



**ROOSEVELT  
UNIVERSITY**

Handbook of the  
University Faculty

# TABLE OF CONTENTS

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<b>PREAMBLE OF THE HANDBOOK OF THE UNIVERSITY FACULTY.....</b>	<b>4</b>
<b>PART I: THE UNIVERSITY FACULTY .....</b>	<b>5</b>
SECTION A. Membership of the University Faculty.....	5
SECTION B. Duties of the University Faculty.....	5
SECTION C: Appointment Procedures .....	10
SECTION D. Leaves.....	13
SECTION E. Other Policies Affecting University Faculty.....	14
<b>PART II: OFFICERS OF THE UNIVERSITY FACULTY.....</b>	<b>17</b>
SECTION A. Leaders of the University: the President, the Provost .....	17
SECTION B. Academic Leaders .....	18
SECTION C. Leaders of Academic Units within a College .....	19
SECTION D. Evaluations of Officers of the University Faculty .....	20
<b>PART III: LEGISLATIVE BODIES .....</b>	<b>21</b>
SECTION A. The University Senate.....	21
SECTION B. Committees of the University Senate.....	23
SECTION C. Faculty Members of the Board of Trustees .....	24
SECTION D. Committees of the University .....	25
SECTION E. The College Councils.....	28
<b>PART IV: REAPPOINTMENT, TENURE AND PROMOTION .....</b>	<b>30</b>
SECTION A: Standards for Reappointment, Tenure and Promotion.....	30
SECTION B: General Information and Principles .....	31
SECTION C. Reappointment, Tenure, and Promotion (RTP) Timelines .....	36
SECTION D. Appeal of Reappointment, Tenure, and/or Promotion Decisions .....	56

<b>PART V: DISPUTE RESOLUTION, FORMAL GRIEVANCE PROCEDURES, AND APPEALS .....</b>	<b>58</b>
SECTION A. Purpose, Scope, and Timing.....	58
SECTION B. Informal Dispute Resolution .....	58
SECTION C. Formal Grievance Procedure.....	60
SECTION E. Modification of Procedures or Timelines .....	64
<b>PART VI: SEPARATION FROM EMPLOYMENT .....</b>	<b>65</b>
SECTION A. Resignation or Retirement .....	65
SECTION B. Non-Reappointment.....	65
SECTION C. Termination of Faculty Employment (except Dismissal for Cause) .....	66
SECTION D. Discipline and Dismissal for Cause.....	73
SECTION E. Administrative Leave.....	76
SECTION F Modification of Procedures and Timelines .....	77
<b>PART VII: UNIVERSITY POLICIES AND PROCEDURES .....</b>	<b>78</b>
SECTION A. Resources for University Policies and Procedures .....	78
<b>PART VIII: AMENDMENTS TO THE HANDBOOK OF THE UNIVERSITY FACULTY .....</b>	<b>79</b>

## **Preamble of the Handbook of the University Faculty**

The *Handbook of the University Faculty* (“Handbook”) 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 governance and presents University policies and procedures of interest.

The Handbook, elaborating principles set forth in the *Constitution of the University Faculty*, was written collaboratively by faculty and administrators and was approved by the University Senate. 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 and visiting faculty).

In addition to University Faculty, there are also adjunct faculty and visiting faculty. However, this Handbook is intended to apply only to University Faculty. Obligations applicable to adjunct faculty and visiting faculty will be communicated via other policies, procedures, handbooks, and collective bargaining agreements, as applicable.

### **SECTION B. Duties of the University Faculty**

1. University Standards for Teaching, Scholarship, and Service
  - a. 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 attributes of effective teachers. University Faculty must exhibit both the skills required to transmit the knowledge of their disciplines and the capacity to motivate students' active pursuit of new knowledge or insight. Such skills and capacity spring from the same curiosity and commitment that lead to successful scholarly inquiry.

University Faculty are also responsible for adhering to and upholding the standards of conduct to which the University holds all members of its community. Among other things, this includes: fostering a caring, safe, and socially just atmosphere; respecting all members of the University's diverse community regardless of age, ancestry, citizenship, color, creed, disability, gender, gender identity, marital status, military status, national origin, parental status, race, religion, sexual orientation, source of income, unfavorable discharge from military service, veteran status, or status as a victim of domestic or sexual violence; and upholding the standards of academic integrity.

- i. 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/Provost and President and these calendars may supersede the "usual" academic teaching year.

ii. 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.

iii. Summer Teaching Load

Typically, a University Faculty member may teach no 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 twenty hours of advising or service are expected for each course taught.

iv. 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/Provost, on recommendation of the leader of the academic unit and College Dean.

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

v. 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.

- In the event of an unexpected absence, the faculty member should notify the department chair, visit the Provost's webpage and follow procedures outlined.
- In the event of an expected absence other than for religious observances (see number 3 below), the faculty must secure other members of the academic unit or an acceptable outside substitute to meet classes. In the event of 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/Provost.
- 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.

#### vi. 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 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. A syllabus template can be found on the Provost's website and the syllabus faculty develop should either use the template or should include all of the information contained in that template.

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.

#### vii. Independent Study

Independent Study is a course that is proposed by a well-prepared student who wishes to pursue a specific advanced scholarly topic not available as an existing, catalog course. Credit for Independent Study courses may vary from one to six semester hours. The student must submit a written proposal, endorsed by a faculty sponsor, and approved by the department or program 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 course-by-arrangement as described below. Generally, part-time faculty/adjuncts do not supervise Independent-Study courses.

#### viii. Course-by-Arrangement

A course-by-arrangement is a required course listed in the University Course Catalog, but which 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 Roosevelt Adjunct Faculty Organization ("RAFO") tier of compensation for a 3.0 credit hour course, per student. Extraordinary circumstances include the following:

- 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;
- No other course can reasonably be substituted;
- A course, not offered in a particular semester, is needed by a student for graduation. There must be a valid, documented reason for the student not having taken the course when last offered. A conflict with a personal preference or work schedule does not constitute a valid reason to warrant a course-by-arrangement.

#### b. Scholarship

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

#### c. 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 their 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. University Faculty are expected to perform a fair share of service work satisfactorily. Individual Colleges or programs may adopt more specific requirements or expectations regarding the extent and significance of required service.

### 2. Other Duties for All University Faculty

#### a. 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.

#### b. 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 Office of the Provost and Executive Vice President for Academic Affairs (“EVP/Provost”).

c. Faculty Goals and Performance Evaluation

University Faculty are required to meet with their department chair or unit chair annually to assess faculty performance and to set goals for the upcoming year and beyond (“Faculty Goals and Performance Review materials”). For additional information about this process, please see the *Faculty Success & Performance Evaluation Manual*, which is located on the webpage for the Office of the Provost.

3. Duties for Tenured or Tenure-Track Faculty

a. 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 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 by 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 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.

b. Duties

Job responsibilities typically include teaching (60 percent), scholarship (20 percent), and service (20 percent) (“Standard Load”). These percentages may vary depending upon programmatic and individual circumstances; however, any variance will be subject to the following requirements:

- The expected teaching portion is equivalent to 18 semester hours per academic year, taking into account special considerations for calculating teaching loads in programs whose instruction includes laboratory, clinical, field study, or applied performance study by students.

- At the recommendation of the Dean and with the approval of the EVP/Provost, percentages and ratios can vary based on the needs of the College and/or the University.
- Any deviation 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 in subsequent letters executed by the EVP/Provost.

#### 4. Duties for Non-Tenure-Track Faculty, Including Visiting Faculty

Unlike Tenure-Track and Tenured Faculty, whose performance is evaluated based on their contribution to teaching, scholarship, and service, the performance of Non-Tenure Track Faculty should be evaluated based on their primary responsibility as well as their service and professional activities related to that primary responsibility.

Job responsibilities typically include teaching (80 percent) and service (20 percent); however, in the Chicago College of Performing Arts and the College of Pharmacy, Non-Tenure Track faculty may be required to perform scholarship or research, provided that such work comprises no more than 10 percent of their work load. 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/Provost.

### SECTION C: Appointment Procedures

#### 1. 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, the academic units, Deans, and EVP/Provost conduct thorough and rigorous searches that yield outstanding members of the community.

The academic unit and the Dean will consult on the academic needs and strategic direction of the unit. The Dean then takes the recommendation of the units in their College to the EVP/Provost for consideration. The EVP/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 candidates. Normally, three candidates are brought to campus to be interviewed by the academic unit, the Dean, and the Office of the EVP/Provost. The search committee reports their findings to the Dean. The Dean gives their recommendation to the EVP/Provost, and he/she gives final approval for hiring. Only the EVP/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/Provost's letter and may not be modified or supplemented by the individual program, department, or College. In a case requiring tenure on initial appointment, the President must also interview the candidate during the campus visit. Detailed processes for the recruitment and hiring of faculty can be found on the Provost's webpage.

The initial appointment for tenure-track faculty is normally four academic years. If reappointed, the faculty member is normally granted a second three-year academic appointment, at the end of which tenure is granted or denied (*see* Reappointment/Tenure and Promotion process for complete details). 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.

## 2. Joint Appointments

On the recommendation of the appropriate academic unit heads, Deans, and the EVP/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.

## 3. Joint Administrative and Faculty Appointments

The Board of Trustees 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 of 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 they resign from the administrative position or is removed from it 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.

## 4. Compensation

Annual compensation (salary and benefits) is indicated in a contract or in a salary increase letter. 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.

## 5. 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:

- a. Outside work should be consistent and compatible with the academic training and prestige of the academic profession;
- b. No outside employment will 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 will utilize the premises of the University;
- c. There will be no implication that the University sponsors a faculty member's outside activity;
- d. 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, advising assignments, committee work, etc. Failure to meet these core obligations may justify immediate revocation of any prior written approval of outside employment;
- e. Generally, outside work requiring more than an average of 12 hours per week will be presumed to impinge on the employee's obligations to their primary position with the University, and approval for such work will not be granted;
- f. Any outside work that conflicts or interferes with scheduled classes or other University commitments will not be allowed;
- g. 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.

## 6. Visiting Professorships and Faculty Exchanges

The University looks favorably 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/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/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, or personal leaves no more often than every three years. When leaves are available, full details and criteria for applications will be sent to all eligible faculty by the Office of the EVP/Provost.

### 1. University Research Leaves

Research leaves are granted by the President on the recommendation of the EVP/Provost who is advised by the University Research and Professional Improvement Leave Committee. When leaves are approved by the Board of Trustees, the EVP/Provost convenes the University Research and Professional Improvement Leave Committee. The committee will invite applications for research and professional improvement leaves, review all applications, and make recommendations to the EVP/Provost.

Any full-time member of the faculty with two or more years of service is eligible to apply. 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.

A recipient of a research leave receives salary and regular benefits for one semester. Prior to commencing the leave, a recipient is required to execute an agreement stipulating their return to Roosevelt University for at least one year following the leave. A recipient who does not return for a full year must repay the University for the full cost of compensation (including benefits) paid to the faculty member during the leave.

## 2. Professional Leave

The EVP/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 who has been awarded a professional grant, award, or fellowship (*e.g.*, Fulbright, Guggenheim) from a nationally recognized foundation or government agency.

A recipient of a professional leave is required to execute an agreement prior to commencing leave stipulating one's return to Roosevelt University for one academic year following completion of the leave. A recipient who does not return for a full year must 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/Provost.

## 3. Personal Leave

The EVP/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. A personal leave may be granted if the following conditions are met: (a) The applicant applies in writing and receives the approval of the chair and the appropriate Dean; and (b) the College Dean and department chair states in their 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.

## 4. 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.

## SECTION E. Other Policies Affecting University Faculty

### 1. 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 the Provost's webpage. 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 has served as a full-time member of the University Faculty for a minimum of five consecutive years at the time of retirement from all full-time employment. 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.

## 2. Emeriti Status: Faculty

Emeriti status is granted by the President, at the discretion of the University and upon recommendation of the College Dean and EVP/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.

### a. Eligibility and Privileges

- Those eligible are University Faculty members who have served 10 years or more at Roosevelt University. Upon recommendation of the EVP/Provost, the President may make exceptions to this rule.
- Rank will be the same as held by the faculty member during employment at Roosevelt (e.g. associate professor emeritus/emerita).
- 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/Provost.
- Professors emeriti will be invited to participate in or attend major University ceremonies or events including convocation and commencement.
- Professors emeriti, but not their families, are eligible to enroll in courses tuition free at Roosevelt University.
- Professors emeriti may teach and will be compensated at the highest RAFO rate.

## 3. 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 the following:

- Roosevelt University application form

- Academic unit recommendation
- Complete transcript
- Letters of reference
- Copies of University employment contracts
- Other documentation relating to the faculty member's University employment such as decisions regarding faculty compensation, renewal, and advancement.

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 (these letters are normally kept for five years after the tenure and promotion process). To review their personnel file, a faculty member should contact the Office of Human Resources.

#### 4. Indemnification

Roosevelt University's current policy regarding indemnification of its employees is set forth at RU Policy No. 10.2 (Indemnification Policy), which is located on the University Policies page.



## **PART II: Officers of the University Faculty**

### **SECTION A. Leaders of the University: the President, the Provost**

#### **1. The President**

The President is the principal executive officer of the University and will in general supervise and control all of the business and affairs of the University. They 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 is 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; is responsible for the discipline of the University; is a voting ex-officio member of the University Senate and of the various College Councils; is 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 is responsible for carrying out all measures officially agreed upon by the Board of Trustees.

The Board of Trustees conducts the search for the President. A designated member of the Board of Trustees will convene a search committee that will include members of the Board, tenured faculty, staff, and the student body.

#### **2. The Provost and Executive Vice President for Academic Affairs**

The Provost and Executive Vice President for Academic Affairs ("EVP/Provost") is the chief operating officer; chief academic officer of the University after the President; a voting ex-officio member of the University Senate and of the various College Councils. In the temporary or short-term absence of the President, the EVP/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/Provost is appointed by the President upon the recommendation of the relevant University search committee.

The search committee will consist of the following:

- Two tenured faculty members from the College of Arts and Sciences, and one tenured faculty member from each of the remaining Colleges, all elected by College Councils;
- Two faculty members and a Dean chosen by the President;
- Two students, both elected by the Student Government Association with both campuses represented if possible;
- Two Administrative Assembly members (one appointed by the President and one elected by the Administrative Assembly);

- One member of the Board of Trustees appointed by the President.

## SECTION B. Academic Leaders

### 1. The College Deans

College Deans are the chief academic, administrative, fiscal, 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/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/Provost.

Responsibilities of the College Deans include, but are not limited to, the following:

- 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 within the College, in the University generally, in the broader community, and educational bodies at the state and national level;
- raising funds for the continued growth and excellence of their Colleges and programs;
- contributing to institutional effectiveness; and
- keeping to accreditation best practices.

All College Deans are appointed by the President upon the recommendation of the EVP/Provost and the search committee.

The search committee for a College Dean will consist of the following:

- Four University Faculty members from the relevant College chosen by the College Council
- One University Faculty member from outside the College appointed by the EVP/Provost in consultation with the College Executive Committee College Council
- One representative from the student body of the College chosen by the EVP/Provost in consultation with the College Executive Committee College Council
- One associate/assistant Dean of the College elected by the College Council
- One College Dean chosen by the EVP/Provost in consultation with the College Executive Committee College Council.

## SECTION C. Leaders of Academic Units within a College

### 1. 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.

The leaders of academic units will implement such academic policies and duties as directed 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.

#### a. 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.

Associate Deans will be appointed by and serve at the pleasure of the EVP/Provost upon recommendation of the Dean of the College.

#### b. Department Chairs, Program Directors, Coordinators, and Heads

Department chairs (which, as used in this section shall also include program directors, coordinators, and heads) will provide leadership in the improvement of educational standards and practices within their respective disciplines. Duties include but are not limited to the following:

- scheduling and staffing classes;
- overseeing and mentoring faculty of the department;
- overseeing curriculum;
- proper expenditure of assigned budget;
- student advising;
- graduate admission;
- hiring of adjunct faculty;
- supervision of teaching
- other duties pertaining to the discipline(s).

### 2. Department chairs are appointed by and serve at the pleasure of the Dean of the College. Searches for Academic Leaders

Searches for academic leaders may be external or internal.

#### a. External Searches

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

b. Internal Searches

For internal searches, the Dean and the Executive Committee will solicit nominations from the full-time voting members of an academic unit in which the position of leader is to be filled. After nominations are finalized, the Dean of the College will poll the full-time voting members of the academic unit by secret ballot on their preferences.

In rare cases, the Dean of the College may consider appointing a nominee who has not received a majority of the votes cast by full-time members. If so, the Dean will discuss their choice with the academic unit before making the appointment.

SECTION D. Evaluations of Officers of the University Faculty

The President, the EVP/Provost, and the College Deans 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/Provost's office.

In the case of evaluation of the President, the Chair of the Board of Trustees or their designate will report to the Executive Committee of the Senate on how results were utilized. The President or the EVP/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 the Constitution of the University Faculty, Article III, Legislative Bodies, Section A, University Senate.

#### 1. Representatives to the University Senate

Representatives to University Senate (“Senators”) are elected to two-year terms by the College Council in the spring semester of even-numbered years. These terms begin in the fall semester following the spring election.

##### a. Composition of the University Senate

##### i. The University Senate will consist of the following:

- Nominally 55 University Faculty Senators distributed among Colleges in proportion to each College’s share of the total full-time equivalent University Faculty, as described in Part III(A)(1)(a)(ii) below;
- Adjunct faculty members, as prescribed by the *Agreement between Roosevelt University and the Roosevelt Adjunct Faculty Organization, IEA-NEA* (“RAFO Contract”) then in effect;
- Ex-officio members with vote (President, EVP/Provost, all College Deans, Vice Provost for Academic Affairs, University Librarian);
- Four members of the Administrative Assembly with each campus represented;
- Two members of the University Library professional staff;
- For each campus, one student elected by the campus’ student government association.

All of the above-listed individuals (except for the ex-officio members with vote) are known as “Senators.” Other members of the University community may participate in Senate meetings, but only Senators and ex-officio members have voting rights.

##### ii. The distribution of University Faculty Senators will be determined as follows:

- The number of University Faculty Senators from each College will be a percentage of the 55 faculty Senators equal to the College’s percentage of the total full-time equivalent University Faculty.
- The total number of full-time equivalent University Faculty and the percentage in each

College will be determined using the faculty census data from the fall semester of the academic year in which the election takes place.

- If a College is entitled to a fractional seat, that fraction will be rounded to the next highest integer; this may result in a number of Senators greater than 55.
- Every College must have a minimum of one senator.

b. Vacancies

When any elective office of the University Senate is declared vacant because of a member leaving 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 term of the replacement is the length of the leave or absence. The same provision applies for faculty membership of the Board of Trustees. Such vacancies include temporary absences when a member is on leave for a period of one semester or longer.

An elected committee member or faculty representative to the Board of Trustees who wishes to continue to serve during a leave must notify the Chair of the Senate of their desire and availability. In such a case, the Chair will make a recommendation to the Senate either to approve or deny the request. Approval of the continuance to serve will require a simple majority vote.

2. University Senate Meetings

a. Schedule:

Regular meetings of the University Senate normally will be held 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, and announced 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.

Other meetings of the University Senate may be called by

- the President,
- the EVP/Provost,
- 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 the above.

Notices of special meetings of the University Senate must be distributed to all members in a normal manner for distributing information (*e.g.*, email, Inside Roosevelt, or other widely-used manner) so that the notices will be received one week before the meeting is to be held.

c. Agenda

The chair of the Senate, in consultation with the Executive Committee, will prepare the proposed agenda for University Senate meetings and circulate it one week prior to meetings. The chair of the Senate may revise the agenda if new business of importance arises during the week. The University Senate may change the agenda by consent or majority vote, but in every case the agenda will include the item of “new business.”

d. 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 60 percent of the full-time voting members.

SECTION B. Committees of the University Senate

Committees of the University Senate are elected by the University Senate and must include at least one University Faculty member from each College. Other committees will be elected by the Senate as needed.

a. Executive Committee

The Executive Committee will be the principal committee serving the University Senate. It will investigate, deliberate, and recommend action 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:

- President, voting ex-officio
- EVP/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 Senator representing the adjunct faculty
- One Senator representing the Administrative Assembly.

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

b. The Faculty Issues Committee

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

- referred to it by the Senate Executive Committee
- 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 committee.

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

The Faculty Issues 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 even-numbered years.

c. 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 board 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/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.

d. 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 four at-large members. Members do not have to be Senators. Following the election, the Chair of the University Senate will convene the first meeting, at which time the committee will elect a chair, who ensures that the committee fulfills its responsibilities and prepares a confidential annual summary report for the University Senate Executive Committee.

### SECTION C. Faculty Members of the Board of Trustees

Faculty Trustees are elected by the University Senate at its last meeting of the academic year as provided in the Constitution of the Faculty and must be confirmed by vote of the Board of Trustees. The three-year term of office for Faculty Trustees will begin July 1 of the first year of election. Beginning July 1, 2015 and henceforward, Colleges will have no more than two (2) representatives, and at least one (1) representative will come from each campus. The elections will be held with open nominations and a secret ballot. The Secretary of the University Senate will inform the secretary of the Board of Trustees of the results within five days after the election. To promote continuity, the Senate will elect two faculty trustees in each of two years, and one in a third year.



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

## SECTION D. Committees of the University

Committees of the University are those 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.

### 1. The Undergraduate Council

The Undergraduate Council will review and approve all new undergraduate majors, minors, concentrations, certificates, and other programs; changes to requirements and other revisions to existing programs; and new and revised university-level academic programs, courses, and policies for undergraduate students (*e.g.*, honors, general education). Decisions of the Undergraduate Council must be ratified by a majority vote of the University Senate.

During the spring semester of even-numbered years, each College Council with undergraduate programs will elect two full-time members of the University faculty for two-year terms to begin in the fall semester following the spring election. Ex-officio voting members of the Council are the EVP/Provost and each College Dean. The Provost and each College Dean may delegate their council authority and voting rights to an Assistant or Associate Provost or Dean or to a full-time member of the University faculty.

The Council may include non-voting administrative resource persons (*e.g.*, University Librarian, the head of the Office of Student Progress/Registrar, and other academic affairs administrators who are appointed by the Provost and provide support and guidance for the implementation of proposed changes).

The Provost will convene at least three Council meeting per semester, excluding the summer. At the first meeting of the academic year, the Council will elect a chair and a secretary.

### 2. 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 must be ratified by a majority vote of the University Senate.

In the spring semester of even numbered years, each College Council will elect one University faculty member who teaches graduate courses to serve a two-year term on the Executive Committee of Graduate Council; and each graduate program will elect one University faculty member who teaches graduate courses to serve a two-year term on the Graduate Council to begin in the fall semester following the spring election. Ex-officio voting members of the Council are the EVP/Provost and each College Dean. A College Dean may delegate their 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 Associate Vice President for Institutional Research and Assessment, and the Director of Advising will be administrative resource persons, non-voting, for the Council.

The Provost will convene the first meeting of the academic year for the Council, at which time the Council will elect a chair and a secretary. The chair of the Council will convene the Council at least once each semester.

### 3. The University Faculty Personnel Committee

The University Faculty Personnel Committee (“UFPC”) will review all recommendations for reappointment, promotion, and tenure for all full-time tenure-track University Faculty. The Members UFPC will consist of one tenured University faculty member from each College elected by the College Councils during the spring semester of even numbered years. Two-year terms begin in the fall semester following the spring election. The functions of the UFPC are the following:

- To ensure the integrity of the process for making faculty personnel decisions
- To ensure reasonably uniform procedures across Colleges
- To ensure that specific criteria stated by the relevant academic unit and/or College are reflected in candidates’ qualifications
- Vote in favor or against all full-time tenure-track candidates standing for reappointment, tenure and/or promotion on the merits of the case presented.

### 4. The Faculty Tenure Review Committee

Any faculty member denied indefinite tenure may petition the Faculty Tenure Review Committee for review subject to procedures stipulated in Part V (Reappointment, Tenure, and Promotion) of this Handbook.

The Faculty Tenure Review Committee will consist of one tenured University faculty member from each College. During the spring semester of even numbered years, College Councils will elect representatives to the committee to serve two-year terms to begin in the fall semester following the spring election. Department chairs and other administrators (*e.g.*, President, EVP/Provost, College Dean, Associate Dean, or Tenure Process Leader) may not serve on the committee.

The Chair of the University Senate will convene the committee in the fall semester, and the committee will elect its own chair and secretary. The chair will ensure that the committee fulfills its responsibilities and prepares a confidential annual summary report for the University Senate Executive Committee.

### 5. 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 EVP/Provost, the Vice President for Finance & Administration/Chief Financial Officer (“VP/CFO”), 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 either attend as a non-voting representative or select the Enrollment Management non-voting representative who will attend. Each two-year term begins the fall semester following the spring election. The President, EVP/Provost, and the VP/CFO are ex-officio voting members. The EVP/Provost and VP/CFO are the co-chairs of the Committee.

#### 6. The Research and Professional Improvement Leave Committee

When the Board of Trustees authorizes funding for research and professional improvement leaves, the EVP/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/Provost.

The Associate Provost for Research and Faculty Success will chair the Research and Professional Improvement Leave Committee, which will consist of one research/professionally-active tenured University Faculty members from each College elected by the respective College Councils for a one-year term during the spring semester.

#### 7. Institutional Review Board

The Institutional Review Board (“IRB”) will 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/Provost, in consultation with the Associate Provost for Research and Faculty Success Dean. Members will have backgrounds that allow them to conduct comprehensive reviews of research

activities undertaken at the University. The IRB will be sufficiently qualified through the experience and expertise of its members and will reflect diversity of race, gender, and cultural backgrounds to ensure sensitivity to community attitudes and 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 neither affiliated with the institution, other than as a member of the IRB, nor directly related to anyone affiliated with the institution.

#### 8. Institutional Animal Care and Use Committee

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/Provost. The IACUC will also review concerns about the care and use of animals at the University and for making recommendations to the EVP/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 five (5) members, two (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 neither affiliated with the institution in any way other than as a member of the IACUC, nor directly related to anyone 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 to the IACUC will be the Associate Provost for Research and Faculty Success.

See the University’s Policies page for additional information.

### 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/Provost. Other College staff members may participate in council meetings, without voting rights.

It will be the duty of each College Council to determine its bylaws and academic policies of the College, 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 provided that they conform to the Constitution of the University Faculty and University policies.

During the spring semester of even-numbered years, each College Council will elect a chair, vice chair, and secretary to serve a two-year term to begin in the fall semester following the spring election.

## **PART IV: Reappointment, Tenure and Promotion**

### **SECTION A: Standards for Reappointment, Tenure and Promotion**

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 procedures in this Handbook.

In addition, each College will be responsible for devising and publishing formal standards for the evaluation of teaching, scholarship, and service that will apply within the College. The process for promulgating such standards is as follows:

- The proposed standards must be presented to and approved by the College Council;
- If approved by the College Council, the College Council sends the proposed standards to the College Dean for review and approval;
- If approved by the Dean, the Dean sends the proposed standards to the UFPC for review and approval;
- If approved by the UFPC, the UFPC sends the proposed standards to the EVP/Provost for final review and approval.

#### 1. Teaching

Excellence in teaching is typically the most crucial criterion 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. *See also* Part I, Section B above.

#### 2. Scholarship

Professional productivity, whether in scholarly and/or, creative publications and/or performances, is a crucial criterion for reappointment, tenure, and promotion. *See also* Part I, Section B above.

#### 3. Service

Valuable service is an important criterion for reappointment, tenure and promotion. Service may be either internal contributions at the department, College, and University levels; or external activity in regional, national, or international academic organizations or in related professional activity with community groups or governmental agencies at the metropolitan, state, or national levels. *See also* Part I, Section B above.

## 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, participating in, or attending meetings related to RTP, the composition of peer committees, and the policy on the timeline for RTP.

### 1. Eligibility for Discussion and Voting on Reappointment, Tenure, and Promotion

This section addresses eligibility to vote on various committees, but does not address eligibility to write administrative letters as described throughout the Handbook. Eligibility for professors voting on Reappointment, Tenure, and Promotion is as follows:

- Only tenured faculty members may vote on the RTP of tenured and tenure-track faculty.
- **Promotion within Tenured Faculty:** Only tenured full professors may vote on promotion from associate professor to full professor at the Peer Committee (“PC”) level.
- **Tenure Only:** Only tenured associate and full professors may vote on tenure for associate professors standing for tenure only.
- **Tenure and Promotion:** 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.
- **Reappointment of Non-Tenure Track Faculty:** Only a faculty member with Associate NTT Rank, Full NTT Rank, tenured associate, or full professors may vote for reappointment of non-tenure track faculty.
- **Promotion within Non-Tenure Track Faculty (from Assistant NTT to Associate NTT):** Only a faculty member with Associate NTT Rank, Full NTT Rank, tenured associate, or tenured full professors may vote for the promotion of an Assistant NTT Rank faculty member to Associate NTT Rank.
- **Promotion within Non-Tenure Track Faculty (from Associate NTT to Full NTT):** Only a faculty member with Full NTT Rank or tenured full professors may vote on the promotion of an Associate NTT Rank faculty member to Full NTT Rank.

- Tenured associate and full professors with administrative responsibilities are eligible to vote as outlined herein except administrators in the offices of President and EVP/Provost, the Dean, and the Tenure Process Leader as assigned by the College.
- In the event that that College lacks enough Tenured faculty members to serve on all of the RTP committees, the College may solicit a Tenured faculty member from another College.
- 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/Provost. Absent such a document, voting will continue to take place at the most local level of eligibility.
- Only a voting member of an RTP committee may attend and/or participate in the committee meeting.

## 2. Composition of Peer Committees

Each College Council will 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 members. The tenure process leader is not a member of the Peer Committee. Standards approved by the Dean and the College Council will be forwarded to the University Faculty Personnel Committee ("UFPC") and for recommendation to the EVP/Provost for final approval and general conformity with University standards. *See* the individual Colleges' specific criteria for more information.

Peer committees reviewing reappointment and/or promotion applications of non-tenure track faculty must include one or more NTT faculty from the candidate's discipline or a related field who is at or above the rank the candidate is seeking.

## 3. Tenure Process Leader

The Tenure Process Leader is responsible for (i) explaining the reappointment, tenure, and promotion process to the faculty member and assisting them with navigating the process; and (ii)



evaluating a faculty member's qualifications for that particular program/unit/department/discipline by writing the letter as part of the process described herein. The Tenure Process Leader is normally the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate. However, the Tenure Process Leader must be tenured. In the event that the Chair or Head of the Program, Unit, Department and/or Discipline or Chair Designate is untenured, is the candidate under consideration, or is in some other way ineligible to oversee the reappointment, tenure or promotion process for the candidate the Dean will confer with the tenured faculty members of the College before appointing a tenure process leader from among the eligible faculty. .

#### 4. Timeline

Normally, the timeline for the RTP process and RTP appeals ("RTP Process") contained herein will be followed. If dates in the timeline fall during a weekend or holiday, the next business day will become the deadline.

A candidate or committee may, in exceptional circumstances, request a modification of the RTP Process timeline. Upon approval of the EVP/Provost, some adjustments to the RTP Process timeline may be made; however, once the RTP process in a particular academic year has begun, changes to the timeline may be made only under exceptional circumstances. 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/Provost concludes that exceptional circumstances apply, they 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.

Tenure Track University Faculty are eligible to apply for tenure through the processes contained in this Handbook after they have completed five years of teaching service. University Faculty must apply for reappointment through the processes contained in this Handbook either one (1) year before their contract is to expire or every three (3) years, whichever period is longer.

5. Promotion for Non-Tenure Track Faculty

Non-Tenure Track Faculty will have the following titles:

	<b><u>Teaching NTT Faculty</u></b>	<b><u>Clinical/Professional Practice NTT Faculty</u></b>
“Assistant NTT Rank”	Assistant Teaching Professor	Assistant Clinical Practice Professor Assistant Professional Practice Professor
“Associate NTT Rank”	Associate Teaching Professor	Associate Clinical Practice Professor Associate Professional Practice Professor
“Full NTT Rank”	Teaching Professor	Clinical Practice Professor Professional Practice Professor

All University Faculty are expected to satisfy the University’s standards for teaching and service. (*See* Part I, Section B herein.) Each College will be responsible for devising and publishing formal standards that outline the differences between the hiring and promotion standards that shall apply within their College with respect to the Assistant NTT Rank, Associate NTT Rank, and Full NTT Rank; however, the proposed standards:

- Must establish that the same criteria used for hiring at each level shall also apply to the promotion of a faculty member to that rank;
- Must establish, for the hire and promotion of a faculty member to each rank: (a) that each hire must comport with the accreditor’s requirements with respect to the minimum degree required for the faculty member’s field, and (b) a minimum number of years of teaching and/or service experience required.
- Must be presented to and approved by the College Council;
- Must, if approved by the College Council, be sent to the College Dean for review and approval;
- Must, if approved by the College Dean, be sent to the EVP/Provost for final review and approval.

Non-Tenure Track faculty members at the Assistant level will be reviewed through the RTP reappointment process every three (3) years (except in the case of faculty who, prior to January 1, 2019, received a contract length of four years or more, as these faculty will go through the RTP reappointment process in the second to last year of their appointment). Non-Tenure Track faculty members at the Associate or Full levels will be reviewed through the RTP reappointment process every five (5) years. NTT faculty members seeking reappointment will submit a dossier containing evidence of successful teaching, service, administration/practice, and research and other scholarly

activity (if applicable), as suggested above and in accordance with the policies and timeline outlined in this Handbook.<sup>1</sup>

NTT faculty members are encouraged, but not compelled to seek promotion at the associate NTT or full NTT level. NTT faculty members who unsuccessfully seek promotion remain eligible for reappointment at their current rank. For promotion to the associate NTT level, NTT faculty members are expected to be very good in their primary area of responsibility related to the appointment. For promotion to the full NTT level, NTT faculty members are expected to be exceptional in their primary area of responsibility and very good in all other areas related to the appointment. For further clarity regarding these expectations, please refer to the promotion guidelines promulgated by the College. The peer committee will evaluate the candidate's contributions and will then categorize the quantity and quality of the candidate's accomplishments in each domain as exceptional, very good, average, or below expectations.

For reappointment and promotion, dossiers are reviewed in accordance with the policies and timeline outlined in this Handbook with the exception of the composition of the peer committee. Peer committees reviewing non-tenure-track faculty applications for reappointment and promotion should include one or more NTT faculty from the discipline or related field, at or above the rank the candidate is seeking. If a NTT faculty member with appropriate rank does not exist in a related field within the college, the peer committee should include a non-voting advisory member either with appropriate rank in a less-related field within the college or a NTT faculty in the discipline but without appropriate rank. The purpose of the non-voting advisory member is to provide information on the nature of a NTT appointment in case other peer committee members are less familiar. Letters from external reviewers are not required, but may be included, for NTT faculty promotion to "Associate NTT Rank." For promotion to "Full NTT Rank," external reviewers are required in College of Performing Arts and the College of Pharmacy, but not in the other colleges.

Voting, notification, and appeal processes for reappointment and promotion for NTT faculty are consistent with those outlined in this Handbook. As with all faculty, NTT faculty are expected to be familiar with and follow all policies in this Handbook.

## 6. Rules on Changing Tracks

A person hired as a Non-Tenure Track faculty member may not be promoted or converted to Tenure Track faculty; to move between NTT and Tenure Track ranks, a faculty member must apply for a vacant Tenure Track position.

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<sup>1</sup> Colleges must also establish standards to promote Non-Tenure Track Faculty members who are employed with the University as of January 1, 2019. Such standards must be presented to and approved by the College Council. If approved by the College Council, such standards must be sent to the College Dean for review and approval. If approved by the College Dean, such standards must be sent to the EVP/Provost for final review and approval.

Except as in the limited circumstance of a retiring Tenure-Track faculty member who has contractually agreed to surrender their tenure as a condition of retirement, a person hired as a Tenure Track faculty member may not be promoted or converted to Non-Tenure Track faculty; to move between Tenure Track and NTT ranks, a faculty member must apply for a vacant Non-Tenure Track position.

#### 7. 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.

#### 8. 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 five years; after that time, the letters may, at the discretion of the University, be destroyed.

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

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

##### a. By May 1 – Meeting with Tenure Process Leader

The candidate and the Tenure Process Leader meet to review the entire reappointment process and procedures. (The Dean and/or their delegate may also attend and participate in this meeting.)

##### b. By October 15 – Peer Committee (PC)

The Dean identifies a Peer Committee consisting of all tenured members of the candidate's unit as defined by the College Council (see eligibility of voting members above), and no fewer than three members. The Tenure Process Leader is not a member of the Peer Committee. If there are fewer than three tenured members in a given unit eligible to serve, the Dean will select additional faculty from the College to serve on the Peer Committee consistent with guidelines established by the College Council.

c. 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 submitted, the dossier 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 and identifying the following information, as applicable (see specific criteria established by each College)
  - o biographical and educational data
  - o courses taught in each semester (include year)
  - o advising responsibilities
  - o publications
  - o presentations
  - o creative or professional work
  - o research and grants
  - o service, including administrative and leadership responsibilities
  - o honors.
  
- 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.
  
- Evidence of service:
  - o participation in academic unit, College and University activities and committees; offices held on these committees
  
  - o participation in learned societies and professional organizations; offices held in these organizations (indicate local, regional, or national)
  
  - o consulting to the field and the community (indicate local, regional, or national)  
  
participation in community and civic affairs
  
  - o service as a program director, department chair, or in another administrative leadership role.

d. By December 8 – Peer Committee (“PC”) Votes

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

- tallies the vote
- prepares a letter recording the vote and 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
- submits the letter to the dossier and forwards a copy to the candidate, the Tenure Process Leader and the Dean.

e. By December 24 – Candidate May Respond to the Peer Committee Report

A candidate may choose to respond in writing to the Peer Committee’s vote or remarks in a letter addressed to the Tenure Process Leader. The Tenure Process Leader will add the candidate’s letter to the dossier, and inform the Peer Committee of the candidate’s response.

f. By January 8 – Tenure Process Leader Writes Letter of Recommendation

The Tenure Process Leader prepares a letter of recommendation based on their 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 their 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; therefore, the Tenure Process Leader may not vote at any other level. The Tenure Process Leader addresses the letter to the Dean, submits it to the dossier, forwarding a copy to the candidate.

g. By January 15 – Candidate May Respond to the Tenure Process Leader’s Recommendation

A candidate who wishes to respond in writing to the Tenure Process Leader’s recommendation may do so in a letter addressed to the Dean. The Dean will include the candidate’s response in the dossier, and will inform the chair of the candidate’s response.

h. By January 25 – College Executive Committee (CEC) Votes

The CEC reviews the dossier—including the Peer Committee’s letter and vote and the Tenure Process Leader’s recommendation, and any responses that the candidate may have forwarded—meets and discusses in person the candidate’s dossier (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 themselves 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, reporting the vote of the CEC and briefly explaining the reasons for the CEC’s vote. This letter is added to the dossier, and a copy is forwarded to the candidate.

i. By February 1 – Candidate May Respond to the CEC Letter

A candidate may respond in writing to the CEC vote in a letter addressed to the Dean. The Dean will include the candidate’s response in the dossier, and inform the CEC of the response.

j. 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 in support or against reappointment. The Dean addresses the letter the EVP/Provost, submits it to the dossier, and forwards a copy to the candidate. The Dean forwards the complete dossier to the Office of the EVP/Provost.

k. By February 15– Candidate May Respond in Writing to the Dean’s Letter

A candidate may respond in writing to the Dean’s recommendation in a letter addressed to the EVP/Provost. The Provost will add the candidate’s response to the dossier, and will inform the Dean.

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

The EVP/Provost reviews the candidate’s dossier, and based on the documents presented and the recommendations of the Peer Committee, Tenure Process Leader, College Executive Committee, and Dean, makes a decision on behalf of the University whether to grant or decline reappointment.

The EVP/Provost will inform the candidate in writing of the decision regarding reappointment.

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

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

a. By May 1 – Meeting with Tenure Process Leader

The candidate and the Tenure Process Leader meet to review the entire reappointment process and procedures. (The Dean and/or their delegate may also attend and participate in this meeting.)

b. By October 15 – Peer Committee (PC)

The Dean identifies a Peer Committee consisting of all tenured members of the candidate's unit as defined by the College Council (see eligibility of voting members above), and no fewer than three members. The Tenure Process Leader is not a member of the Peer Committee. If there are fewer than three tenured members in a given unit eligible to serve, the Dean will select additional faculty from the College to serve on the Peer Committee consistent with guidelines established by the College Council.

c. 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 submitted, the dossier 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 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
  - publications
  - presentations
  - creative or professional work
  - research and grants
  - service, including administrative and leadership responsibilities
  - honors.



- 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.
  
- Evidence of service:
  - o participation in academic unit, College and University activities and committees; offices held on these committees
  
  - o participation in learned societies and professional organizations; offices held 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.

d. By December 8 – Peer Committee (PC) Votes

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

- o tallies the vote
- o prepares a letter recording the vote and 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
- o submits the letter to the dossier and forwards a copy to the candidate, the Tenure Process Leader and the Dean.

e. By December 24 – Candidate May Respond to the Peer Committee Report

A candidate may choose to respond in writing to the Peer Committee’s vote or remarks in a letter addressed to the Tenure Process Leader. The Tenure Process Leader will add the candidate’s letter to the dossier, and inform the Peer Committee of the candidate’s response.

f. By January 8 – Tenure Process Leader Writes Letter of Recommendation

The Tenure Process Leader prepares a letter of recommendation based on their 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 their 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; therefore, the Tenure Process Leader may not vote at any other level. The Tenure Process Leader addresses the letter to the Dean, submits it to the dossier, forwarding a copy to the candidate.

g. By January 15 – Candidate May Respond to the Tenure Process Leader's Recommendation

A candidate who wishes to respond in writing to the Tenure Process Leader's recommendation may do so in a letter addressed to the Dean. The Dean will include the candidate's response in the dossier, and will inform the chair of the candidate's response.

h. By January 25 – College Executive Committee (CEC) Votes

The CEC reviews the dossier—including the Peer Committee's letter and vote and the Tenure Process Leader's recommendation, and any responses that the candidate may have forwarded—meets and discusses in person the candidate's dossier (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 themselves 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, reporting the vote of the CEC and briefly explaining the reasons for the CEC's vote. This letter is added to the dossier, and a copy is forwarded to the candidate.

i. By February 1 – Candidate May Respond to the CEC Letter

A candidate may respond in writing to the CEC vote in a letter addressed to the Dean. The Dean will include the candidate's response in the dossier, and inform the CEC of the response.

j. 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 in support or against reappointment. The Dean addresses the letter the EVP/Provost, submits it to the dossier, and forwards a copy to the candidate. The Dean forwards the complete dossier to the Office of the EVP/Provost.

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

A candidate may respond in writing to the Dean's recommendation in a letter addressed to the EVP/Provost. The Provost will add the candidate's response to the dossier, and will inform the Dean.

l. 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, Tenure Process Leader's recommendation, the CEC's letter, and the Dean's letter, and any responses that the candidate may have entered into the dossier—meets in person (no teleconferenced or video-conferenced attendance permitted) to discuss the candidate's dossier, deliberates, and votes by secret ballot on the candidate's reappointment.

If a member of the UFPC voted on a particular candidate being evaluated at a previous stage in the process, the member must recuse themselves 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.

The Chair of the UFPC prepares a letter addressed to the EVP/Provost recording the vote, their findings, and briefly explaining the reasons for the UFPC's vote. This letter is added to the dossier, and a copy is forwarded to the candidate and their Dean.

- m. By March 15 – Candidate May Respond to the UFPC’s Report and Ask for Reconsideration of the Findings

A candidate may petition the UFPC in writing, requesting that the committee reconsider its findings and/or vote. The letter, addressed to the UFPC, will be included in the dossier.

- n. By March 24 – UFPC Final Vote (after a Request for Reconsideration is received from the candidate)

If petitioned, the UFPC will reconsider the case and vote again by secret ballot. This vote upon a request for reconsideration will be final and not subject to further reconsideration requests. The Chair of the UFPC prepares a letter addressed to the EVP/Provost recording the vote, their findings, and briefly explaining the reasons for the UFPC’s vote. This letter is added to the dossier, and a copy is forwarded to the candidate and their Dean.

- o. By March 31 – EVP/Provost Makes Recommendation to President

The EVP/Provost reviews the candidate’s request for reappointment—including the complete dossier, the recommendations of the Peer Committee, Tenure Process Leader, College Executive Committee, Dean, the UFPC, and any responses to the review that the candidate has entered into the dossier—and makes a written recommendation to the President.

The President reviews the candidate’s complete dossier—including the recommendations of the Peer Committee, Tenure Process Leader, College Executive Committee, Dean, University Faculty Personnel Committee, and EVP/Provost, and any responses to the review that the candidate has entered into the dossier—and conveys their final decision regarding reappointment to the EVP/Provost.

- p. By April 14 – EVP/Provost Informs Candidates of Reappointment Decision

The EVP/Provost writes a letter to the candidate informing them of the President’s decision.

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

3. 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.

a. By February 1 – Meeting with Tenure Process Leader

The candidate and Tenure Process Leader 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 and to prepare the preliminary dossier according to schedule. (The Dean and/or their delegate may also attend and participate in this meeting.)

b. By May 1 – Confidential External Reviewers

The candidate, in consultation with the Tenure Process Leader, 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, such as dissertation advisor, collaborator (co-author or joint researcher), student, relative, and those involved in romantic relationships (past or present). A list of at least six persons is typically sufficient to ensure 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).

c. By June 30 – Contacting External Reviewers

The Tenure Process Leader or Dean contacts individuals on the list of external reviewers to obtain their agreement to serve as an external reviewer. The Tenure Process Leader 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.

d. By August 1 – Submission of Preliminary Dossier

The candidate for tenure and promotion (or for the associate professor standing for tenure alone) submits their preliminary dossier (curriculum vitae, examples of scholarship/professional and creative work, and other relevant materials) to the Tenure Process Leader or Dean.

e. By August 15 – Preliminary Dossier Sent to External Reviewers

The Tenure Process Leader 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.

f. By October 15 – Peer Committee (PC) Identified

The Dean identifies a Peer Committee consisting of all tenured members of the candidate's unit as defined by the College Council (see eligibility of voting members above). The Tenure Process Leader is not a member of the PC. If there are fewer than three eligible tenured members in a given unit, 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.

g. 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. These letters may not be reviewed by the candidate.

h. 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 submitted, the dossier 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 and identifying the following information, as applicable (see specific criteria established by each College)
  - o biographical and educational data
  - o courses taught in each semester (include year)
  - o advising responsibilities
  - o publications
  - o presentations
  - o creative or professional work
  - o research and grants
  - o service, including administrative and leadership responsibilities
  - o honors.

- 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.

All letters from the candidate's review (Peer Committee, Tenure Process Leader, College Executive Committee, Dean, University Faculty Personnel Committee, EVP/Provost) will be added by the Dean of the College.

i. By December 8 – Peer Committee (PC) votes

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

- tallies the vote
- prepares a letter recording the vote and 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
- submits the letter to the candidate's dossier, and forwards a copy to the candidate, the Tenure Process Leader, and the Dean.

j. By December 24 – Candidate May Respond to the Peer Committee Report

A candidate may respond in writing to the Peer Committee report in a letter addressed to the Tenure Process Leader. The chair will include the candidate's response in the dossier and inform the Peer Committee.

k. By January 8 – Tenure Process Leader Writes Letter of Recommendation

The Tenure Process Leader prepares a letter of recommendation based on their 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 tenure and promotion.

This letter is the equivalent of a vote; therefore, the Tenure Process Leader may not vote at any other level of review. The Tenure Process Leader addresses letter to the Dean, submits it to the dossier, and forwards a copy to the candidate.

l. By January 15 – Candidate May Respond in Writing to the Tenure Process Leader's Letter

A candidate may respond in writing to the Tenure Process Leader's recommendation in a letter addressed to the Dean. The Dean will include the candidate's response in the dossier, and will inform the Tenure Process Leader.

m. By January 25 – College Executive Committee (CEC) Votes

The College Executive Committee reviews the dossier—including the Peer Committee's letter and vote, the Tenure Process Leader's recommendation, and any response that the candidate may have added to the dossier—meets in person to discuss the candidate's dossier (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes by secret ballot for or against tenure and promotion 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 themselves 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.



The chair of the CEC prepares a letter recording the vote and briefly explaining the reasons for the vote. The CEC addresses the letter to the Dean and forwards a copy to the candidate. The Dean includes the CEC letter in the dossier

n. By February 1 – Candidate May Respond to the CEC Report

A candidate may respond in writing to the CEC report in a letter addressed to the Dean. The Dean will include the candidate's response in the dossier and will inform the CEC.

o. By February 8 – Dean Writes a Letter for Recommendation

The Dean of the College prepares a letter of recommendation, based in whole or in part upon review of the dossier, in support or against tenure and promotion. The Dean addresses the letter to the EVP/Provost, submits it to the dossier and forwards a copy to the candidate, and is added to the Candidate's dossier. The Dean forwards the complete dossier to the Office of the EVP/Provost.

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

A candidate may respond in writing to the Dean's recommendation in a letter addressed to the EVP/Provost. The EVP/Provost will include the candidate's response in the dossier and will inform the Dean.

q. 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 tenure and promotion 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, Tenure Process Leader's recommendation, the CEC's letter, the Dean's letter, and any responses that the candidate may have entered into the dossier—meets in person (no teleconferenced or video-conferenced attendance permitted) to discuss the candidate's dossier, deliberates, and votes by secret ballot on the candidate's reappointment.

If a member of the UFPC voted on a particular candidate being evaluated at a previous stage in the process, the member must recuse themselves from voting and leave the room during any discussion of the candidate. The UFPC Chair (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.

The Chair of the UFPC prepares a letter addressed to the EVP/Provost recording the vote, their findings, and briefly explaining the reasons for the UFPC's vote. This letter is added to the dossier, and a copy is forwarded to the candidate and their Dean.

- r. By March 15 – Candidate May Respond to the UFPC's Report and Ask for Reconsideration of the Findings

A candidate may petition the UFPC in writing, requesting that the committee reconsider its findings and/or vote. The letter, addressed to the UFPC, will be included in the dossier.

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

If petitioned, the UFPC will consider the request, vote again by secret ballot, and report the result in writing to the dossier, the candidate, and the EVP/Provost. This vote upon a request for reconsideration will be final and not subject to further reconsideration requests.

- t. By March 31 – EVP/Provost Makes Recommendation to President

The EVP/Provost reviews the candidate's application for tenure and promotion—including the documents presented, the recommendations of the Peer Committee, Tenure Process Leader, College Executive Committee, Dean, the University Faculty Personnel Committee, and any responses to the reviews that the candidate has entered into the dossier—and makes a written recommendation to the President.

The President reviews the candidate's complete dossier--including the recommendations of the Peer Committee, Tenure Process Leader, College Executive Committee, Dean, University Faculty Personnel Committee, and any responses to the reviews that the candidate has entered into the dossier—and conveys their final decision regarding tenure and/or promotion to the EVP/Provost.

- u. By April 14 – EVP/Provost Informs Candidates of Tenure or Promotion Decision

The EVP/Provost writes a letter to the candidate informing them of the decision.

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

- 4. For Tenured Associate Professors Standing for Promotion to Full Professor

- a. By April 1 – Meeting with the Dean

A candidate for promotion to full professor should self-identify themselves 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.

b. By May 1 – Confidential External Reviewers

The candidate, in consultation with the Tenure Process Leader, 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), student, relative, and anyone involved in a romantic relationship (present or past). A list of six persons is typically sufficient to ensure that the 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.

c. By June 30 – Contacting External Reviewers

The Tenure Process Leader or Dean contacts individuals on the list of external reviewers to obtain their agreement to serve as an external reviewer. The Tenure Process Leader 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 in a timely manner.

d. By August 1 – Submission of Preliminary Dossier

The candidate for promotion to full professor submits their preliminary dossier (curriculum vitae, examples of scholarship/professional and creative work, and other relevant materials) to the Tenure Process Leader or Dean.

e. By August 15 – Preliminary Dossier Sent to External Reviewers

The Tenure Process Leader 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.

f. By October 15 – Peer Committee (PC) Selected

The Dean identifies the 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 Tenure Process Leader is not a member of the PC. If there are fewer than three eligible 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.

g. 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. These letters may not be reviewed by the candidate.

h. 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 concluded.

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)
  - o biographical and educational data
  - o courses taught in each semester (include year)
  - o advising responsibilities
  - o publications
  - o presentations
  - o creative or professional work
  - o research and grants
  - o service, including administrative and leadership responsibilities
  - o honors.
  
- 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.
  
- Evidence of service:
  - o participation in academic unit, College and University activities and committees; offices held on these committees
  
  - o participation in learned societies and professional organizations; offices held in these organizations (indicate local, regional, or national)
  
  - o 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.

i. By December 8 – Peer Committee (PC) Votes

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

- tallies the vote
- prepares a letter recording the vote and 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
- submits the letter to the candidate's dossier, and forwards a copy to the candidate, the Tenure Process Leader, and the Dean.

j. By December 24 – Candidate May Respond to the Peer Committee Report

A candidate may respond in writing to the Peer Committee report in a letter addressed to the Tenure Process Leader. The Tenure Process Leader will include the candidate's response in the dossier and inform the Peer Committee.

k. By January 8 – Tenure Process Leader Writes Letter of Recommendation

The Tenure Process Leader prepares a letter of recommendation based on their 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 promotion.

This letter is the equivalent of a vote; therefore, the Tenure Process Leader may not vote at any other level of review. The Tenure Process Leader addresses the letter to the Dean, submits it to the dossier, and forwards a copy to the candidate.

l. By January 15 – Candidate May Respond to the Tenure Process Leader’s Letter

A candidate may respond in writing to the Tenure Process Leader’s recommendation in a letter addressed to the Dean. The Dean will include the candidate’s response in the dossier, and will inform the Tenure Process Leader.

m. By January 25 – College Executive Committee (CEC) Votes

The College Executive Committee reviews the dossier—including the Peer Committee’s letter and vote, the Tenure Process Leader’s recommendation, and any response that the candidate may have submitted to the dossier—meets in person to discuss the candidate’s dossier (no teleconferenced or video-conferenced attendance permitted), deliberates, and votes by secret ballot for or against promotion 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 themselves 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.

The chair of the CEC prepares a letter recording the vote and briefly explaining the reasons for the vote. The CEC addresses the letter to the Dean and forwards a copy to the candidate. The Dean includes the CEC letter in the dossier

n. By February 1 – Candidate May Respond to the CEC Report

A candidate may respond in writing to the CEC report in a letter addressed to the Dean. The Dean will include the candidate’s response in the dossier and will inform the CEC.

o. By February 8 - Dean Writes a Letter of Recommendation

The Dean of the College prepares a letter of recommendation, based in whole or in part upon review of the dossier, in support of or against promotion. The Dean addresses the letter to the EVP/Provost, submits it to the dossier and forwards a copy to the candidate. The Dean forwards the complete dossier to the Office of the EVP/Provost.

p. By February 15 – Candidate May Respond to the Dean’s Recommendation

A candidate may respond in writing to the Dean’s recommendation in a letter addressed to the EVP/Provost. The Provost will include the candidate’s response in the dossier, and will inform the Dean.

q. 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 promotion 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, Tenure Process Leader’s recommendation, the CEC’s letter, the Dean’s letter, and any responses that the candidate may have submitted to the dossier—meets in person (no teleconferenced or video-conferenced attendance permitted) to discuss the candidate’s dossier, deliberates, and votes by secret ballot on the candidate’s reappointment.

If a member of the UFPC voted on a particular candidate being evaluated at a previous stage in the process, the member must recuse themselves from voting and leave the room during any discussion of the candidate. The UFPC Chair (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.

The Chair of the UFPC prepares a letter addressed to the EVP/Provost recording the vote, their findings, and briefly explaining the reasons for the UFPC’s vote. This letter is added to the dossier, and a copy is forwarded to the candidate and their Dean.

- r. By March 15 – Candidate May Respond to the UFPC’s Report and Ask for Reconsideration of the Findings

A candidate may petition the UFPC in writing, requesting that the committee reconsider its findings and/or vote. The letter, addressed to the UFPC, will be included in the dossier.

- s. By March 24 – UFPC Final Vote (following a Candidates’ Request for Reconsideration)

If petitioned, the UFPC will reconsider the case, vote again by secret ballot, and report the result in writing to the dossier, the candidate, the Dean of the candidate’s College, and the EVP/Provost. This vote upon a request for reconsideration will be final and not subject to further reconsideration requests.

- t. By March 31 – EVP/Provost Makes Recommendation to President

The EVP/Provost reviews the candidate’s application for promotion—including the documents presented, the recommendations of the Peer Committee, Tenure Process Leader, College Executive Committee, Dean, and University Faculty Personnel Committee, and any responses to the reviews that the candidate has entered into the dossier—and makes a written recommendation to the President.

The President reviews the candidate's complete dossier—including the recommendations of the Peer Committee, Tenure Process Leader, College Executive Committee, Dean, and University Faculty Personnel Committee, and any responses to the reviews that the candidate has entered into the dossier—and conveys their final decision regarding tenure and/or promotion to the EVP/Provost.

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

The EVP/Provost writes a letter to the candidate informing them of the decision.

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

#### 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.

1. When to Use the Reappointment, Tenure, and Promotion (RTP) Appeals Process  
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 the following:

- violation of academic freedom
- violation of handbook procedures as specified in Part IV of the Faculty Handbook
- failure to abide by standards specified in College, department, or program by-laws at the time of hire
- discrimination
- violation of University policy.

2. The Faculty Tenure Review Committee

*See* definition contained in Part III(D)(4) above.

3. Timelines

A University Faculty member appealing a reappointment, tenure, or promotion decision must submit the appeal in writing to the Chair of the Faculty Tenure Review Committee by September 1 of the calendar year in which the faculty member received the disputed decision. The Faculty Tenure Review Committee will deliver a decision on the appeal by October 1.



#### 4. 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 will be maintained within the President's or EVP/Provost's office on a confidential basis. Documentation reviewed or produced during appeals will be maintained by the University as confidential and reviewed internally only on a need-to-know basis.

#### 5. Procedures

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

- a. An appellant must submit a written appeal specifying the grounds and rationale 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.
- b. The FTRC will not substitute its judgment on the merits for that of the appropriate faculty bodies. No committee member party to the initial reappointment, tenure, promotion decision will participate in committee deliberations on that case.
- c. By October 1 of the calendar year, the FTRC will review the appeal and vote by secret ballot whether to affirm or deny the appeal, and will notify the faculty member and the EVP/Provost of its decision, in writing.
  - i. If the FTRC affirms the appeal, the FTRC will propose recommendations for remedying the issues raised in the appeal, and communicate the finding and recommendations to the EVP/Provost, in writing. By November 1, the EVP/Provost must communicate their decision on the appeal and remedy to the faculty member.
  - ii. If the FTRC denies the appeal, the faculty member's rights, going forward, will be as specified in their contract.

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

### **SECTION A. Purpose, Scope, and Timing**

The faculty dispute resolution mechanisms are designed 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.

University Faculty should, first, seek to resolve a dispute in a collegial manner between or among the affected parties. Where collegial discussion does not resolve disputes, the following steps must be followed:

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

The dispute resolution procedures 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—such as reappointment, tenure and promotion appeals—are addressed in Part V, Section D and 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.

For the purpose of the procedures set forth in Part V of this Handbook, “working days” shall mean business days (*i.e.*, Monday through Friday) between August 15 and March 31 of each academic year that do not fall on a federal or University holiday.

### **SECTION B. Informal Dispute Resolution**

Oral or written informal 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 following the informal dispute resolution process set forth in this section, faculty members wishing to continue to seek resolution must then use the formal grievance procedures set forth in Section C below.

1. Informal Dispute Resolution Procedure

Complaints addressed in Informal Dispute Resolution will use the following procedures:

- a. A faculty member initiates the Dispute Resolution process by filing a written request for dispute resolution at the most local administrative level

above the highest-ranking person in the dispute (*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/Provost for faculty in different Colleges or faculty-to-administrator disagreements) (“Appropriate Administrator”).

- b. A three-member panel of the Faculty Dispute Resolution Committee, selected by the Chair of the FDRC in consultation with the parties, will hear the dispute.
- c. The request for dispute resolution should include
  - i. the conduct or action being challenged
  - ii. the date(s) of the action being challenged
  - iii. the party or parties whose conduct or decision is the subject of the challenge
  - iv. the rationale for challenging the conduct or action, and
  - v. the remedy sought.
- d. The Appropriate Administrator 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.
- e. The Faculty Dispute Resolution Committee will notify the parties of the date, time, and place for the initial meeting at least one week in advance but not more than 14 working days after receiving the request.
- f. 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.
- g. The Faculty Dispute Resolution Committee will 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 an individual’s personnel record.
- h. Within five working days following the dispute resolution meeting(s), the committee will prepare a confidential report, which shall be provided to the parties and shall indicate:
  - i. the date, time, and place of the meeting(s)
  - ii. the names of the parties present and
  - iii. the committee’s recommendation for resolving the dispute.

- i. 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).
- j. Parties to dispute resolution reserve the following rights:
  - i. to have a support person of their choice present at the meeting
  - ii. to be informed if the other party is bringing a support person to the dispute resolution
  - iii. to receive written notice and copy of the complaint
  - iv. to request minutes of the proceedings
  - v. to be present in person for the dispute resolution
  - vi. to question parties who have knowledge of the dispute; however, the Faculty Dispute Resolution Committee has the discretion to limit the extent of questioning
  - vii. to subsequently pursue the formal grievance process below.

### SECTION C. Formal Grievance Procedure

Formal grievance procedures are problem-solving processes used when a complaint:

- cannot satisfactorily be handled through collegial discussion,
- cannot satisfactorily be handled through informal dispute resolution,
- need not be investigated by human resources (*e.g.*, discrimination, harassment, retaliation, or other violation of law or University policy, all of which should be referred to human resources), or
- does not challenge dismissal (which is covered in Part VI below) or an action that is covered under other parts of the Faculty Handbook.

Where a faculty member grieves the results of a recommendation from an informal 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. The EVP/Provost or designee will serve as the party representative on behalf of the University and will not serve as a decision-maker for grievance appeals involving employment actions other than dismissal.

#### 1. Rights and Responsibilities of the Grievance Hearing Committee

The Grievance Hearing Committee will determine whether, more likely than not, an individual has engaged in appropriate conduct in light of the policies of the University and generally accepted academic standards. The Grievance Hearing Committee's findings of fact and its decision 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 the following:

- to obtain all the information and documents it needs, without being obligated by strict rules of legal evidence and legal procedures
- to conduct pre-hearing meetings to determine reasonable scheduling, and otherwise provide for an effective and efficient hearing
- to conduct the hearing procedures in a collegial, professional manner
- to formulate its own additional rules of procedure not contrary to the procedures of this document
- to keep a verbatim audio recording or transcript of the hearings, which will be available to the parties without cost.

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

## 2. Rights of the Parties

Parties to grievances filed under the formal grievance procedure will have the following rights:

- to obtain in advance of the hearing a list of witnesses the other party intends to call
- 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 has received in its pre-hearing meetings, including documents normally considered confidential. As a condition of seeing such confidential documents, however, the committee will require that both parties keep their content in strict confidence
- 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 the decision of either party to have an advisor, support person, or counsel present at the hearing
- to cross-examine witnesses (in person or through other synchronous means)
- to have sufficient time to prepare and present evidence
- to request an adjournment or stoppage of the hearing under extraordinary circumstances

- to have confidential treatment of all materials associated with the grievance procedures
  - to be notified of the details of the hearing in a timely manner
  - to attend and to be heard in person at all grievance hearings
  - to receive a copy of the verbatim record of the proceedings.
3. Timeline and Procedures

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

- a. A written grievance should be filed in writing with the Chair of the University Senate within one year of the faculty member's discovery of the issue at hand. The written grievance should include: (i) the action being challenged, (ii) the date(s) of the action being challenged, (iii) the party or parties whose conduct or decision is the subject of the challenge the rationale for challenging the conduct or action; and (e) the remedy sought.
- b. The Chair of the University Senate will analyze the written grievance and may consult with Human Resources to determine whether any matters should be referred instead to Human Resources.
- c. The University Senate Executive Committee will identify a panel of nine tenured faculty members not affiliated with the College(s) 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. The three remaining members constitute the Grievance Hearing Committee.
- d. Hearing under the Grievance Procedures must be held within 30 working days after the request for a hearing is received by the Chair of the University Senate and the Grievance Hearing Committee must render a written decision regarding the grievance within 10 working days of the conclusion of the hearing.
- e. An appeal resulting from dispute resolution should be filed within three months; an appeal of a formal employment action within 14 working days of the faculty member's formal notification of the employment action at issue.

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.

#### 4. 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 will be maintained within the President's or EVP/Provost's office on a confidential basis. Documentation reviewed or produced during grievances and appeals will 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 will be limited in the interests of preserving confidentiality.

#### 5. Formal Grievance Procedures

Formal Grievance Procedures will proceed as follows:

- a. Upon receipt of a grievance, the Chair of the University Senate Executive Committee will notify in writing the Grievance Hearing Committee and the parties of the appropriate grievance procedures.
- b. The Grievance Hearing Committee will notify the parties at least one calendar week in advance of the date, time and place for the hearing.
- c. 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.
- d. Following the hearing, the Grievance Hearing Committee will prepare a written finding of the facts and its decision, and will forward the report to all parties and to the EVP/Provost.
- e. The Grievance Hearing Committee will keep a verbatim audio recording or transcript of the hearings, which will be filed with the President's office and will be available to the parties without cost.

#### 6. The Grievance Committee's Decision

Within a reasonable time after the completion of the hearing, the Grievance Hearing Committee will evaluate the adequacy of the evidence, weigh the remedies sought, determine the appropriate action, and submit its decision with supporting reasons to the parties and the President.

Any party to the grievance appeal process that does not accept the decision of the Grievance Hearing Committee as a full and final resolution of the dispute must file a written request for appeal, including the rationale for the appeal explaining the substantive and procedural grounds for the request, with the President within 10 working days after the party receives the Grievance

Hearing Committee's decision. The appeal request must also be made available to the Grievance Hearing Committee and all parties within the period of 10 working day following the 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. The President will issue a written decision on the 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 will take effect on the 11th working 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).

#### SECTION E. Modification of Procedures or Timelines

The grievance and appeal procedures referenced above are designed 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. Normally, the timelines set forth above will be followed. If dates in the timeline fall during a weekend or holiday, the next business day will become the deadline. 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.

Upon approval of the EVP/Provost, and in consultation with the University Senate Executive Committee, in such exceptional circumstances, the relevant committee may request a modification of the deadlines or grievance procedures above. The EVP/Provost will then provide written notification of any such modification the Senate Executive Committee, the Dean of the affected College, the Chair of the affected Department, and faculty member. Such written notification will identify the particular exceptional circumstances that require modification, set forth the modification, and apply only to the particular grievance or appeal that necessitates the modification. The committee's action will not generally modify 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/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 a phased retirement option are encouraged to contact their Deans or the EVP/Provost to begin a dialogue about different opportunities. Faculty members who then decide not to pursue such options will not be penalized.

### **SECTION B. Non-Reappointment**

Non-reappointment occurs when the University allows an appointment, other than a tenured position, to lapse without affirmative renewal at the conclusion of the term of the appointment. Non-reappointment can occur with respect to adjunct, one-year, or multiple-year—including tenure-track—appointments, and the University may choose not to renew faculty appointments for any reason, other than reasons that might constitute violations of academic freedom or applicable law. Procedural standards for non-reappointment are set forth in Part IV of the Handbook.

Tenure Track and Non-Tenure Track faculty are given notice of non-reappointment according to the following schedule:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one- year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two- year appointment terminates during an academic year, at least six months in advance of its termination.
3. At least twelve months before the expiration of an appointment after two or more years in the institution.

No faculty appointment will 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 does 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 (except Dismissal for Cause)

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. Grounds for termination may include, but are not limited to, the following:

- inability to perform essential functions for medical reasons
  - discontinuance or reduction of an instructional program (for non-tenure track and tenure-track faculty)
  - financial exigency of the University
1. 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 reasonable effort to 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.

### a. 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 their 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 Human Resources.

Any faculty member who is unable to perform the essential functions of their position because of medical difficulties has an independent responsibility to discuss these concerns with Human Resources.

In such circumstances, Human Resources may consult on a confidential basis with the EVP/Provost, Dean, and the Department Chair overseeing the faculty member’s academic unit, and with other knowledgeable University personnel to explore the extent and implications of the faculty member’s difficulties. Human Resources 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 Human Resources 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 is not required to, 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 will maintain strict confidentiality, to the extent possible, with respect to any medical information or issues under discussion.

b. Termination and Appeal

Subsequent to following the above interactive process, the EVP/Provost, in consultation with Human Resources, 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/Provost will serve upon the faculty member written notice of termination, explaining this conclusion and the applicable appeal process. In such circumstances, the University will 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 will continue to receive salary and benefits, even if they have been placed on leave, through the notice period and will 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 will be restored to the faculty member. If the faculty member does not file a timely notice of appeal, the termination notice will become final on the 11th business day after the faculty member has received notice of termination, and the faculty member's employment and benefits will formally end on that date if they have not already ended pursuant to the conclusion of the notice period (if the notice period has not yet lapsed as of the resolution of the appeal, the faculty member's compensation and benefits will continue through the conclusion of the notice period). All persons involved in this process will maintain strict confidentiality with respect to relevant information, documents, and deliberations.

2. 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. Terminations under this section for reasons of program reduction or discontinuance may be undertaken to improve the performance of the College, department, or unit in which the program resides, or to improve the performance of 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.

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.

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:

a. Procedures

Before any faculty member may be terminated under this provision, the President will determine that program reduction or discontinuance is consistent with institutional goals and needs by doing the following:

- Consulting with the EVP/Provost, the Dean overseeing the program, the Chair or Director of the program, the Senate Executive Committee, and other University representatives with knowledge of the program(s) or circumstances at issue.
- Considering a variety of factors, including, but not limited to:
  - o a pattern of difficulty within a program area to maintain the required load of courses or an appropriate student credit-hour load for full-time members of the faculty
  - o serious and continuing difficulty in supporting and/or expanding academically desirable or necessary programs in the University
  - o a declining pattern of enrollment that affects the capacity of the program or University to meet recognized or required certification or accreditation standards
  - o a declining pattern of enrollment in any program area or areas which makes difficult the maintenance of a viable academic curriculum 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

- a pattern of failure of any program to produce sufficient revenue to meet direct costs
- declining pattern in the number of degrees granted each year by a program area
- accreditation considerations or changes within the academic community as a whole that may require realignment of programmatic or course offerings
- 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 rests with the EVP/Provost. The procedures are as follows:

- i. The President will set forth in writing a plan for program reduction or discontinuance, including a direction to the EVP/Provost to implement appropriate termination of faculty appointments.
  - ii. Before issuing notices of termination of faculty positions under this provision, the EVP/Provost will consult with the Dean of the relevant academic unit(s), Human Resources, and, at the EVP/Provost's discretion, other knowledgeable University representatives.
  - iii. In any consideration of potential terminations under this section, safeguarding the positions of tenure track faculty and faculty on multi-year appointments will 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/Provost will terminate faculty appointments in the following order: part-time; visiting appointments; non-tenure-track appointments; tenure-track appointments.
  - iv. Termination decisions under this provision must not be the result of discrimination, harassment, retaliation, or violation of academic freedom.
- b. Termination and Appeal

In the event the EVP/Provost concludes, on the basis of the above process, that a specific non-tenured faculty appointment should be terminated, the EVP/Provost will notify the faculty member

in writing of the termination decision, its basis, 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 their termination 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 follow the grievance appeal procedure set forth in Part V, and will first be heard by the Senate Executive Committee, with a final appeal to the President. During such an appeal, the faculty member will continue to receive salary and benefits, even if they have been placed on leave, through the notice period and will 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 will be restored to the faculty member.

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 will become final on the 11th business day after the faculty member has received notice of termination, and the faculty member's employment and benefits will 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 will continue through the conclusion of the notice period). All persons involved in this termination process will maintain strict confidentiality with respect to relevant documents and deliberations, to the extent possible.

### 3. 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 means other than reduction or elimination of programs involving the potential termination of tenured faculty members. (See also Part III Section B).

#### a. Procedures

The decision as to whether a financial exigency exists rests with the Board of Trustees, to be made in consultation with the President, EVP/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. If the Board declares the University in a condition of financial exigency, the President will be directed immediately to develop a comprehensive plan for addressing the condition. If 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 in Section VI(C)(2) 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 Roosevelt University Board of Trustees bylaws, the President may also consult with the appropriate Board of Trustees committee prior to implementing a plan to address financial exigency. The following procedures govern the development of the plan for addressing financial exigency:

- The plan must reflect that the President has considered all relevant budgetary and programmatic factors in developing the plan.
- The preferred approach is to proceed without terminating faculty appointments, if in the judgment of the President such measures will be effective.
- If, in the judgment of the President, it is necessary to terminate faculty appointments, the President must include in the plan the general criteria for identifying faculty appointments for termination, along with a direction to the EVP/Provost to implement such terminations. Responsibility for decisions about individual terminations under this provision will rest with the EVP/Provost.
- Before issuing notices of termination of faculty positions under this provision, the EVP/Provost will consult with the Dean of the relevant academic unit, Human Resources, and, at the EVP/Provost's discretion, other knowledgeable University representatives.
- In any consideration of potential terminations, safeguarding the positions of tenured faculty and faculty on multi-year appointments will 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/Provost will 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.
- Before issuing notice of termination to a tenured faculty member, the EVP/Provost will make every reasonable effort to place the affected faculty member in another suitable position within the University. If placement in another position can 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.

- Termination decisions under this provision must not be the result of discrimination, harassment, retaliation, or violation of academic freedom.

b. Termination and Appeal

In the event the EVP/Provost concludes, on the basis of the above process, that a specific faculty appointment should be terminated, the EVP/Provost will notify the faculty member in writing of the termination decision, its basis, and applicable appeal process. In such circumstances and subject to the condition of financial exigency, 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 follow the grievance appeal procedure set forth below in Part V, heard first by the Senate Executive Committee, with a final appeal to the President. During such an appeal, the faculty member will continue to receive any salary and benefits provided for in the notice of termination, even if they have been placed on leave, and will 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 will 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 will become final of the 11th business day after the faculty member has received notice of termination, and the faculty member's employment and benefits will formally end on that date if they have not already ended pursuant to the conclusion of the notice period (if the notice period has not yet lapsed as of the resolution of the appeal, the faculty member's compensation and benefits will continue through the conclusion of the notice period).

All persons involved in this termination process will maintain strict confidentiality with respect to relevant documents and deliberations, to the extent possible.



## 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 and are separately addressed above.

### 1. 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.

#### a. Job Performance Issues

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

#### b. Conduct Issues

Conduct that falls below the appropriate standard for a University Faculty member may be addressed by the Chair, Dean, or EVP/Provost using progressive discipline short of dismissal that may include, but is not limited to the following:

- written reprimands
- memoranda to the Dean’s or EVP/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.

### 2. 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/Provost may impose discipline or, upon determining that correction efforts are inappropriate or futile, institute dismissal proceedings using the procedures set forth below.

#### a. Standard

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

- Deliberate and persistent breach, refusal to perform, or gross neglect or continued and serious ineffectiveness in the performance of faculty obligations.
- 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.
- Material violation of the policies governing employment activities outside the University.

When the EVP/Provost becomes aware of or concerned that adequate cause might exist warranting possible dismissal the EVP/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/Provost may also, as a result of this discussion, impose correction short of dismissal, as noted above.

If the EVP/Provost and faculty member do not reach a mutually agreeable settlement and the EVP/Provost considers the matter serious enough to warrant dismissal, the EVP/Provost will prepare a formal, specific statement of reasons for dismissal. The EVP/Provost will provide the statement to the faculty member at issue, as well as to members of the University Senate Executive Committee, the President, the Dean, and the chair or director of the faculty member's department or program.

The University Senate Executive Committee will 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/Provost (or designee) will 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 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 will rest on the EVP/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 the following:

- i. 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.

- ii. It may conduct pre-hearing meetings to clarify issues and otherwise provide for an effective and efficient hearing.
- iii. It may take whatever time is required for a fair and complete hearing, while avoiding unnecessary delays.
- iv. It may formulate its own additional rules of procedure not contrary to the provisions of this document.
- v. It will keep a verbatim recording or transcript of the hearings, available to the parties without cost.
- vi. 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:

- 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 will have reasonable time and adjournments in order to prepare for the appearance of these additional witnesses.
- 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 will require that the contents of such documents must be maintained in strict confidence by both parties.
- 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.
- To cross-examine witnesses (in person or through electronic means to be determined in the committee's discretion).
- 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 will 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 that:

- adequate cause for dismissal has been established,
- adequate cause has been established for an appropriate academic penalty, but not for dismissal (and, if so, the committee may recommend the appropriate penalty),  
or
- 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/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, evaluation, 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/Provost may impose an administrative leave upon the faculty member. In extraordinary circumstances, the President, EVP/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 be temporarily 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 designed 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 will first consult with the Senate Executive Committee and notify the parties and the Senate Executive Committee of any modification of procedures under this section. Such a modification will identify the particular exceptional circumstances that require modification and will apply only to the particular case or circumstance being considered at the time of the modification; it will not serve to modify the procedures in Part VI generally.

## **PART VII: University Policies and Procedures**

### **SECTION A. Resources for University Policies and Procedures**

Since policies often change, it is each faculty member's obligation, as a member of the Roosevelt University community, to familiarize themselves with and adhere to all of the University's policies. The University's current policies can be found here: <https://www.roosevelt.edu/policies>. The following are examples of what are on that page:

- The University's Bylaws
- The Constitution of the University Faculty
- Links to the University's collective bargaining agreements
- Policies on class attendance, grade appeals, credits, and tuition remission
- Policies on anti-discrimination, anti-harassment, anti-bullying, anti-retaliation, sexual misconduct, and equal employment opportunity
- Policies on confidentiality and FERPA
- Policies on the use of University technology and social media

## **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 will 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 University Senate will vote on the proposed change at the meeting subsequent to the one 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. At the next University Senate meeting, the President will report their disposition in regards to the proposed amendment. If the President approves the amendment, the Chair of the Senate Executive Committee will ensure that the changes that have been approved by the President are made to the appropriate section(s) of the Handbook of the University Faculty;
5. If the President rejects the amendment, they will present the reason(s) 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.