter and the complete dossier to the Office of the EVP/University Provost.

By February 15 – Candidate May Respond in Writing to the Dean's Letter

The Candidate's letter is to be addressed to the EVP/University Provost. The Candidate's response will be included in the dossier, and the Dean will be informed by the EVP/Provost

By March 8 – University Faculty Personnel Committee (UFPC) Votes

The UFPC reviews the process for the Candidate and determines if procedures were followed and if the criteria established by the individual colleges and/or departments have been met.

The University Faculty Personnel Committee reviews the dossier, including the PC's letter and vote, Chair or Head of the Program, Unit, Department and/or Discipline's or Chair Designee's letter, the CEC's letter, and the Dean's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes on the Candidate by secret ballot. A letter noting the UFPC's vote for or against promotion and findings is provided to the Candidate and his/her Dean. This letter is added to the Candidate's dossier.

If a member of the UFPC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate. The Chair of the University Faculty Personnel Committee (or designate, where an issue is raised about the Chair's own ability to vote) may act to recuse a member of the UFPC after consulting with the rest of the committee.

By March 15 – Candidate May Respond in Writing to the UFPC's Report and Ask for Reconsideration of the Findings

The Candidate's request for reconsideration will be included in the dossier.

By March 24 – UFPC Reconvenes if a Request for Reconsideration from the Candidate is Received

The UFPC will consider the request, vote again using secret ballots, and report the result in writing to the Candidate with a copy to the EVP/University Provost. This vote upon a request for reconsideration shall be final and not subject to further reconsideration requests.

By March 31 – EVP/University Provost Makes Recommendation to President

The EVP/University Provost reviews the Candidate's request for tenure or promotion, including the complete dossier, including the documents presented and the recommendations of the Peer Committee, Chair or Head of the Program, Unit, Department and/or Discipline, College Executive Committee, Dean, and University Faculty Personnel Committee, and makes a written recommendation to the President.

The President reviews the Candidate's complete dossier, including the documents presented and the recommendations of the Peer Committee, Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate, College Executive Committee, Dean, and University Faculty Personnel Committee, and EVP/University Provost, and conveys his/her final decision regarding tenure and/or promotion to the EVP/University Provost.

By April 14 – EVP/University Provost Informs Candidates of Tenure or Promotion Decision

The EVP/University Provost writes a letter to the Candidate informing him/her of the decision.

The EVP/University Provost will submit a list of the names of those receiving Tenure and/or Promotion for distribution at the April Senate and post it on the Provost's website.

For Tenured Associate Professors Standing for Promotion to Full Professor

By April 1 – Meeting with the Dean

The Candidates for promotion to Full Professor should self-identify him/herself to the Dean and meet to review the entire promotion process and procedures, including but not limited to the need to submit a list of names of external reviewers by May 1 and to prepare the preliminary dossier by August 1.

By May 1 – Confidential External Reviewers

The Candidate, in consultation with the Chair or Head of the Program, Unit, Department and/or Discipline Chair Designate (Chair Designate must be a tenured, Full Professor), develops a list of “arm’s-length” experts with the rank of Full Professor or equivalent to serve as confidential external reviewers. An arm’s-length reviewer must be an expert in the Candidate’s discipline with no conflicting relationship, such as, dissertation advisor, collaborator (co-author or joint researcher), students, relatives, and those involved in romantic relationships. The list is normally six or more persons, long enough to maximize the possibility a minimum of at least three external letters are ultimately received. The list of external reviewers must be approved by the Dean or can be created in conjunction with the Dean.

By June 30 – Contacting External Reviewers

The Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate or Dean contacts individuals on the list of external reviewers to determine their willingness to serve as an external reviewer.

By August 1 – Submission of Preliminary Dossier

The Candidate for promotion to Full Professor submits his/her preliminary dossier (curriculum vitae, examples of scholarship/professional and creative work, and other relevant materials) to the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate or Dean.

By August 15 – Preliminary Dossier Sent to External Reviewers

The Department Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate or Dean sends the preliminary dossier and a request for a confidential letter of recommendation to the final list of external reviewers. The letters must be addressed to the Dean and normally received by November 1, but no later than November 15. The Chair or Head of the Program, Unit, Department and/or Discipline,

Chair Designate or Dean monitors the informal replies of the external reviewers in order to ensure that a minimum of three have accepted the invitation to review the Candidate.

By October 15 – Peer Committee (PC) Selected

The Dean identifies a Peer Committee consisting of all tenured Full Professors of the Candidate's program, unit, department, and/or discipline (see eligibility of voting members above). The Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate is not a member of the PC. If there are fewer than three tenured Full Professors in a program, unit, department, and/or discipline, or if a College has no equivalent structure, the Dean will select three eligible faculty from the College to serve on the PC.

By November 15 – External Review Letters Due

The Dean's Office stamps all external review letters received "Confidential" and places them in the Candidate's dossier once each is received.

By November 15 – Candidate Dossiers Due

The Candidate submits a final dossier to the Dean's Office for review by all involved in the Promotion process. Once the final dossier is submitted, it will be considered confidential and no longer available to the Candidate until after the entire process has come to conclusion.

The final dossier should include some or all of the following information (see specific criteria established by each College):

- An updated vita, including the following, as applicable:
 - Biographical and educational data.
 - Courses taught in each semester (include year).
 - Advising responsibilities.
 - Service.
 - Honors.
 - Research and grants.
 - Publications.
 - Presentations.
 - Creative or professional work.
- Evidence of teaching and advising:
 - Statement of goals, philosophy of teaching, and future teaching plans as they relate to the Roosevelt mission.
 - All student evaluations of faculty.
 - All peer evaluations and/or observations.
 - Representative syllabi.

- Evidence of scholarship/professional and creative work, including the following, as applicable:
 - Statement of scholarly, professional, and performance goals, activities and future plans as they relate to the Roosevelt University mission.
 - Publications (including all manuscripts). Place an asterisk in front of articles that are refereed.
 - Books.
 - Presentations.
 - Performances and compositions.
 - Exhibitions.
 - Publication awards, reviews of books and/or performances.
 - Grant proposals.
- Evidence of service:
 - Participation in academic unit, college and university activities and committees.
 - Participation in learned societies and professional organizations; holding office in these organizations (indicate local, regional, or national).
 - Consulting to the field and the community (indicate local, regional, or national).
 - Participation in community and civic affairs.
 - Service as a program director, department chair, or in another administrative leadership role (where applicable).

By December 8 – Peer Committee (PC) Votes

The Peer Committee reviews the dossier, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against promotion of the Candidate by secret ballot.

The Peer Committee:

- Tallies the vote;
- Writes a letter describing the strengths and weaknesses of the Candidate with regard to teaching, scholarship/professional and creative work, and service in the context of the standards and criteria established by the University and the College;
- Communicates the vote to the Candidate, Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate, and Dean in writing.

A copy of the letter is added to the Candidate's dossier.

By December 24 – Candidate May Respond in Writing to the Peer Committee Report

The Candidate's letter is to be addressed to the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate. The Candidate's response will be included in the dossier, and the Peer Committee will be informed by the Chair Designate.

By January 8 –Chair or Head of the Program, Unit, Department and/or Discipline Writes Letter of Recommendation

The tenured Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate prepares a letter of recommendation to be added to the Candidate's dossier based on his/her evaluation of the Candidate.

The letter:

- Discusses the Candidate's performance in the areas of teaching/advising, scholarship/professional and creative work, and service;
- Assesses the Candidate's strengths and weaknesses in light of their performance as related to the standards and criteria established by the college;
- Recommends for or against promotion.

This letter is the equivalent of a vote and therefore the writer of the letter may not vote at any other level. The letter is addressed to the Dean with a copy to the Candidate, and added to the Candidate's dossier.

By January 15 – Candidate May Respond in Writing to the Chair or Head of the Program, Unit, Department and/or Discipline Letter

The Candidate's letter is to be addressed to the Dean. The Candidate's response will be included in the dossier, and the Chair Designate will be informed by the Dean.

By January 25 – College Executive Committee (CEC) Votes

The College Executive Committee reviews the dossier, including the PC's letter and vote, and the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designee's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against promotion of the Candidate by secret ballot.

The Chair of the College Executive Committee prepares a letter on the CEC's vote addressed to the Dean, reporting the vote of the CEC. This letter is added to the Candidate's dossier.

If a member of the CEC voted on a particular Candidate being evaluated at a previous stage in the process, the member must recuse him/herself from voting and leave the room during any discussion of the Candidate.

By February 1 – the Candidate may respond in writing to the CEC letter.

The Candidate's letter is to be addressed to the Dean. The Candidate's response will be included in the dossier, and the CEC will be informed by the Dean.

By February 8 – Dean Writes Letter of Recommendation

The Dean of the College writes a letter of recommendation addressed to the EVP/University Provost with a copy to the Candidate, and added to the Candidate's dossier, regarding the Candidate's promotion. This letter is added to the Candidate's dossier, and the Dean sends this letter and the complete dossier to the Office of the EVP/University Provost.

By February 15 – Candidate May Respond in Writing to the Dean's Letter

The Candidate's letter is to be addressed to the EVP/University Provost. The Candidate's response will be included in the dossier, and the Dean will be informed by the EVP/Provost.

By March 8 – University Faculty Personnel Committee (UFPC) Votes

The University Faculty Personnel Committee reviews the process for the Candidate and determines if procedures were followed and if the criteria established by the individual colleges and/or departments have been met.

The University Faculty Personnel Committee reviews the dossier, including the Peer Committee's letter and vote, Chair or Head of the Program, Unit, Department and/or Discipline's or Chair Designee's letter, College Executive Committee's letter, and Dean's letter, meets and discusses the Candidate's dossier in person (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes for or against promotion for the Candidate by secret ballot. A letter noting the UFPC's vote for or against promotion and findings is provided to the Candidate and his/her Dean. This letter is added to the Candidate's dossier.

If a member of the Faculty Personnel Committee voted on a particular Candidate at a previous stage in the process, the faculty member must recuse him/herself from voting and leave the room during any discussion of the Candidate.

By March 15 – Candidate May Respond in Writing to the UFPC’s Report and Appeal the Findings

The Candidate’s appeal letter will be included in the dossier.

By March 24 final vote University Faculty Personnel Committee Reconvenes if an Appeal from the Candidate is received

The UFPC will consider the appeal, vote again using secret ballot, and this vote will be final. The vote will be reported in writing to the Candidate with a copy to the EVP/University Provost.

By March 31 – EVP/University Provost Makes Recommendation to President

The EVP/University Provost reviews the Candidate’s complete dossier, including the documents presented and the recommendations of the Peer Committee, Chair or Head of the Program, Unit, Department and/or Discipline, College Executive Committee, Dean, and University Faculty Personnel Committee, and makes a recommendation to the President.

The President reviews the Candidate’s complete dossier, including the documents presented and the recommendations of the Peer Committee, Chair or Head of the Program, Unit, Department and/or Discipline Chair Designate, College Executive Committee, Dean, and University Faculty Personnel Committee, and EVP/University Provost, and conveys his/her decision regarding promotion to Full Professor to the EVP/University Provost.

By April 14 – EVP/University Provost Informs Candidates of Reappointment Decision

The EVP/University Provost writes a letter to the Candidate informing him/her of that decision.

The EVP/University Provost will submit a list of the names of those promoted to Full Professor for distribution at the April Senate and post it on the EVP/University Provost’s website.

PART V: Dispute Resolution, Formal Grievance Procedures, and Appeals

SECTION A Purpose and Scope

The faculty dispute resolution mechanisms are intended to provide an objective and fair process for resolving serious differences of opinion regarding faculty duties and the application of policies and procedures. They do not preclude faculty members from exercising their rights to pursue external legal remedies. Part V facilitates early and effective resolution of most disputes involving faculty so that professional relationships may be maintained in the best interests of the University community.

Disputes involving the University Faculty within the campus community may be addressed by using discussion among colleagues. Where collegial discussion does not resolve disputes, the following options are available:

1. Informal dispute resolution
2. Formal grievance procedures
3. Appeals procedures

The dispute resolution procedure described in Sections B and C below may be used by any member(s) of the University Faculty. (Members of the RAFO bargaining unit are subject to grievance procedures set forth in the applicable collective bargaining agreement.) Appeals for employment actions other than dismissal for cause are addressed in Part V, Section D. Appeals related to faculty reappointment, tenure, promotion are in Part V, Section E.

Appeals relating to dismissals for cause are addressed in Part VI, Section D. Part V does not cover disputes between University Faculty and other members of the University community. Similarly, Part V does not cover any matter requiring prior University investigation.

If there is evidence of a violation of law or serious violation of University policy that requires immediate action, the University President, or designee, in consultation with the University Senate Executive Committee, shall have the responsibility to investigate. In such circumstances, the affected faculty member(s) shall still retain rights to grieve or appeal any such determination as set forth in this Part V or any other applicable University appeal procedure.

SECTION B Dispute Resolution

University Faculty should seek to resolve a dispute in a collegial manner among the affected parties. However, if agreement cannot be reached through an informal, collegial discussion, the following dispute resolution process is available. The dispute resolution process is a voluntary, not mandatory, procedure.

Oral or written dispute resolution proceedings or findings are not to be a part of a faculty member's personnel record, nor may they be used for purposes of discipline or dismissal. Where grievances are not resolved after use of the dispute resolution process set forth in this section, faculty members may also seek resolution using the formal grievance procedures set forth in Section C below.

Faculty Dispute Resolution Committee

The Faculty Dispute Resolution Committee will mediate the resolution of disputes. The University Senate Executive Committee will coordinate training to serve in this role. The Faculty Dispute Resolution Committee is made up of nine University Faculty members. Members will be elected for two-year terms in even numbered years by the University Senate using preferential ballot. The committee is composed of one member from each college and three at-large members. Members do not have to be senators. Following the election, the Chair of the University Senate shall convene the first meeting, at which time the committee shall elect a chair, who ensures that the committee fulfills its responsibilities and prepares a confidential annual summary report for the University Senate Executive Committee.

Dispute Resolution Procedure

Complaints addressed using this Dispute Resolution shall use the following procedures:

1. A faculty member initiates the Dispute Resolution process by filing a written request for dispute resolution at the lowest level administratively (e.g., department chair for faculty-to-faculty disagreements within a department; dean of the college for faculty-to-chair disagreements or when faculty are in two different departments; or EVP/University Provost for faculty in different colleges or faculty-to-administrator disagreements).
2. Disputes will be heard by three members of the larger Faculty Dispute Resolution Committee selected by the chair in consultation with the parties.
3. The request for dispute resolution should include (a) the conduct or action being challenged; (b) the date(s) of the action being challenged; (c) the party or parties whose conduct or decision is the subject of the challenge; (d) the rationale for challenging the conduct or action; and (e) the remedy sought.
4. The chair, program director, dean or EVP/University Provost will provide a copy of the request for dispute resolution to the individual or office that is the subject of the complaint and to the Faculty Dispute Resolution Committee.
5. The Faculty Dispute Resolution Committee shall notify the parties of the date, time, and place for the initial meeting at least one week in advance but not more

than 14 business days after receiving the request.

6. Prior to any meeting, parties must inform all parties and the Faculty Dispute Resolution Committee of their intent to have or not to have an advocate present during the meeting.
7. The Faculty Dispute Resolution Committee shall meet with parties to the complaint in person, by videoconference, or with both parties' consent, solely through written submissions. Minutes of all meetings should be available to the parties but will not become part of the individual's personnel record.
8. Within 5 days following conclusion of the dispute resolution process, the Committee will prepare a confidential report indicating a) the date, time, and place of the meeting(s); b) the names of the parties present; and c) the Committee's recommendation related to the resolution of the disagreement. This report will be provided to the parties.
9. Following receipt of the report, the parties may either accept the recommendations set forth in the report or, if not, initiate the formal grievance procedure in Section C (below).

Rights of the Parties

Parties to Dispute Resolution reserve the following rights:

1. To have a support person of their choice present at the meeting.
2. To be informed if the other party is bringing a support person to the dispute resolution.
3. To receive written notice and copy of the complaint.
4. To request minutes of the proceedings.
5. To be present in person for the dispute resolution.
6. To question parties who have knowledge of the dispute; however, the Faculty Dispute Resolution Committee has the discretion to limit the extent of questioning.
7. To subsequently pursue the formal grievance process below.

SECTION C Formal Grievance Procedure

Formal grievance procedures are problem solving processes that are used when a complaint cannot appropriately be handled through collegial discussion and/or dispute resolution or is not covered under other parts of the Faculty Handbook.

Where a faculty member grieves the results of a recommendation from a dispute resolution process or a formal employment action by the University regarding the terms and conditions of the faculty member's employment (such as decisions about discipline, performance evaluations, and individual salary/benefits levels), the grievance should be

addressed using the grievance procedures set forth below. Dismissal for cause is addressed in Part VI. Reappointment, tenure and promotion appeals are addressed in Part V Section D. The EVP/University Provost or designee shall serve as the party representative on behalf of the University and shall not serve as a decision-maker for grievance appeals involving employment actions other than dismissal.

When to Use the Formal Grievance Procedure

The formal grievance procedure should be used 1) when a complaint cannot satisfactorily be handled through dispute resolution or when one or more parties are unwilling to participate in such procedures; or 2) when a university faculty member challenges an employment action involving actions other than dismissal.

If there is evidence of a violation of law or serious violation of University policy that requires immediate action, the University President, or designee, in consultation with the University Senate Executive Committee, shall have the responsibility to investigate. In such circumstances, the affected faculty member(s) shall still retain rights to grieve or appeal any such determination as set forth in this Part V or any other applicable University appeal procedure.

The Grievance Hearing Committee

A panel of three faculty members will hear grievances. The University Senate Executive Committee shall identify a panel of nine tenured faculty members not affiliated with the college of the parties involved in the grievance. Parties may interview each member of the panel. In alternating fashion, with the complainant going first, each party must exclude three members from the panel. The three remaining members of the panel constitute the Grievance Hearing Committee.

Rights and Responsibilities of the Grievance Hearing Committee

The Grievance Hearing Committee should have as its goal to determine whether, more likely than not, the faculty member has engaged in conduct such that a particular action is appropriate in light of the policies of the University and generally accepted academic standards. The Grievance Hearing Committee's findings of fact and its decisions are to rest solely on the documents and information offered by the parties or witnesses during the grievance hearing process. Following receipt of the decision, the parties may either accept the decision set forth or, if not, may initiate the appeals process.

To accomplish this goal, the Grievance Hearing Committee is entitled to:

1. Obtain all the information and documents it needs, without being obligated by strict rules of legal evidence and legal procedures.

2. Conduct pre-hearing meetings to clarify issues, determine reasonable scheduling, identify relevant witnesses, and otherwise provide for an effective and efficient hearing.
3. To take whatever time is required for a fair and complete hearing, while avoiding unnecessary delays.
4. To conduct the hearing procedures in a collegial, professional manner.
5. To formulate its own additional rules of procedure not contrary to the procedures of this document.
6. To keep a verbatim tape recording or transcript of the hearings, which shall be available to the parties without cost.

The Grievance Hearing Committee members shall respect and maintain strict confidentiality with respect to relevant information, documents, and deliberations.

Rights of the Parties

Parties to formal grievances filed under the Grievance Procedure shall have the following rights:

1. To obtain in advance of the hearing a list of witnesses the other party intends to call.
2. Following submission of a written request, to inspect before the formal hearing, at a location selected by the Grievance Hearing Committee, all documents that the committee in its pre-hearing meetings has collected and deemed relevant to its deliberations, including documents normally considered confidential. As a condition of seeing such confidential documents, however, the committee shall require that both parties keep their content in strict confidence.
3. To select an advisor, support person, or counsel of their choice and to confer with that person during the grievance committee hearing. Each party will notify the committee if the party intends to bring an advisor, support person, or counsel to the hearing. The committee will notify in a timely manner that the other party will have access to an advisor, support person, or counsel.
4. To cross-examine witnesses (in person or through electronic means).
5. To have sufficient time to prepare and present evidence.

6. To request an adjournment or stoppage of the hearing under extraordinary circumstances.
7. To have confidential treatment of all materials associated with the grievance procedures.
8. To be notified of the details of the hearing in a timely manner.
9. To attend and to be heard in person at all grievance hearings.
10. To receive a copy of the verbatim record of the proceedings.

Timelines

Grievances should be filed and held within the following timelines.

Request for use of the formal grievance procedures should be filed with the Chair of the University Senate Committee. Grievance procedures should follow the guidelines below:

1. In cases where Dispute Resolution has previously been used, grievances should be filed no later than three months after the party seeking to grieve has received the Dispute Resolution Committee report.
2. Grievance procedures challenging an employment action other than dismissal for cause should be filed no later than 14 business days after the party receives notice of the decision.
3. Allegations of discrimination, harassment, or retaliation falling outside these deadlines may be filed with the Human Resources office or as otherwise provided in the University's policies, and will be investigated and resolved by the University consistent with the applicable federal, state, or local rules (e.g., EEO policy).
4. Hearing under the Grievance Procedures must be held within 21 calendar days after the request for a hearing is filed. However, there is no statute of limitation on events for which the grievance may be filed.

Confidentiality

Except as otherwise permitted or required by law, or by agreement of all parties and the University, copies of notes, recordings or verbatim reports from formal grievance hearings shall be maintained within the President's or EVP/University Provost's office on a confidential basis. Documentation reviewed or produced during grievances and appeals shall be maintained by the University as confidential and reviewed internally only on a need-to-know basis. In cases where resolution or closure of a grievance or

appeal must be reported to the University Senate, discussion of details shall be limited in the interests of preserving confidentiality.

Formal Grievance Procedures

Formal Grievance Procedures will proceed as follows:

1. A written grievance should be filed in writing with the Chair of the University Senate within the specified timeline. An appeal resulting from dispute resolution should be filed within three months; an appeal of a formal employment action within 14 business days of the faculty member's formal notification of the employment action at issue. The written grievance should include (a) the action being challenged; (b) the date(s) of the action being challenged; (c) the party or parties whose conduct or decision is the subject of the challenge; (d) the rationale for challenging the conduct or action; and (e) the remedy sought.
2. Upon the filing of a grievance, the Chair of the University Senate Executive Committee shall notify the Grievance Hearing Committee and the grievant in writing of the appropriate grievance procedures.
3. The Grievance Hearing Committee shall notify the grievant at least one calendar week in advance of the date, time and place for the hearing.
4. Except in extraordinary circumstances as approved by the Grievance Hearing Committee, parties to the grievance should be physically present. Use of telephone or video conferencing (with both parties' consent) may be permitted at the discretion of the Committee.
5. Following the hearing, the Grievance Hearing Committee will prepare a written finding of the facts and its decision, with a copy forwarded to all parties and to the EVP/University Provost.
6. The Grievance Hearing Committee shall keep a verbatim tape recording or transcript of the hearings, which shall be filed with the President's office and shall be available to the parties without cost.

The Grievance Committee's Decision

Within a reasonable time after the completion of the hearing, the Grievance Hearing Committee will submit to the parties and the President of the University its decision with supporting reasons. The committee will make a decision regarding the adequacy of the evidence, the remedies sought, and the appropriate action.

If any party to the grievance appeal process does not accept the decision of the Grievance Hearing Committee as a full and final resolution of the dispute, a written

request for appeal must be filed with the President within 10 business days after the party receives the Grievance Hearing Committee's decision. The President may accept the decision of the Grievance Hearing Committee or hear an appeal based on substantive and/or procedural grounds. A copy of the appeal request, along with a rationale for the appeal explaining the substantive and procedural grounds for the request, must be filed in the President's Office and be made available to the Grievance Hearing Committee and all parties within the 10 business day period following the Committee's decision.

The President shall issue a written decision on appeal, which constitutes the final decision upon the matter. If no appeal is taken to the President, the decision of the Grievance Hearing Committee becomes the final decision upon the matter and shall take effect on the eleventh business day following the date the parties receive notice of the decision. A grievance appeal under this section should be completed within 60 calendar days after the notice of appeal is first filed (unless this time period is modified by the President after consultation with the Grievance Hearing Committee).

Appeal Procedure Applicable to Dismissals for Cause

The process for a faculty member or grievant who receives a notice of dismissal for cause is covered in Part VI SECTION D of the Faculty Handbook.

SECTION D Appeal of Reappointment, Tenure, and/or Promotion Decisions

Any faculty member denied reappointment, tenure, and /or promotion may petition the Faculty Tenure Review Committee for reconsideration.

When to Use the Reappointment, Tenure, and Promotion (RTP) Appeals Process

The Reappointment, Tenure, and Promotion (RTP) Appeals Process is used following an unsatisfactory reappointment, tenure or promotion decision. Any faculty member denied reappointment, indefinite tenure, or promotion may petition the Faculty Tenure Review Committee for reconsideration. Appeals should be based on substantive and/or procedural claims, to include:

1. Violation of academic freedom.
2. Violation of handbook procedures as specified in Part IV of the Faculty Handbook.
3. Failure to abide by substantive standards specified in college, department, or program by-laws at the time of hire.
4. Discrimination.
5. Violation of university policy.

The Faculty Tenure Review Committee

The Faculty Tenure Review Committee will consist of one tenured University Faculty member from each college. Members are elected by the College Councils for a two-year term during the spring semester of even numbered years. Each two-year term begins the fall semester following the spring election. Members cannot be anyone who holds an Administrative position (e.g., President, EVP/University Provost, college dean, or associate dean) or is a department chair or program director.

After its election, the committee will be convened by the Chair of the University Senate and shall elect its own chair and secretary. The chair shall ensure that the committee fulfills its responsibilities and prepares a confidential annual summary report for the University Senate Executive Committee.

Timelines

A University Faculty member must submit an appeal under this policy to the Chair of the Faculty Tenure Review Committee by September 1 of the calendar year in which the faculty member received the relevant reappointment, tenure, and/or promotion decision. The Faculty Tenure Review Committee will make a decision regarding the appeal by November 1.

Confidentiality

Except as otherwise permitted or required by law, or by agreement of all parties and the University, copies of notes, recordings or verbatim reports from reappointment, tenure, and promotion appeals shall be maintained within the President's or EVP/University Provost's office on a confidential basis. Documentation reviewed or produced during appeals shall be maintained by the University as confidential and reviewed internally only on a need-to-know basis.

Procedures

The reappointment, tenure, and promotion appeals procedures will follow the steps outlined below.

1. A written appeal specifying the grounds and rationale for the appeal must be submitted to the Chair of the Faculty Tenure Review Committee (FTRC) by September 1 of the calendar year in which the faculty member received the reappointment, tenure, and/or promotion decision.
2. The FTRC shall not substitute its judgment on the merits for that of the appropriate faculty bodies.
3. By November 1 of the calendar year, the FTRC shall review the appeal and determine by secret ballot resulting in a majority vote whether to return the dossier to the appropriate College Executive Committee for reconsideration. If

the dossier is returned for reconsideration, the FTRC's finding is communicated in writing to the College Executive Committee.

4. If the FTRC's vote results in the denial of reconsideration, the faculty member's rights going forward shall be as specified in the contract.
5. The FTRC will notify the faculty member and the EVP/University Provost of its decision in writing.
6. No committee member party to the initial reappointment, tenure, promotion decision shall participate in committee deliberations on that case.

SECTION E Modification of Procedures or Timelines

The grievance and appeal procedures referenced above are intended to ensure that decisions are fairly and properly rendered and that faculty members obtain a full and fair appeal of decisions with which they disagree. Depending upon the timing of a particular dispute, however, a faculty committee or selected decision-makers might be unavailable to take action during summer or break periods. Or, in exceptional circumstances (such as where new allegations require investigation or where participants become disqualified during a process), a stay of proceedings or adjustment of the applicable procedures may be necessary to ensure a full and fair internal process.

In such exceptional circumstances, the relevant committee may, for good cause and upon written notice to the parties, modify the deadlines or grievance procedures above. The committee shall first consult with the EVP/University Provost and the University Senate Executive Committee and shall then provide written notification of any such modification to the EVP/University Provost; the affected college, department, and faculty member. Such written notification shall identify the particular exceptional circumstances that require modification, shall set forth the modification, and shall apply only to the particular grievance or appeal that necessitates the modification. Action by the committee shall not serve as a general modification of the grievance procedures in Part V.

PART VI: Separation From Employment

SECTION A Resignation or Retirement

Faculty members may end their employment with Roosevelt University voluntarily, either due to resignation or retirement, by submitting written notification to the EVP/University Provost. Because the University must plan ahead to staff teaching assignments and other faculty functions, faculty members are urged to notify the University at the earliest possible opportunity about their intent to resign or retire. It is expected that faculty members will give at least three months' notice; and, except in unusual circumstances, faculty members should not separate from University employment on any effective date other than the end of the faculty member's contract term or the end of an academic year.

Faculty members interested in discussing a phased retirement option are encouraged to contact their Deans or the EVP/University Provost to begin a dialogue about different opportunities. Faculty members who then decide not to pursue such options will not be penalized for so determining.

SECTION B Non-Reappointment

Non-reappointment occurs when the University allows an appointment, other than a tenured position, to lapse at the conclusion of the term of the appointment without affirmatively reappointing the faculty member. Non-reappointment can occur with respect to adjunct, one-year, or multiple-year appointments, including tenure-track appointments, and the University may choose not to renew faculty appointments for any reason, provided the reason does not violate academic freedom or applicable anti-discrimination laws. Procedural standards for non-reappointment are set forth in Part IV of the Handbook.

No faculty appointment shall continue past the conclusion of the appointment term, except by affirmative act of the University and notice to the faculty member. Failure on the part of the University to afford timely notice of non-reappointment shall not entitle the affected faculty member to reappointment or to separation pay (beyond any separation pay otherwise specified in University policies). See Part IV of the handbook for respective dates of notice.

SECTION C Termination of Faculty Employment

Termination occurs when the University ends its employment relationship with University Faculty members prior to the end of the term of the appointment, for reasons other than those justifying dismissal for cause. The grounds for termination include:

1. Inability to perform essential functions for medical reasons.
2. Discontinuance or reduction of an instructional program (for non-tenure track and tenure-track faculty).

3. Financial exigency of the University.

Inability to Perform Essential Functions With or Without Accommodation Because of Disability

It is the policy of Roosevelt University—and central to the University’s mission—to comply with all applicable federal, state, and local laws pertaining to medical conditions, disabilities, or use of medical or family leave to respond to such circumstances. The University makes every effort to reasonably accommodate any faculty member who has or develops a disability affecting the faculty member’s ability to perform the essential functions of the position.

In rare circumstances, the University may use the following procedures to terminate faculty employment where the faculty member has exhausted other options and remains unable to perform the essential functions of the position, with or without reasonable accommodation.

Procedures

When administrators, colleagues of a faculty member, or any other university representatives have reason to believe that a faculty member is unable to perform the essential functions of his or her position because of a potentially disabling medical condition (which includes any condition that may constitute a disability, including physical or mental health conditions), these concerns should be brought on a confidential basis to the Dean supervising the faculty member’s work. If the situation is not resolved, these concerns should then be brought to the attention of the EVP/University Provost on a confidential basis.

Any faculty member experiencing such issues also has an independent responsibility to discuss these concerns, if feasible, with a supervisor or with the EVP/University Provost. Any faculty member who is unable to perform the essential functions of his or her position because of medical difficulties has an independent responsibility to discuss these concerns with a supervisor or with the Provost/EVP.

In such circumstances, the EVP/University Provost may consult on a confidential basis with the dean and the department chair overseeing the faculty member’s academic unit, with Human Resources, and with other knowledgeable University personnel to explore the extent and implications of the faculty member’s difficulties. The EVP/University Provost will also meet with the faculty member to discuss the circumstances and any request for reasonable accommodation. In considering such a request, the University will follow its Disability Accommodation procedures and may seek information and documentation from the faculty member’s health care provider(s) and also consider any other information available to the University. Faculty members seeking accommodation or experiencing performance difficulties due to medical conditions have a duty to

cooperate with the EVP/University Provost and other University representatives in providing documentation and participating in an interactive process.

Prior to issuing any notice of termination under this provision, the University will also work with the faculty member to explore the availability of medical leave; at the faculty member's request, the University and faculty member may discuss long-term disability coverage, and the University will cooperate with the faculty member in helping to process applications for leave or disability benefits. The University may also, but need not, offer the faculty member a change in status or another position within the University for which the faculty member remains qualified. Throughout this process, the University and the faculty member shall maintain strict confidentiality with respect to any medical information or issues under discussion.

Termination and Appeal

Following the above interactive process, the EVP/University Provost may issue a notice of termination under this section upon determining that: (a) due to disability the faculty member cannot perform the essential functions of the position with or without reasonable accommodations; and (b) no alternative resolution can be reached. The EVP/University Provost shall serve upon the faculty member written notice of termination, explaining this conclusion and the applicable appeal process. In such circumstances, the University shall endeavor to give the faculty member at least three months' notice of termination (but may, at the University's discretion, place the faculty member on paid administrative leave during the notice period).

Any faculty member terminated under this provision may appeal the termination notice by filing a written notice of appeal with the President within 10 business days after receipt of the notice of termination. The faculty member's appeal will first be heard by the Senate Executive Committee, with a final appeal being available to the President, using the grievance appeal procedure set forth in Part V. During such an appeal, the faculty member shall continue to receive salary and benefits, even if he or she has been placed on leave, through the notice period and shall not be barred from campus unless grounds exist for suspension as set forth in Section E.

In the event a faculty member's position is reinstated following such an appeal, any unpaid salary or benefits shall be restored to the faculty member. If the faculty member does not file a timely notice of appeal, the termination notice shall become final on the 11th business day after the faculty member has received notice of termination, and the faculty member's employment and benefits shall formally as of that date if they have not already ended pursuant to the conclusion of the notice period (provided that if the notice period has not yet lapsed as of the resolution of the appeal, the faculty member's compensation and benefits shall continue through the conclusion of the notice period). All persons involved in this process shall respect and maintain strict confidentiality with respect to relevant information, documents, and deliberations.

Discontinuance or Reduction of an Instructional Program for Non-tenure Track and Tenure-track Faculty

Non-tenure track and tenure-track faculty appointments may also be terminated during the contract period upon formal discontinuance or reduction of an instructional program.

Formal reduction or discontinuance of a program is an action by which the University eliminates or changes fundamentally an existing academic program for reasons other than financial exigency, which is separately addressed below. This basis for termination (formal reduction or discontinuance of a program other than for financial exigency) does not apply to tenured faculty, who are tenured in the University rather than in specific programs or colleges and who may only be terminated as specified in other provisions of this document. Terminations under this section for reasons of program reduction or discontinuance may be undertaken to improve the performance of the program or the University as a whole, address fiscal concerns that do not rise to the level of financial exigency, or better align the University's programmatic offerings with its academic mission or strategic plan.

Decisions to reduce faculty due to reduction or discontinuance of programs will be made according to the following procedures and be based on the following criteria:

Procedures

Before any faculty member may be terminated under this provision, a determination shall be made by the President that program reduction or discontinuance is consistent with institutional goals and needs. In considering such a determination, the President shall consult with the University community, including the dean overseeing the program, other appropriate administrators, the Senate Executive Committee, the chair or director of the program, and other University representatives with knowledge of the program(s) or circumstances at issue. Consistent with the University Board bylaws, the President may also consult with the appropriate Board of Trustees committee prior to implementing a plan to reduce or discontinue programs.

The decision to reduce or discontinue a program shall be based on the judgment that the educational mission of Roosevelt University and the opportunities of its students shall be enhanced by the reduction or discontinuance. Decisions to reduce or discontinue programs should include consideration of the following factors:

1. 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 for full-time members of the faculty.
2. Serious and continuing difficulty in supporting expanding and academically desirable or necessary programs in the University.

3. A declining pattern of enrollment which affects the capacity of the program or University to meet recognized or required certification or accreditation standards.
4. 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.
5. A pattern of failure of any program to produce sufficient revenue to meet direct costs.
6. A declining pattern in the number of degrees granted each year by a program area.
7. Accreditation considerations or changes within the academic community as a whole that may require realignment of programmatic or course offerings.
8. Centrality of the program to the core mission of the University.

When, in the judgment of the President, alternative means of addressing the need for program reduction or discontinuance have been exhausted or are not practicable, the University may terminate non-tenure track and term faculty appointments before the end of the contract using the procedure that follows. Responsibility for decisions about individual terminations under this provision shall rest with the EVP/University Provost. The procedures are as follows:

1. The President shall set forth in writing a plan for program reduction or discontinuance, including a direction to the EVP/University Provost to implement appropriate termination of faculty appointments.
2. Before issuing notices of termination of faculty positions under this provision, the EVP/University Provost will consult with the Dean of the relevant academic unit(s), Human Resources, and, at the EVP/University Provost's discretion, other knowledgeable University representatives.
3. In any consideration of potential terminations under this section, safeguarding the positions of tenure track faculty and faculty on multi-year appointments shall be a high priority, subject only to the University's ultimate goal of enhancing its mission and the educational opportunities of its current and future students. Except where serious distortion of academic programs may result (and subject to the requirements of applicable collective bargaining agreements), the EVP/University Provost shall terminate faculty appointments in the following order: part-time; visiting appointments; non-tenure-track appointments; tenure-track appointments.

4. Termination decisions under this provision shall be demonstrably bona fide and not the result of discrimination, harassment, retaliation, or violation of academic freedom.

Termination and Appeal

In the event the EVP/University Provost concludes, on the basis of the above process, that a specific non-tenured faculty appointment should be terminated, the EVP/University Provost shall notify the faculty member in writing of the termination decision, basis for the termination, and applicable appeal process. In such circumstances, the University should strive to afford the faculty member at least three months' notice of termination.

Any faculty member terminated under this provision may appeal the termination notice by filing a written notice of appeal with the President within 10 business days after receipt of the notice of termination. The faculty member's appeal will first be heard by the Senate Executive Committee, with a final appeal being available to the President, using the grievance appeal procedure set forth in Part V. During such an appeal, the faculty member shall continue to receive salary and benefits, even if he or she has been placed on leave, through the notice period and shall not be barred from campus unless grounds exist for suspension as set forth below in Part VI, Section E. In the event a faculty member's position is reinstated following such an appeal, any unpaid salary or benefits shall be restored to the faculty member.

Such an appeal may be taken only on the grounds that the University has failed to comply with the procedures for individual termination set forth in this provision or has selected the individual faculty member for termination on improper or illegal grounds (specifically, violation of academic freedom, discrimination, harassment, or retaliation); the grievance appeal procedure may not be used to review the University's decision to reduce or discontinue programs.

If the faculty member does not file a timely notice of appeal, the termination notice shall become final on the 11th business day after the faculty member has received notice of termination, and the faculty member's employment and benefits shall formally end as of that date if they have not already ended pursuant to the conclusion of the notice period (provided that, if the notice period has not yet lapsed as of the resolution of the appeal, the faculty member's compensation and benefits shall continue through the conclusion of the notice period). All persons involved in this termination process shall respect and maintain strict confidentiality with respect to relevant documents and deliberations.

Financial Exigency

Roosevelt University defines "financial exigency" as a serious financial condition that threatens the survival of the University and, in the opinion of the University leadership,

cannot be alleviated through less drastic means than reduction or elimination of programs involving the potential termination of tenured faculty members. (See also Part III Section B).

Procedures

The decision as to whether a financial exigency exists rests with the Board, to be made in consultation with the President, EVP/University Provost, administration, and other University representatives, as well as with any financial or other experts that the Board may choose to consult on a confidential basis. In the event the Board finds that the University is in a condition of financial exigency, the President shall be directed immediately to develop a comprehensive plan for addressing the condition. Where after this process, the Board determines that financial exigency is not present, the University may nonetheless address financial or programmatic concerns not rising to the level of financial exigency using the Discontinuance and Reduction of Instructional Program procedure set forth above.

The President's plan for addressing financial exigency should be developed in consultation with appropriate University representatives, including the Faculty Retrenchment Committee and the Planning and Budget Committee, which will assist the President in evaluating general budgetary and programmatic considerations. Depending upon timing considerations, the President may also choose to consult additional University representatives or outside experts. Where warranted, the President may direct faculty committees to convene and consider financial exigency issues on an expedited basis. Consistent with the University Board bylaws, the President may also consult with the appropriate Board of Trustees committee prior to implementing a plan to address financial exigency.

Any such plan should include measures other than termination of faculty positions, if in the judgment of the President such measures will be effective in addressing the financial exigency. Any such plan should also reflect that the President has considered all relevant budgetary and programmatic factors in developing the plan. When, in the judgment of the President, alternative means of addressing the financial exigency have been exhausted or are not practicable, the University may terminate tenured and non-tenured faculty appointments using the procedure that follows and as part of the President's comprehensive plan. Responsibility for decisions about individual terminations under this provision shall rest with the EVP/University Provost. The procedures are as follows:

1. The President shall set forth in the comprehensive plan the general criteria that shall be used for identifying faculty appointments for termination. This plan shall include a direction to the EVP/University Provost to implement appropriate termination of faculty appointments.

2. Before issuing notices of termination of faculty positions under this provision, the EVP/University Provost will consult with the Dean of the relevant academic unit, Human Resources, and, at the EVP/University Provost's discretion, other knowledgeable University representatives.
3. In any consideration of potential terminations, safeguarding the positions of tenured faculty and faculty on multi-year appointments shall be a high priority, subject only to the University's ultimate goal of enhancing its mission and the educational opportunities of its current and future students. Except where serious distortion of academic programs may result (and subject to the requirements of applicable collective bargaining agreements), the EVP/University Provost shall terminate faculty appointments in the following order: part-time; visiting appointments; non-tenure-track appointments; tenure-track appointments; and tenured faculty appointments (in reverse order of seniority).
4. Before issuing notice of termination to a tenured faculty member, the EVP/University Provost shall make every reasonable effort to place the affected faculty member in another suitable position within the University. If placement in another position would be facilitated by a reasonable period of training, the University should, if practicable, offer financial and other support for such training and tuition remission for up to 60 credit hours.
5. Termination decisions under this provision shall be demonstrably bona fide and not the result of discrimination, harassment, retaliation, or violation of academic freedom.

Termination and Appeal

In the event the EVP/University Provost concludes, on the basis of the above process, that a specific faculty appointment should be terminated, the EVP/University Provost shall notify the faculty member in writing of the termination decision, basis for the termination, and applicable appeal process. In such circumstances and subject to the University's financial exigency situation, the University should strive to afford terminated non-tenured full time faculty members up to three months' notice of termination (provided that in cases of untenured faculty more than three months remains in the period of the contract). In addition, and subject to the University's financial exigency situation, the University should strive to afford terminated tenured faculty members up to one year's notice of termination (but may, at the University's discretion, place the faculty member on administrative leave with pay during any such notice period).

Any faculty member terminated under this provision may appeal the termination notice by filing a written notice of appeal with the President within 10 business days after receipt of the notice of termination. The faculty member's appeal will first be heard by the Senate Executive Committee, with a final appeal being available to the President, using the grievance appeal procedure set forth below in Part V. During such an appeal,

the faculty member shall continue to receive any salary and benefits provided for in the notice of termination, even if he or she has been placed on leave, and shall not be barred from campus unless grounds exist for suspension under the provisions of Part VI, Section E. In the event a faculty member's position is reinstated following such an appeal, any unpaid salary or benefits shall be restored to the faculty member. Such an appeal may be taken only on the grounds that the University has failed to comply with the procedures set forth in this provision or has selected the individual faculty member for termination on improper or illegal grounds (specifically, violation of academic freedom, discrimination, harassment, or retaliation). The grievance appeal procedure may not be used to review the Board's determination that financial exigency exists or the President's plan to alleviate the financial exigency.

If the faculty member does not file a notice of appeal, the termination notice shall become final of the 11th business day after the faculty member has received notice of termination, and the faculty member's employment and benefits shall formally end as of that date if they have not already ended pursuant to the conclusion of the notice period (provided that, if the notice period has not yet lapsed as of the resolution of the appeal, the faculty member's compensation and benefits shall continue through the conclusion of the notice period).

All persons involved in this termination process shall respect and maintain strict confidentiality with respect to relevant documents and deliberations.

SECTION D Discipline and Dismissal for Cause

Separation of a tenured faculty member or of any faculty member serving upon a term appointment before the conclusion of the specified term for reasons of deficient job performance or conduct constitutes a "dismissal for cause" and is subject to the procedures set forth below. Terminations consequent to program reduction or discontinuance, financial exigency, or medical reasons are not considered dismissals for cause are separately addressed above.

Correction Short of Dismissal

A tenured or tenure-track faculty member's job performance or conduct issues will usually be resolved successfully through mentoring, evaluations, remediation plans, or progressive discipline.

Job Performance Issues

Job performance that falls below the appropriate standard for a Roosevelt University faculty member may be addressed by the Chair, Dean, or EVP/University Provost using progressive remediation short of dismissal. Faculty members may grieve any action associated with remediation.

Conduct Issues

Conduct that falls below the appropriate standard for a Roosevelt University faculty member may be addressed by the Chair, Dean, or EVP/University Provost using progressive discipline short of dismissal that may include, but is not limited to: written reprimands; memoranda to the Dean's or EVP/University Provost's file; warnings; modified teaching, committee, or program assignments; training; salary adjustments; denial of promotion; non-reappointment; or suspension. Faculty members may grieve or appeal such sanctions using the grievance procedure set forth in Part V.

Dismissal for Cause

On occasion, a tenured or non-tenured faculty member may depart in a serious or persistent manner from the performance or conduct expectations inherent in faculty membership. In such circumstances, the EVP/University Provost may impose discipline or, upon determining that correction efforts are inappropriate or futile, institute dismissal proceedings using the procedures set forth below.

Standard

The University retains the right to dismiss a tenured or non-tenured faculty member for adequate cause, including but not limited to:

1. Deliberate and persistent breach, refusal to perform, or gross neglect or continued and serious ineffectiveness in the performance of faculty obligations.
2. Unethical conduct in activities associated with the role of faculty member, serious violations of University policies or faculty obligations set forth in the Handbook of the University Faculty (including, without limitation, violations of University or legal prohibitions against harassment, discrimination, retaliation, or other civil rights offenses), or conviction by a court of law of a felony.
3. Material violation of the policies governing employment activities outside the University.

When the EVP/University Provost becomes aware of or concerned that adequate cause might exist warranting possible dismissal the EVP/University Provost will discuss this concern with the faculty member for the purpose of reaching a mutually agreeable settlement or otherwise resolving the concern. The EVP/University Provost may also, as a result of this discussion, impose correction short of dismissal, as noted above.

If the EVP/University Provost and faculty member do not reach a mutually agreeable settlement and the EVP/University Provost considers the matter serious enough to warrant dismissal, the EVP/University Provost shall prepare a formal, specific statement of reasons for dismissal. The EVP/University Provost shall provide the statement to

members of the University Senate Executive Committee, the President, the Dean, and the chair or director of the faculty members program or department or program, as well as to the faculty member at issue.

The University Senate Executive Committee shall identify a panel of nine tenured faculty members not affiliated with the college or school of the faculty member. During any such process, the EVP/University Provost (or designee) shall be considered the “party” representing the University. Each party may interview each member of the panel. In alternating fashion, with the University going first, each party excludes three members from the panel. The three remaining members of the panel constitute the hearing committee.

The hearing committee’s findings of fact and its recommendations are to rest solely on the hearing record. The burden of proof shall rest on the EVP/University Provost to establish by preponderance of the evidence that there is adequate cause to dismiss the faculty member. The rights and responsibilities of the hearing committee in conducting its procedures are:

1. It has the right to all the information and documents directly pertaining to employment at the University or matters of public record, without being obligated by strict rules of legal evidence and legal procedures, exercising due precaution not to divulge the contents of documents normally considered confidential.
2. It may conduct pre-hearing meetings to clarify issues and otherwise provide for an effective and efficient hearing.
3. It may take whatever time is required for a fair and complete hearing, while avoiding unnecessary delays.
4. It may formulate its own additional rules of procedure not contrary to the provisions of this document.
5. It shall keep a verbatim tape recording or transcript of the hearings, which shall be available to the parties without cost.
6. It may conduct its hearings privately or publicly, with a decision regarding this matter to be made only after consulting with both parties.

The two parties have the following prerogatives in the formal hearing:

1. To obtain in advance of the hearing a list of witnesses the other party intends to call. If unforeseen circumstances during the hearing require that additional witnesses be called, both parties shall have reasonable time and adjournments in order to prepare for the appearance of these additional witnesses.

2. Following submission of a written request, to inspect before the formal hearing at a location selected by the committee, all documents that the committee in its pre-hearing meetings has collected and deemed relevant to its deliberations, including documents normally considered confidential. As a condition of seeing such confidential documents, however, the committee shall require that the contents of such documents must be maintained in strict confidence by both parties.
3. To select an academic advisor or counsel of their own choice. The faculty member will notify the committee within a reasonable time before the hearing if the faculty member intends to bring counsel to the hearing.
4. To cross-examine witnesses (in person or through electronic means to be determined in the committee's discretion).
5. To have sufficient time to prepare evidence and to have adjournments upon the valid claim of unforeseen occurrences during the hearing. The faculty member has the following additional prerogative in the formal hearing: to invite a representative of a responsible educational association as an observer to the hearing.

During the process of the hearing, both parties shall avoid making public statements other than simple announcements as may be required or information provided as mandated by a court or agency.

Within a reasonable time after the completion of the hearing, the hearing committee will submit to the President of the University its recommendations with supporting reasons. The recommendation may be:

1. That adequate cause for dismissal has been established.
2. That adequate cause has been established for an appropriate academic penalty, but not for dismissal (and, if so, the committee may recommend the appropriate penalty).
3. That adequate cause has not been established for either dismissal or a lesser penalty.

The President may either accept the recommendation of the hearing committee or resubmit this recommendation to the committee with specific written objections. The President may object based on substantive and/or procedural grounds. The committee will then reconsider only those matters to which the President has objections. The committee has the right to seek new evidence pertaining to the objections. The EVP/University Provost and the faculty member have a right to respond to the President's objections and new evidence. After evaluating any reconsideration by the committee, the President will make the final decision. There is no appeal from this decision within the University.

SECTION E Administrative Leave

The University places a high priority upon the integrity of its internal investigative, evaluative, and appeal processes. In certain circumstances, this necessitates temporary removal of faculty members from active service during a pending investigation or an internal proceeding, or where the University reasonably believes that summary suspension is necessary to address threats of immediate harm. The University's leave/suspension provisions are as follows:

Where a faculty member is the subject of a complaint and the University determines that a formal investigation is warranted, the faculty member may request or the EVP/University Provost may impose an administrative leave upon the faculty member. In extraordinary circumstances, the President, EVP/University Provost, or designee may summarily suspend a faculty member, upon a finding that immediate harm to the safety and well-being of individuals within the campus community is threatened or that continued access by the faculty member to the premises or computer networks of the University constitutes an immediate threat of disruption to University operations. The University may also issue a no-trespass directive in such circumstances.

During this leave, the faculty member's salary and benefits will continue but the faculty member will temporarily be excused from performance of some or all faculty responsibilities (at the option of the University), pending conclusion of the investigation. The President may attach appropriate conditions upon a faculty member on administrative leave. A faculty member summarily suspended under this provision is entitled, upon written request, to an expedited hearing before the official who issued the suspension within five calendar days of notification of suspension.

SECTION F Modification of Procedures and Timelines

The termination, dismissal, and suspension processes referenced in Part VI above have been crafted to ensure that decisions are fairly and properly rendered and that faculty members obtain a full and fair appeal of decisions with which they disagree. Depending upon the timing of a particular termination or dismissal notice, however, a faculty committee or selected decision-makers can be called upon to conduct hearings or take action on an expedited basis or during summer or break periods. In other exceptional circumstances, a stay of proceedings or adjustment of applicable procedures may be necessary to ensure a full and fair internal process.

In such exceptional circumstances, the President may, for good cause and upon written notice to the parties, modify the timelines or procedures in Part VI. The President or designee shall first consult with the Senate Executive Committee and shall notify not only the parties but also the Senate Executive Committee of any modification of procedures under this section. Such a modification shall identify the particular exceptional circumstances that require modification and shall apply only to the particular case or circumstance being considered at the time of the modification; it shall not serve as a general modification of the procedures in Part VI.

PART VII: University Policies and Procedures

SECTION A University Policies and Procedures

From the faculty and staff page, select human resources, then current employees (<http://www.roosevelt.edu/HR/CurrentEmployees.aspx>).

Accommodations of Persons with Disabilities:

<http://www.roosevelt.edu/Restricted/HR/PoliciesProcedures/AccomodPersonDisability.aspx>

Anti-Harassment:

<http://www.roosevelt.edu/Restricted/HR/~media/Files/pdfs/HR/PoliciesSecureSite/AntiHarrassment.ashx>

Administrative Handbook:

http://www.roosevelt.edu/Restricted/HR/~media/Files/pdfs/HR/PoliciesSecureSite/Administrative_Handbook.ashx

Confidentiality and FERPA:

<http://www.roosevelt.edu/Policies/FERPA.aspx>

Drug and Alcohol Free Policy:

<http://www.roosevelt.edu/Restricted/HR/~media/Files/pdfs/HR/PoliciesSecureSite/DrugAlcoholFree.ashx>

Equal Employment Opportunity:

<http://www.roosevelt.edu/Restricted/HR/PoliciesProcedures/EEOPolicy.aspx>

Professional Code of Conduct:

<http://www.roosevelt.edu/Restricted/HR/PoliciesProcedures/ProfessionalCodeofConduct.aspx>

Sexual Assault Policy:

<http://www.roosevelt.edu/Restricted/HR/PoliciesProcedures/ProfessionalCodeofConduct/RUPolicySexualAssault.aspx>

Tuition Remission:

<http://www.roosevelt.edu/Restricted/HR/~media/Files/pdfs/HR/PoliciesSecureSite/TuitionRemissionPolicy.ashx>

Workplace Threats and Violence:

<http://www.roosevelt.edu/Restricted/HR/PoliciesProcedures/ProfessionalCodeofConduct/WorkplaceThreats.aspx>

Part VIII: Amendments to the Handbook of the University Faculty

When the Senate Executive Committee receives a proposal for a substantive change to the Handbook of the University Faculty or to any other document that affects the conditions of employment or the contractual rights and responsibilities of the University Faculty, or where the Senate Executive Committee believes that consideration of such a change is warranted, the Senate Executive Committee shall adhere to the following procedure:

1. The University Faculty will be immediately informed in writing via email and/or other electronic means of the suggested change and the proposed change will be discussed at the next meeting of the University Senate;
2. The proposed change will be voted on at the meeting of the University Senate following the meeting at which the change is introduced and discussed;
3. Any change that receives the majority vote of the University Senate will be recommended to the President for approval;
4. The Chair of the Senate Executive Committee will ensure that the changes that have been approved by the President are made to the appropriate document at the next University Senate meeting where the President shall report his/her disposition in regards to the proposed amendment. If the President approves the amendment, the appropriate changes will be made to the Handbook of the University Faculty;
5. If the amendment is rejected, the President shall present the reason for rejection to the University Senate.

Changes brought to the Senate Executive Committee during the summer months will be placed on the Senate agenda in September.